

## LEGAL NOTICE

### Request for Proposals for Services

The State of Connecticut, Department of Economic and Community Development, is seeking proposals to provide certain services related to research, analysis, strategic planning, meeting coordination and facilitation, and report writing in support of the preparation of the State's Economic Strategic Plan.

The intent of the request is to identify individuals or firms with the necessary expertise to provide assistance to the State in its efforts to prepare an Economic Strategic Plan pursuant to Public Act (PA) 07-239, within a stated timeframe.

The request for proposals is available online at [www.das.state.ct.us/busopp.asp](http://www.das.state.ct.us/busopp.asp) and [www.decd.org](http://www.decd.org). Deadline for response submission is 4:00 P.M. EST, November 26, 2007.

A Proposers' Conference will be held at the offices of the Department of Economic and Community Development – 505 Hudson Street, Hartford Connecticut – on Thursday, November 8, 2007 from 10:00 A.M. EST to 12:00 P.M. EST in Conference Room 466.

#### TO BE PUBLISHED IN:

- THE HARTFORD COURANT AND  
THE NORTHEAST MINORITY NEWS  
AND/OR THE NORTHEAST AGENT  
AND/OR CONNECTICUT POST  
AND/OR NEW HAVEN REGISTER  
AND/OR STAMFORD ADVOCATE  
AND/OR NEW LONDON DAY
- DECD WEBSITE
- DAS WEBSITE
- THE AMERICAN PLANNING  
ASSOCIATION WEBSITE

**REQUEST FOR PROPOSALS  
BY  
THE STATE OF CONNECTICUT  
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT**

**Economic Strategic Planning and Research Services**

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**REQUEST FOR PROPOSALS (RFP)**  
**BY**  
**THE STATE OF CONNECTICUT**  
**DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
**Economic Strategic Planning and Research Services**

**I. BACKGROUND**

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The State of Connecticut, Department of Economic and Community Development (hereinafter State) is seeking a proposer to assist the State in its efforts to prepare an Economic Strategic Plan pursuant to State of Connecticut Public Act (PA) 07-239.

**II. SCOPE OF SERVICES**

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Section four of Public Act 07-239 requires that the DECD prepare an Economic Strategic Plan for Connecticut (the “plan”) (See Attachment B). The planning process requires: consultation with applicable state agencies and stakeholders and conducting regional forums to elicit public input; researching and analyzing the current Connecticut economy, all relevant and applicable economic growth factors and the structure of the state’s economic development system; and utilizing the results of the aforementioned outreach and consultation efforts along with the results of the research and analysis efforts to prepare a strategic plan that establishes and articulates a vision for Connecticut that identifies where the State should be in five, ten, fifteen and twenty years. Further it is required that the strategic plan include clear and measurable goals and objectives for the state and regions be established to meet the short and long-term goals established under this Act, and that clear steps and strategies to achieve said goals and objectives be provided. The plan must also contain a clear and replicable measurement methodology and provide recommendations on how the state can best achieve goals under the strategic plan and cost estimates for implementation of the plan and the projected return on investment for those areas; ensure that the resulting strategic plan is consistent with the state plan of conservation and development, adopted pursuant to chapter 297 of the general statutes, the long-range state housing plan, adopted pursuant to section 8-37t of the general statutes, and the transportation strategy adopted pursuant to section 13b-57g of the general statutes.

The selected consultant shall ensure that all statutory requirements of section four of Public Act 07-239 are included in its final report. The selected consultant shall be expected to perform some or all of the following specific tasks:

**Section I - Consultation, Outreach and Public Input**

- A. *Regional Forums.*** The selected consultant may be responsible for all logistics related to conducting regional forums at locations across the state, as requested by DECD. Logistics include but are not limited to: securing of appropriate meeting space; advertising/public notification; securing all necessary audio/visual equipment; hiring and supervision of a recording/transcription service; and meeting facilitation. At least one of the regional forums must be held in each of the following geographic areas: Hartford County, Fairfield County, Litchfield County, New London County, Tolland/Windham Counties and New Haven/Middlesex Counties.

Due Date: As requested by the department through the life of the contract.

- B. *Survey(s) and Focus Groups – Survey(s)*. The selected consultant shall conduct one statewide survey of the general public regarding Connecticut’s economic future. The selected consultant shall work with the DECD to develop appropriate survey questions. The selected consultant shall conduct up to five smaller targeted surveys. DECD shall determine the survey targets, with input from the selected consultant. The selected consultant shall work with the DECD to develop appropriate survey questions.

The selected consultant shall analyze the results of each survey conducted and provide the DECD with a written report detailing the results of said analysis.

Due Date: All survey reports are due by February 19, 2008.

Focus Groups – The selected consultant shall conduct up to five focus groups regarding Connecticut’s economic future. DECD shall determine the composition of the focus groups, with input from the selected consultant. The selected consultant shall work with the DECD to develop appropriate focus group questions. The selected consultant shall be responsible for all logistics relating to the focus groups.

The selected consultant shall analyze the results of each focus group conducted and provide the DECD with a written report detailing the results of said analysis.

Due Date: All focus group reports are due by February 25, 2008.

- C. *Consultation* - The selected consultant will be responsible for all logistics related to conducting consultation meetings and meeting follow up with various state agencies and quasi-public agencies enumerated in section four, subsection (a) of Public Act 07-239 and other stakeholders as directed by DECD, for the purpose of eliciting input into the development of the plan. Logistics include but are not limited to: securing of appropriate meeting space; setting meeting dates; identifying and inviting attendees; securing all necessary audio/visual equipment; taking meeting minutes; and meeting facilitation.

The selected consultant shall analyze the results of each consultation meeting and provide the DECD with a written report detailing the results of said analysis.

Due Date: Initial consultation meetings are to be completed by January 23, 2008. Draft consultation report is due by January 30, 2008. Final consultation report is due by February 8, 2008.

Additional consultation meetings shall occur as directed by DECD.

## **Section II - Research and Analysis**

The selected consultant shall research and analyze the various issues and topics identified and described below and shall prepare a “white paper” for subsections A (1), (2) and (3) and B in accordance with the specific content requirements and timetable identified herein. In conducting said research and analysis, the selected consultant is expected to conduct a literature search and review of existing relevant and applicable papers, studies, reports and plans and to use all available relevant and applicable sources of data/information. For the purposes of this section of this RFP, the term recent means published within the past three to five years. In preparing the white paper, the selected consultant is expected to properly and clearly identify and notate all sources used in its preparation.

- A. The Connecticut Economy** - A review and analysis of (1) the Connecticut economy, its competitive strengths, weaknesses, opportunities and threats and (2) the state's economic development system (state and local government economic development apparatus, policies and procedures).

Deliverable: *Characterization and Analysis of the Connecticut Economy* - A review and evaluation of the economy of the state. Such review and evaluation shall include, but not be limited to, a sectoral analysis, housing market and housing affordability analysis, labor market and labor quality analysis, demographic analysis and include historic trend analysis and projections. The sectoral analysis must identify and analyze those economic clusters and industry sectors that are growing or declining within the state and are of current or future importance to the growth of the state's economy and to its global competitive position. Further it must identify what those economic clusters and industry sectors need for continued growth and any and all current and potential impediments to their growth. The demographic analysis must characterize Connecticut's current and future demographic composition and identify and describe the implications of change.

Due Date: Draft – February 15, 2008. Final Document - February 29, 2008.

Deliverable: *Competitive Analysis* – An assessment and evaluation of the economic development challenges and opportunities facing the state and a comparison of Connecticut's economic development competitiveness to other states and regions.

Due Date: Draft - April 16, 2008. Final Document - May 1, 2008.

Deliverable: *Economic Development in Connecticut* - A review and evaluation of the economic development structure in the state, including, but not limited to, a review and analysis of the past and current economic, community and housing development structures, budgets and policies, efforts and responsibilities of its constituent parts in Connecticut; and an analysis of the performance of the current economic, community and housing development structures, and its individual constituent parts, in meeting its statutory obligations, responsibilities and mandates and their impact on economic development and responsible growth in Connecticut.

Due Date: Draft - April 16, 2008. Final Document - May 1, 2008.

**B. Foundations of Economic Growth**

Deliverable: *Foundations of Economic Growth Review and Analysis* - A review and analysis of factors, issues and forces that impact or impede economic development and responsible growth in Connecticut and its constituent regions. Factors, issues and forces to be reviewed and analyzed shall include, but not be limited to: transportation, including, but not limited to, commuter transit, rail and barge freight; technology transfer; brownfield remediation and development; health care delivery and costs; early education, primary education, secondary and post secondary education systems and student performance; business regulation; labor force quality and sustainability; social services costs and delivery systems; affordable and workforce housing cost and availability; land use policy; emergency preparedness; taxation; availability of capital; and energy costs and supply. In conducting this review and analysis the selected consultant shall identify any and all linkages and interconnections/interdependencies between such factors, issues and forces and between such factors, issues and forces and economic growth.

Due Date: Draft - April 16, 2008. Final Document - May 1, 2008.

### **Section III - Strategic Planning**

- A.** *Visioning* - The selected consultant, based on information gathered from the various consultations, the regional forums, and survey(s) and focus groups conducted under Section I of this Scope of Services and from the research and analysis conducted under Section II of this Scope of Services, must synthesize and articulate a vision for Connecticut that identifies where the state should be in five, ten, fifteen and twenty years. This vision must include, but not be limited to specific mention of the topics and issues researched in Section II of this Scope of Services.

Due Date: Draft Vision Statements - April 30, 2008. Final Vision Statements - May 15, 2008.

- B.** *Goals & Objectives* - The selected consultant, based on the vision articulated under Section III A of this Scope of Services and the research and analysis conducted under Section II of this Scope of Services, must develop and articulate clear and measurable goals and objectives for the state and regions to meet the short and long-term goals established under this section and provide clear steps and strategies to achieve said goals and objectives, including, but not limited to, the following: the promotion of economic development and opportunity; the fostering of effective transportation access and choice including the use of airports and ports for economic development; the enhancement and protection of the environment; the maximization of the effective development and use of the workforce consistent with applicable state or local workforce investment strategy; the promotion of the use of technology in economic development, including access to high-speed telecommunications; and the balance of resources through sound management of physical development. Goals and objectives must be prioritized.

Due Date: Draft - August 1, 2008. Final Document - September 2, 2008.

