

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION



INSTRUCTIONS FOR SEEC FORM 13

AGENCY CERTIFICATION OF STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS

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SEEC FORM 13 INSTRUCTIONS

GENERAL INSTRUCTIONS

Pursuant to Public Act 07-1, each state agency and quasi-public agency is required to prepare and forward a list of their state contractors and prospective state contractors to the State Elections Enforcement Commission (SEEC). Thereafter, each agency is required to report any changes, additions to or deletions from its list of contractors and prospective contractors at least once per month. Each agency's report is due no later than the fifteenth (15th) day of the month, and shall include all changes, additions or deletions occurring in the previous month.

HOW TO FILE

Agencies may file SEEC Form 13 by use of either of these methods:

1. Manually complete the form and attach a spreadsheet with information displayed in columnar format. The list may be e-mailed to the SEEC to Dara.Howard@ct.gov or delivered on disk to the SEEC at the address listed.
2. In July, agency contacts will be able to electronically upload their information by use of the SEEC website.

INSTRUCTIONS FOR COMPLETING SEEC FORM 13

STATE AGENCY

Enter the name of the State Agency submitting SEEC Form 13.

FOR THE MONTH ENDING

Please enter the month and year for which the changes, additions and deletions are being made. This list must be received by the SEEC no later than the fifteenth day of the following month. **EXAMPLE:** State Agency has additions to its state contractor list on June 4, 2007 and deletions on June 20, 2007. The State Agency must submit its updated list to the SEEC no later than July 15, 2007 with all changes, additions and deletions occurring from June 1, 2007 through June 30, 2007.

AUTHORIZED AGENCY REPRESENTATIVE

Enter the name, phone number and e-mail address of the authorized agency representative for submission of information concerning the agency's contractors and prospective contractors.

SECTION I. CURRENT CONTRACTS

In order to obtain a current listing of state contractors, the Office of Policy and Management (OPM), in cooperation with the CORE-CT Project, has developed a series of queries designed to enable the SEEC and each agency to verify contract data obtained from the CORE-CT system, current through the last day of the month. Each agency is responsible for reviewing the contract report to verify its accuracy. By submitting SEEC Form 13, the agency is authorizing the SEEC to rely on the report for that month, except as modified by information provided in Section II, III and IV of SEEC Form 13.

SECTION II. EXCLUSIONS TO CORE-CT CONTRACTS

Complete this section if you have any of the following to report:

- i. exclude entities/contractors included on the Core-CT Contract Report that do not meet definition of state contractor for the following reasons; **municipality or agency thereof, exclusively federally funded, education loan or loan to individual for other than commercial purposes;** or
- ii. contractors whose contracts have expired or terminated, and not corrected in the Core-CT system; (Note that contractor should be included on list through 12/31 of the calendar year during which the contract was terminated.)

Please provide the following information:

1. **FEIN Number** (for CORE-CT contracts): Provide the FEIN number of the State Contractor.
2. **Contractor Name:** Provide the complete name of the State Contractor.
3. **Reason for Exclusion:** Provide an explanation for the removal of a previously listed State Contractor.

Note: Exclusions of previously reported State Contractors are subject to SEEC approval. Entities/Contractors are not to be excluded solely based on dollar amount as SEEC will aggregate sums paid to same entity across agency lines to determine if \$100,000 value is met. You may exclude entity if otherwise does not meet definition of state contractor set forth by §9-612g(1)(C) of the C.G.S. and outlined in bullet i. above.

If a state agency is supplying this information in paper rather than electronic format, please attach a spreadsheet with information provided in a columnar format. **Information sent electronically, via the SEEC website, will be received by the SEEC in a secure method.**

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SECTION III. CURRENT CONTRACTS NOT REPORTED IN CORE-CT (disclose agency contractors that meet \$50,000 statutory threshold pursuant to Public Act 07-01)

The Contract Report captures only contracts in the CORE-CT system. Agencies that have state contracts that are not reported in the CORE-CT system must provide a list of the names of those state contractors whose contracts are at \$50,000 or more, including all information requested in Section III of SEEC Form 13. **Note:** This section is only completed by agencies that do not report their contract/expenditure information in the CORE-CT System.

Please provide the following information:

- 1. FEIN Number:** Provide the contractor's Federal Identification Number, to the extent known. This information is being requested to identify the uniqueness of contractors; and that the list posted on the SEEC website is accurate.
- 2. Contractor Name:** Provide the complete name of the State Contractor.
- 3. Contact Name:** Provide the complete name of the contact person for the state contract.
- 4. Contact E-Mail Address:** Provide the e-mail address of the contact person.
- 5. Contract Start Date:** Provide the date the contract or agreement has been entered into.
- 6. Contract End Date:** Provide the date the contract or agreement is to end. If this information is unknown, leave the section blank.

If a state agency is supplying this information in paper rather than electronic format, please attach a spreadsheet with information provided in a columnar format. *Information sent electronically, via the SEEC website, will be received by the SEEC in a secure method.*

SECTION IV. PROSPECTIVE STATE CONTRACTORS

Complete this section if the agency is reporting names of Prospective State Contractors that have submitted a response to a state contract solicitation, (including bids, RFPs or RFQs), or hold a valid prequalification certificate issued by the Commissioner of the Department of Administrative Services. **Note:** Prospective State Contractors are not reported in the CORE-CT system; therefore agencies with prospective state contractors are responsible for reporting this information to the SEEC.

Please provide the following information:

- 1. FEIN Number:** Provide the FEIN number of the Prospective State Contractor.
- 2. Contractor Name:** Provide the complete name of the Prospective State Contractor.
- 3. Contact Name:** Provide the complete name of the contact person for the bid or proposal.
- 4. Contact E-Mail Address:** Provide the e-mail address of the contact person.
- 5. State Contract Solicitation Period:** (**Note:** Not applicable to holders of valid prequalification certificates issued by the Department of Administrative Services.) Provide the beginning and ending date of the contract solicitation period. The contract solicitation period is the date the RFP, bid solicitation and/or response was submitted until the date the contract has been entered into, or the notification date of the non-awarding of the contract. If this information is unknown, leave the section blank. If a state agency does not report its contract information in the CORE-CT system and a contract has been entered into as a result of a solicitation, the contracting agency should remove the "prospective state contractor" from Section IV and report the state contractor in Section III. In addition, if a contract is not awarded, the "prospective state contractor" is removed from Section IV and not reported in any other section.

If a state agency is supplying this information in paper rather than electronic format, please attach a spreadsheet with information provided in a columnar format. *Information sent electronically, via the SEEC website, will be received by the SEEC in a secure method.*

SIGNATURE

By submitting SEEC Form 13, the agency representative is authorizing the SEEC to rely on the information in the Contract Report, as modified by information provided in sections II, III and IV of SEEC Form 13. For electronic filers, the password entered by the agency via the SEEC website will satisfy the signature requirement.