- C.** *Implementation* - The selected consultant must develop recommendations on how the state can best achieve goals under the strategic plan and provide cost estimates for implementation of the plan and the projected return on investment for those areas.

Due Date: Draft - September 17, 2008. Final Document - October 1, 2008.

- D.** *Performance Measurement* - The selected consultant, based on the goals and objectives developed under Section III B of this Scope of Services and the implementation strategies developed under Section III C of this Scope of Services must develop and articulate relevant measures that clearly identify and quantify whether a goal and objective is being met at the state, regional, local and private sector level, and cause and effect relationships, and provides a clear and replicable measurement methodology.

Due Date: Draft - October 16, 2008. Final Document - October 30, 2008.

### **Section IV - Strategic Plan**

- A.** *Strategic Plan* - The selected consultant shall assemble from all of the work done under Sections I through III of this Scope of Work a concise and comprehensive economic strategic plan for the State of Connecticut, complete with an executive summary and PowerPoint presentation.

Due Date: Draft - November 3, 2008. Final Document - December 3, 2008.

- B. *Public Presentations*** - The selected consultant shall provide technical support to DECD for up to four Strategic Plan Presentations to be made by the department. The selected consultant shall have present at each presentation appropriate staff to present, if called upon by the department, information regarding their work on the plan and/or the results of their research and analysis effort and answer any and all questions related to their involvement with developing the plan and any of the information contained within the plan. The selected consultant may be required to assist with any or all logistics related to conducting the presentations. Logistics include but are not limited to: securing of appropriate meeting space; advertising/public notification; securing all necessary audio/visual equipment; securing appropriate speakers/presenters; and meeting facilitation. DECD shall determine the dates and locations of the presentation(s) in consultation with the selected consultant.

### **Section V - Additional Services**

There may be additional services requested beyond this scope of work, in conjunction with the preparation of the economic strategic plan pursuant to section four of Public Act 07-239 or with §§ 4-8, 32-1c and 8-37v of the Connecticut General Statutes. Such services may include research and analysis, meeting planning, and/or coordination and/or facilitation, strategic planning, report writing, presentations, graphic design, printing, marketing, and other professional services. The respondent is requested to provide a time and materials cost sheet for said services.

### **III. CONTRACT PERIOD**

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The State anticipates that the successful proposer will commence work on or about January 14, 2008 and continue until March 31, 2009. The contract may, upon mutual consent, be extended.

### **IV. CONTRACTOR QUALIFICATIONS**

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Eligible proposers will be those consultants, companies, and institutions that have a demonstrated track record in conducting research, analysis and data synthesis, strategic planning, meeting coordination and facilitation and report writing.

### **V. SUBMISSION DEADLINE**

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The due date for proposals is 4:00 P.M. EST, November 26, 2007. Proposals must be received in the required packaging with appropriate labeling at the Department of Economic and Community Development, 505 Hudson Street, Hartford, CT 06106 (ATTN: ESP-RFP). Late submissions will not be accepted.

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

## VI. RFP PROCEDURES

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- A. *Official State Contact.*** The State contact person for the purpose of this RFP is:

W. Michael Regan  
Community Development Assistant Administrator  
Department of Economic and Community Development  
505 Hudson Street  
Hartford, Connecticut 06106  
E-MAIL: michael.regan@ct.gov

All communications with the State regarding this RFP must be directed in writing to the Official State Contact via email or regular mail.

- B. *Proposer's Authorized Representative.*** Proposers must designate an authorized representative and one (1) alternate. Provide the name, title, address, telephone and facsimile numbers, e-mail address, and normal working hours for each representative. This information must be submitted to the Official State Contact with the RFP submission. Use attached form F2.
- C. *Communications Notice.*** All communications with the State or any person representing the State concerning this RFP are strictly prohibited, except as permitted by this RFP. Any violation of this prohibition by proposers or their representatives will result in disqualification.
- D. *Letter of Intent.*** No letter of intent is required for this RFP.
- E. *Inquiry Procedures.*** All questions regarding this RFP and submission requirements must be directed, in writing, to the Official State Contact by 4:00 P.M. EDT, October 30, 2007. Proposers are required to limit their contact regarding this RFP to the person(s) named herein. Written responses to all questions received will be posted to the Department of Economic and Community Development website at <http://www.DECD.Org>
- F. *Proposers' Conference.*** There will be a Proposers' Conference from 10:00 A.M. EST to 12:00 P.M. EST on November 8, 2007 in conference room 466 of 505 Hudson Street, Hartford, CT.
- G. *Resource Library.*** There is no resource library for this RFP.
- H. *Packaging and Labeling Requirements.*** All proposals must be submitted in sealed envelopes or packages. All proposals must be addressed to the Department of Economic and Community Development, 505 Hudson Street, Hartford, CT 06106 (ATTN: ESP-RFP). The name and address of the proposer must appear in the upper left hand corner of the envelope or package. An original (clearly identified as such) and seven (7) copies of the proposal must be submitted. The proposal must be signed by the proposer. Unsigned proposals will be rejected. Proposals transmitted by facsimile will not be accepted or reviewed.

- I. *Proposals Due.* An original and seven (7) copies as well as an editable electronic version of proposal in software compatible with Microsoft Word 2003 must be received no later than 4:00 P.M. EST, November 26, 2007.
- J. *Minimum Submission Requirements.* At a minimum proposals must be: (1) submitted before the deadline; (2) satisfy the packaging and labeling requirements; (3) follow the required format; (4) be complete; (5) include all required forms; and (6) be duly executed. The state, at its sole discretion, may disqualify any proposal that fails to meet the minimum submission requirements.
- K. *Selection Committee.* A Selection Committee comprised of State staff or other designees as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Selection Committee shall evaluate all proposals that meet the Minimum Submission Requirements. Proposals not meeting the minimum submission requirements will not be reviewed.
- L. *Proposer Presentations.* At its discretion, the State may convene meetings with proposers in order to gain a fuller understanding of the proposals. The meetings may involve demonstrations, interviews, presentations, or site visits. If the State decides meetings are warranted, the Official State Contact will contact proposers by close of business November 30, 2007 to schedule an appointment. Any such meetings shall be held on December 5, 2007. Proposers requested to present shall be scheduled on that date, at the department's convenience, between the hours of 10:00 A.M. EST and 3:00 P.M. EST. Presentations shall not exceed one hour.
- M. *Contractor Selection.* It is the State's intention to notify the successful proposer via email on or about December 7, 2007 and to initiate this engagement as soon as possible thereafter.
- N. *Timeline.* The following timeline, up to and including the deadline for submitting proposals, shall be changed only by an amendment to this RFP. Dates after the submittal deadline are target dates only.

• October 17, 2007	RFP Released
• 4:00 P.M. EDT, October 30, 2007	Deadline for Questions
• 10:00 A.M. EST November 8, 2007	Proposers Conference
• 4:00 P.M. EST November 13, 2007	Written Answers to Questions Released
• 4:00 P.M., EST November 26, 2007	Proposals Due
• 4:00 P.M., EST November 30, 2007	Proposer Presentation Notification
• December 5, 2007	Proposer Presentations (if necessary)
• 4:00 P.M., EST December 7, 2007	Contractor Selection
• December 10, 2007	Start of Contract Negotiations
• January 14, 2008	Start of Contract

## VII. RFP CONDITIONS

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All proposers must be willing to adhere to the following conditions and must positively state this in the proposal by completing the **Vendor/Bidder Profile Sheet** (attached Form F3).

- A. The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability, in admission to, access to, or operation of its programs, services, or activities.
  
- B. All proposals in response to this RFP are to be the sole property of the State. Proposers are encouraged **NOT** to include in their proposals any information that is proprietary. All materials associated with this procurement process are subject to the terms of State laws defining freedom of information and privacy and all rules, regulations and interpretations resulting from those laws. The Connecticut Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption. An example of an exemption is a "trade secret," as defined by Connecticut General Statutes Section 1-210(b)(5)(A). Confidential information must be separated and isolated from other material in the proposal and labeled **CONFIDENTIAL** and enclosed in a separate envelope.

If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, by specifically and clearly marking said documentation as **CONFIDENTIAL**, the State will endeavor to keep said information confidential to the extent permitted by law. The State, however, has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. As set forth below, the proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall DECD or any of its staff have any liability for disclosure of documents or information in the possession of the State, which the State or such staff believes to be required pursuant to the FOIA or other requirements of law.

**IMPORTANT NOTE:** If the information is not readily available to the public from other sources and the proposer submitting the information requests confidentiality, then the information generally is considered to be "given in confidence." A convincing explanation and rationale sufficient to justify each exemption from release consistent with Section 1-210(b) of the Connecticut General Statutes shall be prepared by the proposer and shall accompany the proposal. The rationales and explanation shall be simply stated in terms of the prospective harm to the competitive position of the proposer that would result if the identified information were to be released, and you shall state the reasons why you believe the materials are legally exempt from release pursuant to Section 1-210(b) of the Connecticut General Statutes.

- C. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of the RFP is to be the sole property of the State.
  
- D. Timing and sequence of events resulting from this RFP will ultimately be determined by the State.

- E.** The proposer's proposal shall remain valid for a period of 180 days after the closing date for the submission and may be extended beyond that time by mutual agreement.
- F.** All proposed costs must be fixed through the period of the agreement. No cost submissions that are contingent on a State action will be accepted.
- G.** The State may amend or cancel this RFP, prior to the due date and time, if the State deems it to be necessary, appropriate or otherwise in the best interests of the State. Failure to acknowledge receipt of amendments, in accordance with the instructions contained in the amendments, may result in a firm's proposal not being considered.
- H.** The personnel identified in the proposer's response to this RFP will be the persons actually assigned to the project. Any additions, deletions or changes in personnel from the proposal during the course of the project must be approved by the State, with the exception of personnel who have terminated employment. Replacements for personnel who have terminated employment are subject to approval by the State. At its discretion, the State may require the removal and replacement of any of the proposer's personnel who do not perform adequately, regardless of whether they were previously approved by the State.
- I.** Any costs and expenses incurred by proposers in preparing or submitting proposals are the sole responsibility of the proposer.
- J.** A proposer must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.
- K.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, clarification of proposals may be required by the State at the proposer's sole cost and expense.

If a respondent discovers an error after submitting a bid, but prior to bid opening, the respondent may request that the bid be withdrawn. An officer or authorized representative of the firm must submit the request in writing and sign such request. If the request is approved, the respondent may submit a revised bid as long as it is received prior to the date and time of bid opening.

No alterations or corrections to bids are permitted after bids are opened. If an error is discovered after the bid opening, but before contract award, the respondent may request that the bid be withdrawn. An officer or authorized representative of the firm must submit this request in writing. The decision to permit withdrawal of a bid will be at the discretion of the Commissioner.

- L.** Proposers may be asked to give demonstrations, interviews, presentations or further explanation to the RFP Selection Committee.
- M.** The proposer represents and warrants that the proposal is not made in connection with any other proposer and is in all respects fair and without collusion or fraud. The proposer further represents and warrants that they did not participate in any part of the RFP development process, had no knowledge of the specific contents of the RFP prior to its

issuance, and that no agent, representative or employee of the State participated directly in the proposer's proposal preparation.

- N. All responses to the RFP must conform to instruction. Failure to include any required signatures, provide the required number of copies, meet deadlines, answer all questions, follow the required format, or failure to comply with any other requirements of this RFP may be considered appropriate cause for rejection of the response.
- O. The proposer accepts the State's **Standard Contract Language**, as amended from time to time.
- P. All proposals must include a minimum set-aside of ten percent (10%) of the contract value to Connecticut Department of Administrative Services certified Minority Owned Business Enterprises (MBE). MBE subconsultant(s) must be currently certified by the Department of Administrative Services. For the purposes of this RFP, a small minority owned business is defined as a business with gross revenues not exceeding \$10,000,000 during its most recent fiscal year and in which 51% ownership is held by one or more minority person(s) who exercises operational authority over daily affairs of the business, has the power to direct management and policies, and receives the beneficial interests of the business and a minority is defined as a person(s) who is American Indian, Asian, Black, Hispanic, has origins in the Iberian Peninsula, a woman, or an individual with a disability.
- Q. The contract may not be subcontracted or assigned by the respondent, in whole or in part, without the prior written consent of the State. Such consent, if granted, shall not relieve the respondent of any responsibilities under the contract. In the event the respondent proposes to subcontract for the services to be performed under the terms of the contract award, the respondent shall state this in the bid. The respondent must also attach a list of said subcontractor(s) for approval as well as an itemization of the products and/or services to be supplied by the subcontractor(s). Nothing contained in the specifications shall be construed as creating any contractual relationship between any subcontractor(s) and the State. All firms are advised that the prime consultant must perform the major part of the work with employees of the firm. Subcontractors may be used to comply with MBE requirements or perform specialized work.
- R. This RFP is not an offer and neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the State and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the State and by the Attorney General's Office. The contract may be amended only by means of a written instrument signed by the State, the proposer, and the Attorney General's Office.
- S. Pursuant to Connecticut General Statutes § 4a-81, bids or proposals for state contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a **Consulting Agreement Affidavit** (attached form F8) attesting to whether any consulting agreement has been entered into in connection with the bid or proposal. Such affidavit shall be required if any duties of the consultant

included communications concerning business of such State agency, whether or not direct contact with a State agency, State or public official or State employee was expected or made. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of Chapter 10 of the general statutes as of the date such affidavit is submitted in accordance with the provisions of Connecticut General Statutes § 4a-81.

- T. Pursuant to Connecticut General Statutes § 1-101qq, bids or proposals for a large state construction or procurement contract shall include an **Affirmation of Receipt of Summary of State Ethics Laws** (attached form F11) affirming that the key employees of such proposer have received, reviewed and understand the Summary and agree to comply with the provisions of the State ethics laws. "Large state construction or procurement contract" means any contract, having a cost of more than five hundred thousand dollars, for (A) the remodeling, alteration, repair or enlargement of any real asset, (B) the construction, alteration, reconstruction, improvement, relocation, widening or changing of the grade of a section of a state highway or a bridge, (C) the purchase or lease of supplies, materials or equipment, as defined in Section 4a-50 of the Connecticut General Statutes, or (D) the construction, reconstruction, alteration, remodeling, repair or demolition of any public building. Furthermore, pursuant to Connecticut General Statutes § 1-101qq, the proposer shall incorporate and include the Summary in all contracts with any subcontractor or consultant working or assisting the Contractor with the large state construction or procurement contract. The proposer shall require in said contracts that the key employees of any subcontractor or consultant affirm that they have received, reviewed and understand the Summary and agree to comply with the provisions of the State ethics laws. The proposer shall supply such affirmations to DECD promptly.
- U. With regard to a State contract 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 submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See Attachment A. Use attached form F11.
- V. In accordance with sections 9 and 10 of Public Act 07-142 resolutions from the "governing body" of any state contractor that the contractor "will support the nondiscrimination agreement and warranty under subdivision (1)" of Sections 4a-60 and 4a-60a must be provided by the prospective state contractors. Use attached form F6.

## VIII. REQUIRED FORMAT FOR PROPOSALS

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

- Font Size: 11 pitch
- Font Type: Arial
- Margins: 1" minimum on the top, bottom, and left side of all pages. 1.5" minimum on the right side of all pages.
- Sections must be tabbed.
- Maximum number of pages: See each section description below.
- **DO NOT** use material dependant on color distinctions, animated electronics, etc. in submissions.
- Number of Copies: An original and seven (7) copies of the proposal must be received no later than 4:00 P.M. EST, November 26, 2007.
- One (1) Editable Electronic Version. Format: Microsoft Word 2003 or compatible software.

### A. Section 1 – TABLE OF CONTENTS

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

### B. Section 2 – PROPOSER INFORMATION

Complete the following forms and include any other requested documentation that may pertain to your legal status. Unfortunately, the forms are redundant in certain areas, however, each form satisfies a solicitation/contracting requirement of the State, and the redundancy cannot be avoided at this time. Forms associated with this RFP are not optional.

- a. **Vendor/Bidder Profile Sheet** (attached form F3)
- b. **Agency Vendor Form** (attached form F2)
- c. **W-9** available at <http://www.irs.gov/pub/irs-pdf/fw9.pdf> (attached form F4)
- d. Contract Compliance Package:
  - **Notification to Bidders Form** (attached form F13)
  - **Bidder Contract Compliance Monitoring Report** (attached form F14)

### C. Section 3 - INDIVIDUAL OR ORGANIZATIONAL PROFILE

- a. *Qualifications*. Describe how your experience, education and training, or special knowledge, skills or abilities meet the required minimum qualifications of this RFP. Maximum of ten pages.
- b. *Summary of Relevant Experience*. Provide a listing of projects that the proposer has completed within the last three (3) years in the subject area with emphasis on activities relevant and related to the proposed project. Additionally, please list any contracts in the last three (3) years between the proposer and any agency of the State of Connecticut. Maximum of ten pages.
- c. *Organization Chart*. If the proposer is a firm or corporation, provide a diagram showing the hierarchical structure of functions and positions within the organization. In addition, provide an organization chart of the project team and resumes of all members of the project team.

- d. *Financial Condition.* If the proposer is a firm or corporation, include the two (2) most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA) for the entire existence of such firm or corporation.
- e. *References.* Include three (3) letters of reference from recent clients. Provide the following information for each reference: name, title, name of company, company address, email address and telephone number and a brief description (250 words or less) of the client's project and/or service provided to the client.

**D. Section 5 – PERSONNEL RESOURCES**

- a. *Staffing Plan.* Identify the personnel resources that will be assigned to each activity/task delineated in the work plan above (this includes any subcontractors to be utilized). State the proportion of time that personnel will allocate to each activity/task of the project. Include a job description for each title assigned to the personnel identified. Attach resumes reflecting their qualifications and work experience in the subject area. Maximum of three pages (not including resumes).
- b. *Key Personnel.* Identify the key personnel that will be assigned to this project. Attach resumes reflecting their qualifications and work experience in the subject area. [Note: The State must be notified in writing and in advance regarding the departure of any key personnel from the project.] Maximum of one page (not including resumes).

**E. Section 4 - STATEMENT OF WORK**

- a. *Work Plan.* Provide a detailed, task-oriented breakdown for each activity/task in the Scope of Services. Proposers wishing to add activities/tasks to those specified in the Scope of Services must show the additions as separately numbered activities/tasks. Maximum of five pages.
- b. *Methodologies.* Describe how each activity/task will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes. Maximum of five pages.
- c. *Deliverables.* List and describe the form and content of each deliverable (outcome). Include a description of the proposed method of working with the State, the resources or services requested of the State (if any), and the proposed method of receiving State approval of deliverables. Maximum of five pages.
- d. *Schedule.* Include a proposed work schedule, by activity/task, indicating when each activity/task will be accomplished. Identify any significant milestones or deadlines. Include due dates for all deliverables. Include PERT chart and Project Flow Chart. Maximum of five pages.
- e. *Small Minority Owned Business Set-aside.* Provide a detailed description of how the 10% minimum small minority owned business set-aside is to be achieved. A list of the designated certified Minority Owned Business Enterprise (MBE) subconsultant(s), likely to be used must be included. Maximum of two pages. Also, for each include attached forms F12 and F14.

**F. Section 6 - PROPOSED COST**

- a. All offers must be itemized, identifying discrete tasks/activities and deliverables and their associated time and materials cost. Use the attached *cost proposal form* (attached form F1). Proposals must be priced as a not-to-exceed all inclusive dollar amount for the completion of all tasks identified. *Note: The State of Connecticut is*

*exempt from the payment of excise, transportation and sales taxes imposed by the Federal Government and/or the State. Such taxes must not be included in the proposed cost.* There is no cost to the state for the resulting contract. It is anticipated that payments to the selected vendor will be performance-based and paid upon services rendered. If in the best interest of the State services are, at some point during the term of the contract, no longer required, the State will be under no obligation to provide any compensation beyond work performed to that date.

**G. Section 7 – CONFLICT OF INTEREST**

- a. Include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest as defined by Connecticut General Statutes Section 1-85. Maximum of 3 pages.

**H. SECTION 8 – AFFIDAVITS (Consulting Agreement and Summary of State Ethics Laws)**

- a. Submit a **Consulting Agreement Affidavit** (attached form F8) if the bid or proposal is for a state contract (only to be used with contracts for the purchase of goods and services) with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, attesting to whether any consulting agreement has been entered into in connection with the bid or proposal.
- b. Submit an **Affirmation of Receipt of Summary of State Ethics Laws** (attached form F11) if the bid or proposal is for a large state construction or procurement contract having a cost of \$500,000 or more for (A) the remodeling, alteration, repair or enlargement of any real asset, (B) the construction, alteration, reconstruction, improvement, relocation, widening or changing of the grade of a section of a state highway or a bridge, (C) the purchase or lease of supplies, materials or equipment, as defined in Section 4a-50 of the Connecticut General Statutes, or (D) the construction, reconstruction, alteration, remodeling, repair or demolition of any public building.

**I. Section 9 - ADDITIONAL DATA**

- a. Provide two specific examples that demonstrate your company's ability to conduct the research and analysis called for in the scope of work. Maximum of one page for each example.
- b. Provide any additional information, which the proposer wishes to bring to the attention of the State that is relevant to this RFP. Maximum of three pages.

**IX. EVALUATION OF PROPOSALS**

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A Selection Committee comprised of State staff or other designees as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Selection Committee shall evaluate all proposals that meet the Minimum Submission Requirements.

The following criteria shall be those utilized in the selection process. They are presented as a guide for the proposer in understanding the State's requirements and expectations for this project and are not necessarily presented in order of importance.

- A. *PROPOSED WORK PLAN.*** Emphasis will be on grasp of the problems involved, soundness of approach and the quality of the overall proposal including the proposer's ability to complete the activities/tasks and produce the necessary products within the required time frame as stated in the proposal.

- B. *EXPERIENCE, EXPERTISE, AND CAPABILITIES.* Background, qualifications, and previous experience of personnel to be assigned to the project and their demonstrated competence, experience and expertise in the type of work to be performed.
- C. *REFERENCES.* Self-explanatory.
- D. *SUBCONTRACTING TO SMALL MINORITY OWNED BUSINESSES.* All proposals must include a set-aside of 10% to small minority owned businesses. Proposals with a higher percentage (up to 25%) of work being done by small minority owned businesses shall be given greater credence.
- E. *DEMONSTRATED COMMITMENT TO AFFIRMATIVE ACTION.* Regulations of Connecticut State Agencies Section 46a-68j-30(10) require an agency to consider the following factors when awarding a contract that is subject to contract compliance requirements:
  - a. the proposer's success in implementing an affirmative action plan;
  - b. the proposer's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
  - c. the proposer's promise to develop and implement a successful affirmative action plan;
  - d. the proposer's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
  - e. the proposer's promise to set aside a portion of the contract for legitimate minority business enterprises (**see Contract Compliance Package** - Attached Forms F13 and F14).
- F. *PROPOSED COST.* Proposed cost will be evaluated separately once all other criteria have been evaluated, rated and ranked.

## **X. RIGHTS RESERVED TO THE STATE**

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The State reserves the right to award in part, to reject any and all bids in whole or in part for misrepresentation or if the proposer is in default of any prior State contract, or if the bid or proposal limits or modifies any of the terms and conditions and/or specifications of the RFP. The State also reserves the right to waive technical defect, irregularities and omissions if, in its judgment, the best interest of the State will be served.

The State reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.

## ATTACHMENT A

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

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

#### **Campaign Contribution and Solicitation Ban**

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

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

#### **Duty to Inform**

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

#### **Penalties for Violations**

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

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

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

#### **Contract Consequences**

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

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections

Enforcement Commission determines that mitigating circumstances exist concerning such violation.

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

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

#### Definitions:

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

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid pre-qualification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

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

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

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

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

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

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

## **ATTACHMENT B**

### **SECTION FOUR OF PUBLIC ACT 07-239**

Sec. 4. (NEW) (Effective from passage) (a) On or before July 1, 2009, and every five years thereafter, the Commissioner of Economic and Community Development, within available appropriations, shall prepare an economic strategic plan for the state in consultation with the Secretary of the Office of Policy and Management, the Commissioners of Environmental Protection and Transportation, the Labor Commissioner, the executive directors of the Connecticut Housing Finance Authority, the Connecticut Development Authority, the Connecticut Innovations, Inc. , the Commission on Culture and Tourism and the Connecticut Health and Educational Facilities Authority, and the president of the Office of Workforce Competitiveness, or their respective designees, and any other agencies the Commissioner of Economic and Community Development deems appropriate.

(b) In developing the plan, the Commissioner of Economic and Community Development shall:

(1) Ensure that the plan is consistent with (A) the text and locational guide map of the state plan of conservation and development, adopted pursuant to chapter 297 of the general statutes, (B) the long-range state housing plan, adopted pursuant to section 8-37t of the general statutes, and (C) the transportation strategy adopted pursuant to section 13b-57g of the general statutes;

(2) Consult regional councils of governments, regional planning organizations, regional economic development agencies, interested state and local officials, entities involved in economic and community development, stakeholders and business, economic, labor, community and housing organizations;

(3) Consider (A) regional economic, community and housing development plans, and (B) applicable state and local workforce investment strategies;

(4) Assess and evaluate the economic development challenges and opportunities of the state and against the economic development competitiveness of other states and regions; and

(5) Host regional forums to provide for public involvement in the planning process.

(c) The strategic plan required under this section shall include, but not be limited to, the following:

(1) A review and evaluation of the economy of the state. Such review and evaluation shall include, but not be limited to, a sectoral analysis, housing market and housing affordability analysis, labor market and labor quality analysis, demographic analysis and include historic trend analysis and projections;

(2) A review and analysis of factors, issues and forces that impact or impede economic development and responsible growth in Connecticut and its constituent regions. Such factors, issues or forces shall include, but not be limited to, transportation, including, but not limited to, commuter transit, rail and barge freight, technology transfer, brownfield remediation and development, health care delivery and costs, early education, primary education, secondary and post secondary education systems and student performance, business regulation, labor force quality and sustainability, social services costs and delivery systems, affordable and workforce housing cost and availability, land use policy, emergency preparedness, taxation, availability of capital and energy costs and supply;

- (3) Identification and analysis of economic clusters that are growing or declining within the state;
  - (4) An analysis of targeted industry sectors in the state that (A) identifies those industry sectors that are of current or future importance to the growth of the state's economy and to its global competitive position, (B) identifies what those industry sectors need for continued growth, and (C) identifies, those industry sectors current and potential impediments to growth;
  - (5) A review and evaluation of the economic development structure in the state, including, but not limited to, (A) a review and analysis of the past and current economic, community and housing development structures, budgets and policies, efforts and responsibilities of its constituent parts in Connecticut; and (B) an analysis of the performance of the current economic, community and housing development structure, and its individual constituent parts, in meeting its statutory obligations, responsibilities and mandates and their impact on economic development and responsible growth in Connecticut;
  - (6) Establishment and articulation of a vision for Connecticut that identifies where the state should be in five, ten, fifteen and twenty years;
  - (7) Establishment of clear and measurable goals and objectives for the state and regions, to meet the short and long-term goals established under this section and provide clear steps and strategies to achieve said goals and objectives, including, but not limited to, the following: (A) The promotion of economic development and opportunity, (B) the fostering of effective transportation access and choice including the use of airports and ports for economic development, (C) enhancement and protection of the environment, (D) maximization of the effective development and use of the workforce consistent with applicable state or local workforce investment strategy, (E) promotion of the use of technology in economic development, including access to high-speed telecommunications, and (F) the balance of resources through sound management of physical development;
  - (8) Prioritization of goals and objectives established under this section;
  - (9) Establishment of relevant measures that clearly identify and quantify (A) whether a goal and objective is being met at the state, regional, local and private sector level, and (B) cause and effect relationships, and provides a clear and replicable measurement methodology;
  - (10) Recommendations on how the state can best achieve goals under the strategic plan and provide cost estimates for implementation of the plan and the projected return on investment for those areas; and
  - (11) Any other responsible growth information that the commissioner deems appropriate.
- (d) On or before July 1, 2009, and every five years thereafter, the Commissioner of Economic and Community Development shall submit an economic development strategic plan for the state to the Governor for approval. The Governor shall review and approve or disapprove such plan not more than sixty days after submission. The plan shall be effective upon approval by the Governor or sixty days after the date of submission.
  - (e) Upon approval, the commissioner shall submit the economic development strategic plan to the joint standing committees of the General Assembly having cognizance of matters relating to commerce, planning and development, appropriations and the budgets of state agencies and

finance, revenue and bonding. Not later than thirty days after such submission, the commissioner shall post the plan on the web site of the Department of Economic and Community Development.

(f) The commissioner from time to time may revise and update the strategic plan upon approval of the Governor. The commissioner shall post any such revisions on the web site of the Department of Economic and Community Development.



# F2 -DECD VENDOR/BIDDER PROFILE SHEET

(Form DECD RFP1 07-07)

Subject of RFP	Submission Due	Date Issued
Procurement of Services	, 2007	, 2007

Complete Vendor/Bidder Name:	Federal Employer Id Number/SSN:
Vendor/Bidder Address:	
Contact Person's Name:	Telephone Number(s):
Contact Person's Email Address:	Fax Number:
Alternate Contact Person's Name:	Telephone Number(s):
Alternate Contact Person's Email Address:	Fax Number:

### AFFIRMATION OF VENDOR/BIDDER

The undersigned Vendor/Bidder affirms and declares:

- That this proposal is executed and signed by said Vendor/Bidder with full knowledge and acceptance of the conditions as stated in the CONDITIONS Section of the RFP.  
 YES       NO
- That the services shall be delivered to the agency at the prices proposed therein and within the timeframes as delineated in the RFP.  
 YES       NO
- That neither the Vendor/Bidder and/or any company official nor any subcontractor to the Vendor/Bidder and/or any subcontractor company official has received any notices of debarment and/or suspension from contracting with the State of Connecticut or the Federal Government.  
 YES       NO
- That neither the Vendor/Bidder and/or any company official nor any subcontractor to the Vendor/Bidder and/or any subcontractor company official has received any notices of debarment and/or suspension from contracting with other states within the United States.  
 YES       NO

### ACKNOWLEDGEMENT OF VENDOR/BIDDER

With regard to a State contract as defined in Public Act 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 undersigned expressly acknowledges:

Receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions.

YES       NO

Written Signature of Person Authorized to Bind the Vendor/Bidder Contractually	Date
--	------

Type or Print Name of Authorized Signator	Title of Signator
---	-------------------

### IF VENDOR/BIDDER IS A CORPORATION

What is the authority of signator to bind the Vendor/Bidder contractually?

Corporate Resolution     Corporate By Laws     Other    **(Please provide a written copy.)**

Is your business income reportable to the IRS?  Yes     No

Are you a minority owned business?     Yes     No  
 Women Owned     Black                       Hispanic  
 Black & Hispanic     Aleutian & Eskimo  
 American Indian     Asian

**STATE OF CONNECTICUT - AGENCY VENDOR FORM**

SP-26NB Rev. 4/03

**IMPORTANT: ALL parts of this form must be completed, signed and returned by the vendor.****READ & COMPLETE CAREFULLY**

COMPLETE VENDOR LEGAL BUSINESS NAME		Taxpayer ID # (TIN): <input type="checkbox"/> SSN <input type="checkbox"/> FEIN	
WRITE/TYPE SSN/FEIN NUMBER ABOVE			
BUSINESS NAME, TRADE NAME, DOING BUSINESS AS (IF DIFFERENT FROM ABOVE)			
BUSINESS ENTITY: <input type="checkbox"/> CORPORATION <input type="checkbox"/> LLC CORPORATION <input type="checkbox"/> LLC PARTNERSHIP <input type="checkbox"/> LLC SINGLE MEMBER ENTITY <input type="checkbox"/> NON-PROFIT <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> INDIVIDUAL/SOLE PROPRIETOR			
<b>NOTE: IF INDIVIDUAL/SOLE PROPRIETOR, INDIVIDUAL'S NAME (AS OWNER) MUST APPEAR IN THE LEGAL BUSINESS NAME BLOCK ABOVE.</b>			
BUSINESS TYPE: A. SALE OF COMMODITIES B. MEDICAL SERVICES C. ATTORNEY FEES D. RENTAL OF PROPERTY (REAL ESTATE & EQUIPMENT)			
E. OTHER (DESCRIBE IN DETAIL)			
UNDER THIS TIN, WHAT IS THE PRIMARY TYPE OF BUSINESS YOU PROVIDE TO THE STATE? (ENTER LETTER FROM ABOVE) →			
UNDER THIS TIN, WHAT OTHER TYPES OF BUSINESS MIGHT YOU PROVIDE TO THE STATE? (ENTER LETTER FROM ABOVE) →			
<b>NOTE: IF YOUR BUSINESS IS A PARTNERSHIP, YOU MUST ATTACH THE NAMES AND TITLES OF ALL PARTNERS TO YOUR BID SUBMISSION.</b>			
<b>NOTE: IF YOUR BUSINESS IS A CORPORATION, IN WHICH STATE ARE YOU INCORPORATED?</b>			
VENDOR ADDRESS		STREET	
		CITY	
		STATE	
		ZIP CODE	
Add Additional Business Address & Contact information on back of this form.			
VENDOR E-MAIL ADDRESS		VENDOR WEB SITE	
<b>REMITTANCE INFORMATION: INDICATE BELOW THE REMITTANCE ADDRESS OF YOUR BUSINESS.</b> <input type="checkbox"/> SAME AS VENDOR ADDRESS ABOVE.			
REMIT ADDRESS		STREET	
		CITY	
		STATE	
		ZIP CODE	
CONTACT INFORMATION: NAME (TYPE OR PRINT)			
1 <sup>ST</sup> BUSINESS PHONE:		Ext. #	
2 <sup>ND</sup> BUSINESS PHONE:		Ext. #	
CELLULAR:		HOME PHONE:	
1 <sup>ST</sup> FAX NUMBER:		1 <sup>ST</sup> PAGER:	
2 <sup>ND</sup> FAX NUMBER:		2 <sup>ND</sup> PAGER:	
		TOLL FREE PHONE:	
		TELEX:	
WRITTEN SIGNATURE OF PERSON AUTHORIZED TO SIGN PROPOSALS ON BEHALF OF THE ABOVE NAMED VENDOR			DATE EXECUTED
<b>← SIGN HERE</b>			
TYPE OR PRINT NAME OF AUTHORIZED PERSON		TITLE OF AUTHORIZED PERSON	
IS YOUR BUSINESS CURRENTLY A DAS CERTIFIED SMALL BUSINESS ENTERPRISE? <input type="checkbox"/> YES (ATTACH COPY OF CERTIFICATE) <input type="checkbox"/> NO			
IF YOU ARE A STATE EMPLOYEE, INDICATE YOUR POSITION, AGENCY & AGENCY ADDRESS			
<b>FOR PURCHASE ORDER DISTRIBUTION: 1) CHECK ONLY ONE BOX BELOW 2) INPUT E-MAIL ADDRESS OR FAX # (IF CHECKED)</b>			
<input type="checkbox"/> E-MAIL		<input type="checkbox"/> FAX	
		<input type="checkbox"/> USPS MAIL <input type="checkbox"/> EDI	
<b>If EDI was selected, give us a person to contact in your company to set up EDI:</b>			
NAME:			
E-MAIL ADDRESS:			
TELEPHONE NUMBER:			
<b>FOR REQUEST FOR QUOTATION (RFQ) DISTRIBUTION: 1) CHECK ONLY ONE BOX BELOW 2) INPUT E-MAIL ADDRESS OR FAX # (IF CHECKED)</b>			
<input type="checkbox"/> E-MAIL		<input type="checkbox"/> FAX	
		<input type="checkbox"/> USPS MAIL	

**ADD FURTHER BUSINESS ADDRESS, E-MAIL & CONTACT INFORMATION ON SEPARATE SHEET IF REQUIRED**

## Request for Taxpayer Identification Number and Certification

**Give form to the  
requester. Do not  
send to the IRS.**

Print or type See Specific Instructions on page 2	Name (as shown on your income tax return)	
	Business name, if different from above	
	Check appropriate box: <input type="checkbox"/> Individual/ Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other ▶ .....	
	<input type="checkbox"/> Exempt from backup withholding	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
List account number(s) here (optional)		

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

or

Employer identification number									

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (See the instructions on page 4.)

Sign Here	Signature of U.S. person ▶	Date ▶
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### Purpose of Form

A person who is required to file an information return with the IRS, must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

**U.S. person.** Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

For federal tax purposes you are considered a person if you are:

- An individual who is a citizen or resident of the United States,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, or

- Any estate (other than a foreign estate) or trust. See Regulations sections 301.7701-6(a) and 7(a) for additional information.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.**

Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.

4. The type and amount of income that qualifies for the exemption from tax.

5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments (after December 31, 2002). This is called "backup withholding." Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester, or
2. You do not certify your TIN when required (see the Part II instructions on page 4 for details), or
3. The IRS tells the requester that you furnished an incorrect TIN, or
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Name

If you are an individual, you must generally enter the name shown on your social security card. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your social security card on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

**Limited liability company (LLC).** If you are a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Treasury regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line. Check the appropriate box for your filing status (sole proprietor, corporation, etc.), then check the box for "Other" and enter "LLC" in the space provided.

**Other entities.** Enter your business name as shown on required Federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

**Note.** You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

### Exempt From Backup Withholding

If you are exempt, enter your name as described above and check the appropriate box for your status, then check the "Exempt from backup withholding" box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

**Exempt payees.** Backup withholding is not required on any payments made to the following payees:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,

7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt recipients listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt recipients except for 9
Broker transactions	Exempt recipients 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt recipients 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt recipients 1 through 7 <sup>2</sup>

<sup>1</sup>See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup>However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees; and payments for services paid by a Federal executive agency.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-owner LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter your SSN (or EIN, if you have one). If the LLC is a corporation, partnership, etc., enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.socialsecurity.gov/online/ss-5.pdf](http://www.socialsecurity.gov/online/ss-5.pdf). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses/](http://www.irs.gov/businesses/) and clicking on Employer ID Numbers under Related Topics. You can get Forms W-7 and SS-4 from the IRS by visiting [www.irs.gov](http://www.irs.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Writing "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt recipients, see *Exempt From Backup Withholding* on page 2.

**Signature requirements.** Complete the certification as indicated in 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or single-owner LLC	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Sole proprietorship or single-owner LLC	The owner <sup>3</sup>
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one). If you are a sole proprietor, IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the legal trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, and the District of Columbia to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

**CERTIFICATE OF CORPORATION**

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I, \_\_\_\_\_ certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that \_\_\_\_\_, who signed said instrument on behalf of the Corporation was then \_\_\_\_\_ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

CERTIFICATION

I \_\_\_\_\_ (signer's name), \_\_\_\_\_ (title) of \_\_\_\_\_ (name of entity), an entity lawfully organized and existing under the laws of \_\_\_\_\_ (name of state or commonwealth), do hereby certify that the following is a true and correct copy of a resolution adopted on the \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by the governing body of \_\_\_\_\_ (name of entity), in accordance with all of its documents of governance and management and the laws of \_\_\_\_\_ (name of state or commonwealth) and further certify that such resolution has not been modified, rescinded or revoked, and is at present in full force and effect.

RESOLVED: That \_\_\_\_\_ (name of entity) hereby adopts as its policy to support the nondiscrimination agreements and warranties required under Conn. Gen. Stat. § 4a-60(a)(1) and § 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142, as those statutes may be amended from time to time.

IN WITNESS WHEREOF, the undersigned has executed this certificate this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Print Name:

Title:

**MINORITY/WOMEN-OWNED BUSINESS CERTIFICATION**

---

Complete Legal Name of Business: \_\_\_\_\_

Headquarters

Address: \_\_\_\_\_

Town: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Mailing Address (if different) \_\_\_\_\_

Town: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

**Does your firm meet the following definition of a minority business enterprise (MBE)?**

YES                       NO

**A minority business enterprise (MBE) is defined as:** A small business with at least 51% ownership by one or more minority person(s)\* who exercise operational authority over the daily affairs of the business, has the power to direct the management, policies and receives beneficial interests of the business.

\* Who is considered a minority? A person(s) who is Black, Hispanic, Asian, American Indian, has origins in the Iberian Peninsula, a woman, and an individual with a disability according to the Americans with Disabilities Act - see program information for more detail.

Date Business was first established: \_\_\_/\_\_\_/\_\_\_ Total Number of employees \_\_\_\_\_

Type of Business **(Check only one)**

<input type="checkbox"/> Sole Proprietorship	Date Established	___/___/___
<input type="checkbox"/> General Partnership	Date of Partnership	___/___/___
<input type="checkbox"/> Limited Liability Partnership	Date of Partnership	___/___/___
<input type="checkbox"/> Corporation	Date of Incorporation	___/___/___
<input type="checkbox"/> Limited Liability Company (LLC)	Date of LLC	___/___/___

Number of years company has been owned and managed by present owner: \_\_\_\_\_

Identify the Principal(s) and/or Officer(s) of the company:

<u>Name(s) of Present Principals/Titles</u>	<u>% of Ownership</u>
_____/_____	_____
_____/_____	_____
_____/_____	_____
_____/_____	_____

**REQUEST FOR PROPOSAL**  
**Housing Registry & Related Services**

Please identify the category under which certification of your business enterprise as minority owned, woman-owned or owned by a person(s) with a disability select one or more of the following categories:

A minority is a person who is a citizen or lawful permanent resident of the United States and who is included in one of the following categories:

<u>Minority Category</u>	<u>Gender</u>	<u>% of Ownership</u>
___ Black American	M / F	_____ %
___ Hispanic American	M / F	_____ %
___ Iberian Peninsula	M / F	_____ %
___ Asian American	M / F	_____ %
___ American Indians	M / F	_____ %
___ Individual w/ a disability	M / F	_____ %
___ Woman (circle below)	M / F	_____ %

*White > Black > Hispanic > Iberian Peninsula > Asian > American Indian*

“The undersigned swears the forgoing statements are true and correct and including all material information necessary to identify and explain the operations of \_\_\_\_\_ as well as the ownership thereof.”

**Signature:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Corporate Seal (where appropriate)**

**STATE OF CONNECTICUT**  
**OFFICE OF POLICY AND MANAGEMENT**  
**Policies and Guidelines**

**Consulting Agreement Affidavit**

*Consulting agreement affidavit to accompany state contracts for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Conn. Gen. Stat. §4a-81.*

*This affidavit is required if a bidder or vendor has entered into any consulting agreements whereby the duties of the consultant include communications concerning business of such state agency, whether or not direct contact with a state agency, state or public official or state employee was expected or made. Pursuant to Conn. Gen. Stat. §4a-81, "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the general statutes as of the date such affidavit is submitted in accordance with the provisions of this section.*

I, Type/Print Name, Title and Name of Firm or Corporation, hereby swear that I am the chief official of the bidder or vendor of the Contract or authorized to execute such Contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except the agreements listed below:

Contractor's Name, Title and Firm or Corporation:

Terms of Consulting Agreement (Date of Execution, Amount, Expiration Date):

Brief Description of Services Provided (Purpose, Scope, Activities, Outcomes):

Yes No Is the Consultant a former state employee or public official?

*If yes, provide the following information about the former state employee or public official:*

- Former Agency:
- Date Such Employment Terminated:

**Attach additional sheets if necessary. This affidavit must be amended if Contractor enters into any new consulting agreements during the term of this Contract**

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

\_\_\_\_\_  
Signature Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_\_  
\_\_\_\_\_

Commissioner of the Superior Court

Notary Public

**STATE OF CONNECTICUT**  
**OFFICE OF POLICY AND MANAGEMENT**  
**Policies and Guidelines**

**Gift Certification**

*Gift certification to accompany State Contracts with a value of \$50,000 or more in a calendar or fiscal year, pursuant Conn. Gen. Stat. §§ 4-250 and 4-252, and Governor M. Jodi Rell's Executive Order No. 7C, para. 10.*

I, Type/Print Name, Title and Name of Firm or Corporation, am authorized to execute the attached contract on behalf of the Name of Firm or Corporation (the "Contractor"). I hereby certify that between mm/dd/yy (planning date) and mm/dd/yy (date of the execution of the attached contract) that neither myself, the Contractor, nor any of its principals or key personnel who participated directly, extensively and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation of this contract, nor any agent of the above, gave a gift, as defined in Conn. Gen. Stat. § 1-79(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), to (1) any public official or state employee of the contracting state agency or quasi-public agency who participated directly, extensively, and substantially in the preparation of the bid solicitation or request for proposals for the contract (if applicable) or in the negotiation or award of this contract; or (2) any public official or state employee of any other state agency who has supervisory or appointing authority over the state agency or quasi-public agency executing this contract, except the gifts listed below: \_\_\_\_\_

Name of Benefactor	Name of recipient	Gift Description	Value	Date of Gift
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List information here

Further, neither I nor any principals or key personnel of the Contractor, nor any agent of the above, knows of any action by Contractor to circumvent such prohibition on gifts by providing for any other principals, key personnel, officials, employees of Contractor, nor any agent of the above, to provide a gift to any such public official or state employee.

Further, the Contractor made its bid or proposal without fraud or collusion with any person.

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

_____	_____
Signature	Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200

\_\_\_\_\_  
Commissioner of the Superior Court  
Notary Public



**STATE OF CONNECTICUT  
OFFICE OF POLICY AND MANAGEMENT  
Policies and Guidelines**

This form is **MANDATORY** and must be completed, signed, and returned before the Contractor's bid can be considered by the State. **NO STATE AGENCY SHALL ACCEPT A BID FOR A LARGE STATE CONSTRUCTION OR PROCUREMENT CONTRACT WITHOUT SUCH AFFIRMATION.**

**AFFIRMATION OF RECEIPT OF SUMMARY OF STATE ETHICS LAWS  
(Bid or Proposal)**

INSTRUCTION: Contractor must sign the affirmation below, and return this form to the awarding State agency.

The undersigned duly authorized representative of the bidding Contractor affirms (1) receipt of the ~~summary of State ethics laws available at \_\_\_\_\_~~ [http://www.ct.gov/ethics/lib/ethics/contractors\\_guide\\_final2.pdf](http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf), (2) that key employees of such Contractor have read and understand the summary and (3) that Contractor agrees to comply with the provisions of State ethics laws.

*(Please print name under signature line.)*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**On behalf of:**

\_\_\_\_\_

Contractor Name

\_\_\_\_\_

Street Address

\_\_\_\_\_

City

State

Zip

\_\_\_\_\_

Federal Employer Identification Number  
(FEIN/SSN)

This form is **MANDATORY** and must be completed, signed, and returned to the awarding State agency pursuant to Conn. Gen. Stat. § 1-101qq.

**STATE OF CONNECTICUT  
OFFICE OF POLICY AND MANAGEMENT  
Policies and Guidelines**

This form is **MANDATORY** and must be completed, signed, and returned prior to the execution of the contract by the awarding agency. **NO STATE AGENCY SHALL ENTER INTO A CONTRACT FOR A LARGE STATE CONSTRUCTION OR PROCUREMENT CONTRACT WITHOUT SUCH AFFIRMATION.**

**AFFIRMATION OF RECEIPT OF SUMMARY OF STATE ETHICS LAWS  
(Executed contracts without a previous bid or proposal)**

INSTRUCTION: Contractor must sign the affirmation below, and return this form to the awarding State agency prior to the execution of the contract by such agency.

The undersigned duly authorized representative of the Contractor affirms (1) receipt of the ~~summary of State ethics laws available at~~ [http://www.ct.gov/ethics/lib/ethics/contractors\\_guide\\_final2.pdf](http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf), (2) that key employees of such Contractor have read and understand the summary and (3) that Contractor agrees to comply with the provisions of State ethics laws.

*(Please print name under signature line.)*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**On behalf of:**

\_\_\_\_\_  
Contractor Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City State Zip

\_\_\_\_\_  
Federal Employer Identification Number  
(FEIN/SSN)

This form is **MANDATORY** and must be completed, signed, and returned prior to the execution of the contract by the awarding State agency pursuant to Conn. Gen. Stat. § 1-101qq.

**STATE OF CONNECTICUT  
OFFICE OF POLICY AND MANAGEMENT  
Policies and Guidelines**

This form is **MANDATORY** and must be completed, signed, and returned to the Contractor. Contractor shall be obligated to provide such affirmation to the awarding State agency in a timely manner. **FAILURE TO SUBMIT SUCH AFFIRMATIONS IN A TIMELY MANNER SHALL BE CAUSE FOR TERMINATION OF THE LARGE STATE CONSTRUCTION OR PROCUREMENT CONTRACT.**

**SUBCONTRACTOR AND/OR CONSULTANT  
AFFIRMATION OF RECEIPT OF SUMMARY OF STATE ETHICS LAWS**

INSTRUCTION: Subcontractor(s) and/or consultant(s) must sign the affirmation below, and return this form to the Contractor. Contractor is obligated to submit such affirmation to the awarding State agency in a timely manner.

The undersigned duly authorized representative of the subcontractor or consultant affirms (1) receipt of ~~the summary of State ethics laws available at~~ [http://www.ct.gov/ethics/lib/ethics/contractors\\_guide\\_final2.pdf](http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf), (2) that key employees of such subcontractor or consultant have read and understand the summary and (3) agrees to comply with the provisions of State ethics laws.

*(Please print name under signature line.)*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**On behalf of:**

\_\_\_\_\_  
Subcontractor and/or Consultant Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City State Zip

\_\_\_\_\_  
Federal Employer Identification Number  
(FEIN/SSN)

This form is **MANDATORY** and must be completed, signed, and returned to the Contractor. Contractor shall be obligated to provide such affirmation to the awarding State agency pursuant to Conn. Gen. Stat. § 1-101qq.

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

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

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

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

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

**INSTRUCTIONS AND OTHER INFORMATION**

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

1) **Definition of Small Contractor**

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

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

<p><b>MANAGEMENT:</b> Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.</p> <p><b>BUSINESS AND FINANCIAL OPERATIONS:</b> These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.</p> <p><b>COMPUTER SPECIALISTS:</b> Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists</p> <p><b>ARCHITECTURE AND ENGINEERING:</b> Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.</p> <p><b>OFFICE AND ADMINISTRATIVE SUPPORT:</b> All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.</p>	<p><b>BUILDING AND GROUNDS CLEANING AND MAINTENANCE:</b> This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.</p> <p><b>CONSTRUCTION AND EXTRACTION:</b> This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..</p> <p><b>INSTALLATION, MAINTENANCE AND REPAIR:</b> Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.</p> <p><b>MATERIAL MOVING WORKERS:</b> The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p>
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3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

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

**PART I - Bidder Information**

(Page 3)

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1)  -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__
Bidder Parent Company (If any)	- Bidder is certified as above by State of CT Yes__ No__
Other Locations in Ct. (If any)	- DAS Certification Number _____

**PART II - Bidder Nondiscrimination Policies and Procedures**

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

**Part III - Bidder Subcontracting Practices**

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__  1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)          1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__
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JOB CATEGORY	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

PART V - Bidder Hiring and Recruitment Practices

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

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

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

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

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

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

(use additional sheets as necessary)

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

\_\_\_\_\_ state contractor legal name

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

\_\_\_\_\_ state contract number

\_\_\_\_\_ signature of official

\_\_\_\_\_ state contract awarding agency

\_\_\_\_\_ date of affidavit

Subscribed and sworn to before me, this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court  
My Commission expires \_\_\_\_\_

## AMENDMENT 1

### **RELEVANT QUESTIONS AND ANSWERS REGARDING THE REQUEST FOR PROPOSAL FOR ECONOMIC STRATEGIC PLANNING AND RESEARCH SERVICES**

This document contains all of the relevant questions received in writing prior to the October 30, 2007 deadline for written questions and at the November 8, 2007 Proposers Conference and the Department of Economic and Community Development's responses regarding the Request for Proposal for Economic Strategic Planning and Research Services. This document amends the Request for Proposal for Economic Strategic Planning and Research Services released on October 17, 2007.

#### **QUESTIONS AND ANSWERS**

**The Department of Economic and Community Development (DECD) received the following question regarding the proposers conference:**

- Can firms participate in the pre-bid proposers' conference via conference call?
- Will the attendance list of attendees at the Bidders' Conference be made available to all attendees?

**DECD Response:**

Proposer's may not participate in the bidders conference via conference call. Per the RFP, the answers to questions received in writing prior to due date for questions or posed at the bidders conference will be posted on the DECD website no later than close of business November 13, 2007. The list of attendees to the proposer's conference will be included in this posting.

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**DECD received the following question regarding the due date of the RFP:**

- We note that the RFP due date is Monday, November 26, which immediately follows the long Thanksgiving holiday weekend when many people travel out of town to be with family. In light of this, we wonder if your agency would be willing to consider extending the deadline modestly to the following Friday the 30th of November?
- When will DECD have a final decision on the deadlines of submission?
- If there is any change on the dates, how will the proposers be notified?

**DECD Response:**

DECD has elected to extend the due date for proposals from 4:00 P.M. EST, November 26, 2007 to 4:00 P.M. EST, November 29, 2007. As a result of this change additional dates within the RFP have been affected and therefore revised. See revisions below. DECD still anticipates the start of the contract to be on or about mid-January of 2008.

**Additional Revised Dates:**

- 4:00 P.M., EST November 29, 2007      Proposals Due
- 4:00 P.M., EST December 14, 2007      Proposer Presentation Notification

- December 19, 2007

Proposer Presentations (if necessary)

Proposers conference participants and those individuals that submitted written questions will be emailed a copy of the questions and answers which includes the revised RFP schedule.

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**DECD received the following questions regarding the budget for this RFP:**

- Is there a proposed budget or budget range associated with the Economic Strategic Planning & Research Services project?
- Can you by chance advise us with regard to the budget allocation for this project, as we would like to submit a proposal in partnership with a Connecticut based associate?
- Our budget will depend on many answers to detailed questions... We are not clear whether some of these pass through charges should appear in our budget or DECD (i.e. Focus group participation reimbursement cost, mailing list distribution list, facility costs, transcription service, tv ads, etc.) Would showing the line item and referencing that we would pass the charge on to you be adequate?
- Does DECD anticipate the budget for this project is ample enough to include inducements for individuals who participate in focus groups?
- Does DECD have the budget range for this project?
- Regarding the 10% set-aside small/minority owned businesses; will the agency select pieces of services from various consultants who responded to the RFP for consideration?
- Task 5: How can the proposers set the budget for each task required?

**DECD Response:**

Proposers have been asked to prepare a cost proposal for each task appearing in the RFP. DECD may elect to contract for all or some of the tasks from the selected consultant.

No costs are to be passed directly to DECD. DECD expects proposers to include all of the costs associated with the execution and completion of each task appearing in the RFP to be outlined in their cost proposals. If a proposer believes a cost is necessary for the execution and completion of a task, they should include it.

With regard to pricing Task 5 of the RFP, proposers should itemize to the level of detail they feel is necessary to adequately respond - i.e. provide a cost for each different activity listed in Task 5 of the RFP.

---

**DECD received the following questions regarding the Cost Proposal Form - Form F1 - for this RFP:**

- With regard to the Cost Proposal form (Form F1), not all consultants price using the direct labor and overhead rate method represented in the form. Are we seeking proposals from those firms that do not price that way or just the ones that do?

- Is there any objection to putting the budget form on excel?

**DECD Response:**

DECD encourages all eligible proposers to submit proposals. If a proposer does not normally price in the fashion outlined in Form F1, they should consider doing so in this case. If it is not possible for them to do so, they are still encouraged to submit a proposal with the condition that they use Form F1 and indicate on the form that overhead is included in the direct labor charge and provide an explanation as to how the rates were calculated. Please note that cost proposals prepared in this fashion, though accepted, will be penalized in the evaluation process.

DECD will post the Cost Proposal Form (Form F1) on the DECD website in excel form.

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**DECD received the following questions regarding financial statements required under section VIII. C. d. of this RFP:**

- If the proposer has only one audit statement, would it be acceptable? Is there any specific format required?
- About the audited statements, can this be clarified in the Q&A that will be sent out on Nov. 13?

**DECD Response:**

If the proposer is a firm or corporation, include the two (2) most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA) for the entire existence of such firm or corporation.

Proposers that cannot meet the aforementioned requirement may substitute tax returns for the firm or for the owners of the business for the years for which audited statements are not available and will certify that no audited statements for those years exist.

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**DECD received the following questions regarding the timeline appearing in the RFP:**

- Please clarify the dates for Part II (Scope of Services), Section 1 (Consultation, Outreach and Public Input) and Part VI (RFP Procedures), Paragraph N (Timeline). According to the Timeline, the contract is to start on January 14, 2008. In reading Section 1, the initial consultation meetings are to be completed by January 23, 2008 and a draft consultation report is due a January 30. The timeline for surveys and focus groups are also short, as they are scheduled to be completed February 19<sup>th</sup> and 25<sup>th</sup>, respectively. These are extremely short timeframes from the projected start of the project and notice to proceed. Is this your intent? Or, were some of these dates changed without coordinating the schedule shift throughout the RFP?
- In light of the heavy load of overlapping upfront tasks, to what extent is the overall timeline as well as task timelines negotiable?

- Can the order of tasks be adjusted with the approval of DECD in consultation with the vendor, i.e. conduct consultation with state agencies and other stakeholders, then focus groups, then surveys in order that previous activities feed in and shape those that follow in a manner to optimize the value of input received?
- Is the timeline in each segment open for reinterpretation?
- What if there is a delay in getting the contract approved by the AG office?
- When do we expect the contract to be awarded, any time frame?

**DECD Response:**

DECD acknowledges the fact that the timeline is aggressive. The due dates outlined in the RFP are not negotiable. Should delays occur as a result of action or inaction on the part of the state, the DECD may elect to adjust the timeline accordingly.

---

**DECD received the following questions regarding the 10% set-aside requirement and the definition of minority owned business:**

- Is it possible to get clarification on whether a Women-owned business (certified in CT as a DBE) satisfies the *Minority Owned Business* requirement?

The table of contents shows form F7 as Minority/Women-owned however pg-15 item D solely calls out *minority*.

- My question concerns paragraph "P" on page 10 of the proposal. I understand this paragraph to mean that the 10% minimum set-aside applies to a small business that is owned by an American Indian, Asian, Black or Hispanic; some one with heritage from Spain or Portugal; a woman owned business regardless of heritage; or a business owned by a disabled person(s), regardless of heritage. Is this correct? If not, how should Paragraph P be interpreted?
- Regarding Part VII (RFP Conditions), I understand this Paragraph P to mean that the 10% minimum set-aside applies to a small business that is owned by an American Indian, Asian, Black or Hispanic; some one with heritage from Spain or Portugal (Iberian Peninsula), a woman owned business regardless of heritage; or a business owned by a disabled person(s), also regardless of heritage. Is this correct? If not, how should Paragraph P and subsequent references to the set-aside in Parts VIII and IX be interpreted?

**DECD Response:**

The RFP uses the set-aside definitions established and maintained by the Connecticut Department of Administrative Services (DAS).

DAS defines a small business enterprise as a company who has:

- Been doing business under the same ownership or management and has maintained its principal place of business in Connecticut for at least one year immediately prior to the date of application;

- Gross revenues not exceeding \$10,000,000 during its most recent fiscal year; and;
- 51% ownership held by a person(s) who exercises the operational authority over daily affairs of the business and has the power to direct policies and management and receives beneficial interest of the business.

DAS defines a minority business enterprise as a business that meets the criteria as described for a small business enterprise with 51% percent of the ownership held by a person(s) of minority affiliation who exercises operational authority over the daily affairs of the business and has the power to direct policies and management and receives beneficial interests of the business.

DAS defines a minority as a(n):

- Black American, including all persons having origins in any of the Black African racial groups not of Hispanic origin;
- Hispanic American, including all persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race;
- Person having origins in the Iberian Peninsula, including Portugal, regardless of race;
- Woman;
- Asian Pacific American and Pacific islander;
- American Indian and persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification; or
- An individual with a disability. "Individual with a disability" means an individual (A) having a physical impairment that substantially limits one or more of the major life activities of the individual or (B) having a record of such impairment.

Note: *Woman* and *Individuals with a Disability* may be from any racial or ethnic group.

### **Disadvantaged Business Enterprise Program - DBE**

Connecticut companies certified by the Department of Transportation under the DOT's Disadvantaged Business Enterprise Program that also meet the state's Supplier Diversity Program's certification requirements are automatically eligible for certification by the Department of Administrative Services. However, some additional information may be required depending on the company's business structure. Businesses certified as DBEs should check with DAS to make sure that they meet the SBE and/ MBE requirements of the Supplier Diversity Program.

### **Another Important Consideration**

Connecticut does not have any registration requirements in order for a company to participate in the competitive procurement process. However, in the case of competitive procurements issues with set-aside requirements, a company must have the required certification at the time of the solicitation due date.

### **Additional Information**

Additional information regarding the state's set-aside requirements can be found at:

[http://www.das.state.ct.us/Purchase/SetAside/OSD\\_FAQs.asp](http://www.das.state.ct.us/Purchase/SetAside/OSD_FAQs.asp) or by contacting Meg Yetishefsky of the DAS Office of Supplier Diversity at (860) 713-5236 or at [Supplier.Diversity@ct.gov](mailto:Supplier.Diversity@ct.gov).

**DECD received the following questions regarding surveys and focus groups:**

- Does DECD intend to do any outreach/marketing/PR on focus groups, interviews etc. to maximize participation?
- Does DECD have a preferred survey methodology, i.e. phone vs. email vs. mail especially in light of timing and available funding considerations?
- Does "targeted surveys" mean shorter, more focused surveys or surveying smaller, more specific target groups or some combination of thereof?
- Do you have distribution mailing lists or would you expect us to purchase them?
- What methods of surveys would you consider:
  - a) Email
  - b) Mail
  - c) Telephone
  - d) Web based
- Who is the targeted audience for the surveys
  - a) Residents
  - b) Government, business and community leaders
  - c) Other
- What is the objective of the Focus Groups?
- Will the five focus groups be organized regionally, topically or by audience?
- Have you given any thought as to the number of attendees of the focus groups (not desirable to have over 20 per session)
- Will five focus groups give sufficient coverage?
- Survey time frame; is it a one-month turnaround?
- Do we have a prepared questionnaire? Or will we have one?
- Will DECD do the final sign-off on the questionnaire before using for the survey?

**DECD Response:**

DECD expects proposers to include in their bids all costs that they deem necessary to execute and complete each task appearing in the RFP. With regard to surveys and focus groups it is expected that proposers will include any and all costs associated with executing and completing this task.

DECD does not have a preferred survey methodology. DECD's only requirement is that the survey be "scientific" and statistically relevant. DECD expects proposers to clearly articulate the survey methodology they intend to employ as well as why they have chosen that particular methodology. DECD expects the proposer to conduct at least one survey of the general public and up to five smaller targeted surveys.

"Targeted surveys" mean smaller more focused surveys targeted at specific groups. For example a targeted survey could include but not be limited to a survey of Connecticut Chambers of Commerce, Connecticut Housing Authorities, Connecticut Economic Development Organizations, Connecticut Chief Elected Officials, Connecticut Business Associations, Connecticut Institutions of Higher Learning, etc.

DECD shall determine the survey targets, with input from the selected consultant. The selected consultant shall work with the DECD to develop appropriate survey questions. DECD shall have final sign-off on the survey questionnaire.

DECD expects the focus groups to complement, augment and/or provide greater depth/focus to the surveys. DECD expects proposers to provide within their response to the RFP their focus group methodology - including what they consider the optimal size and configuration of the group.

DECD shall determine the composition of the focus groups, with input from the selected consultant. The selected consultant shall work with the DECD to develop appropriate focus group questions. The selected consultant shall be responsible for all logistics relating to the focus groups.

The schedule for the surveys and focus groups provided in the RFP is correct.

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**DECD received the following questions regarding regional forums:**

- Part II, Section 1A states: "The selected consultant may be responsible for all logistics related to conducting regional forums..." Part II, Section IVB states: "The selected consultant may be required to assist with any or all logistics related to conducting presentations. These contingency statements make preparing a budget difficult. Will you accept a separate logistics budget (Form FI) for time and materials that can be used in total or in part depending on the level of effort required under each of these Sections? Do you have a preference on how the budget be shown for handling meeting logistics that may or may not be required?"
- What are the overall objectives for the Regional Forums and how are they different from the focus groups?
- Is it intended that there will be specific considerations for each region within the overall plan, and the forums would bring together industry and community leaders to discuss the needs of their region, and potential impacts or impediments?
- In conducting the regional forums, who would be the targeted audience and how many people would be expected.
- Would you expect these meetings to occur at a conference center located in those counties or in a public building like a town hall, etc.?
- Would you expect these meeting be conducted after business hours?

- What advertising method would be expected (public notice in newspaper, direct mailing, radio/tv ads, etc.?)
- What type of advertising is being used to get people to come to the forums?
- Is there any set format for the Regional Forums? What will it be like?
- Budget for forum; is there accommodation or free compensation from the state agency location?
- How large of a group of participants expected to be at each Strategic Forum?
- Can we provide information about the location of the forum on Nov. 15?

**DECD Response:**

Given the aggressive timeline of the tasks outline in this RFP, DECD elected to undertake the regional forums itself. There are 10 regional forums scheduled across the state. The purpose of these forums is to solicit from members of the general public input into the development of a long-term strategy for Connecticut’s economy. All state residents will be urged to attend and provide oral or written comments on the regional and state economic development needs of Connecticut’s communities. A schedule of these forums is available on the DECD website.

Proposers must still provide a cost proposal for conducting regional forums (on a per forum basis) in case the department elects to hold additional forums. Proposers should provide as much detail as they deem necessary within their cost proposals. Proposers must assume that there will be a cost associated with renting a venue for any forums.

The potential turnout for the regional forums is unknown.

The format for any additional forums required by DECD will be determined by DECD in consultation with the selected consultant.

**DECD received the following questions regarding reliance on legally required reports:**

- In reviewing performance of economic, community and housing development entities, can consultant rely on reports legally required of those entities as a basis for evaluating their performance against their statutory obligations, responsibilities and mandates?

**DECD Response:**

DECD expects that proposers will use all of the reports legally required of those entities as a basis for evaluating their performance against their statutory obligations, responsibilities and mandates, however, the proposer should not rely solely on the aforementioned reports.

**DECD received the following questions regarding consultation and stakeholder input:**

- Does DECD foresee that representatives of the groups targeted in the consultation task act as an advisory group throughout the term of the project?

- Does DECD anticipate incorporating input from the private business sector as part of this work or reach out to groups such as the Governor's Council of Economic Advisors?
- Business input, will DECD be seeking input from businesses?
- What is the role of the Governor Economic Advisory Committee with regard to this RFP, will they have a role in Advising or Consulting?
- Will any Federal Agencies be involved in the input process? Should proposers include a provision to include them in the proposal?
- Will the State Legislatures and the Federal Agencies be invited to get involve in the Regional Forums?
- Is that included the State Chief Elected Official?

**DECD Response:**

DECD expects to rely on the various state agencies and quasi-public agencies enumerated in section four, subsection (a) of Pubic Act 07-239 for consultation as needed throughout the planning process. DECD will be seeking input from stakeholders through the regional forums, surveys and focus groups. Input and feedback collected through these channels will be incorporated into the development of the strategic plan. Stakeholders include all individuals and/or organizations that have a “stake” in the future of Connecticut’s economy.

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**DECD received the following questions regarding the availability of DECD resources:**

- What resources of DECD will be made available to work with the vendor in support of completing the scope of work?

**DECD Response:**

DECD will provide guidance as necessary to assist the vendor with the execution and completion of the tasks appearing in the RFP.

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**DECD received the following questions regarding the Connecticut Conservation and Development Policies Plan for Connecticut 2005 – 2010:**

- Is the base document for this proposal, and, if so, who participated in The Connecticut Conservation and Development Policies Plan for Connecticut 2005 – 2010? Was a consulting firm used and if so who?
- Is there a strategic planning committee and who resides on that committee? Have roles and responsibilities?

**DECD Response:**

The Connecticut Conservation and Development Policies Plan for Connecticut 2005 – 2010 is not the base document for the economic strategic plan outlined in this RFP. Per the RFP, the economic strategic plan must however be consistent with the Connecticut Conservation and Development Policies Plan for Connecticut 2005 – 2010 as well the Connecticut, Long-Range

State Housing Plan and the state Transportation Strategy adopted pursuant to section 13b-57g of the general statutes.

Proposers seeking additional information regarding the Connecticut Conservation and Development Policies Plan for Connecticut 2005 – 2010 should go to the Connecticut Office of Policy and Management's website - <http://www.ct.gov/opm/cwp/view.asp?A=2990&Q=385370>

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**DECD received the following questions regarding required forms and sub-consultants:**

- In the Q&A, which will be sent out on Nov. 13, can DECD provide guidance of each form that must be completed by each sub-consultant?

**DECD Response:**

Forms F5 through and including F14 must be prepared by all sub-consultants as well as the primary consultant.

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**DECD received the following questions regarding letters of reference required by section VIII. C. e. of this RFP:**

- Are we asking for the actual Letter of Reference?
- Do we require the Letter of Reference from the sub-consultant?
- With regard to the Letters of Reference, if the DECD or another state agency is a client, would a letter of reference from DECD or another state agency be accepted?

**DECD Response:**

DECD expects to receive as part of the submission package actual letters of reference.

DECD does not require that letters of reference be included for each sub-consultant. Three letters of reference are required only for the primary consultant.

The only requirement for the letters of reference is that they be from a current or former client of the proposer.

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**DECD received the following questions regarding the requirement to submit an electronic version of the proposal:**

- How do we want the electronic proposal to be submitted?
- What portions of the proposal must be in Microsoft Word 2003 format? What about documents that were not originally prepared in Word, but need to be included in the proposal.

**DECD Response:**

Proposers should put the electronic version of their proposal on CD. The CD must be clearly marked and included in the submission package.

The main body of the proposal must be in Microsoft Word 2003. Attachments may be in PDF form (including organizational charts, financial statements, letters of reference, resumes, etc.).

Executed required forms should be scanned and included in PDF form.

The Cost Proposal form (Form F1) should be included in Microsoft Excel 2003 format.

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**DECD received the following questions regarding the state's standard contract language:**

- Is a copy of the state's standard contract language available for the proposers to use as a guideline?

**DECD Response:**

The state's standards for Personal Services Agreements are available from the Office of Policy and Management's Office of Finance at the following web address:

[http://www.ct.gov/opm/cwp/view.asp?a=2978&q=382978&opmNav\\_GID=1806](http://www.ct.gov/opm/cwp/view.asp?a=2978&q=382978&opmNav_GID=1806)

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**DECD received the following questions regarding job descriptions required under section VIII. C. d. of this RFP:**

- Job description or classification of each job title, do we required each job title of the company or of the project?

**DECD Response:**

Proposers should provide the job title for each individual involved in the project along with a description of what the individual does within the firm and what they will be doing with regard to the project.

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**DECD received the following questions regarding other planning initiatives going on in the state and their connection to the RFP:**

- Are there any other major planning initiatives going on in the state related to or part of this RFP?

**DECD Response:**

There are no other major planning initiatives going on in the state that are part of or directly related to this RFP.