



Dannel P. Malloy
Governor

STATE OF CONNECTICUT
DEPARTMENT OF HOUSING



Evonne M. Klein
Commissioner

The State of Connecticut
Department of Housing
Community Development Block Grant – Disaster Recovery
Request for Qualifications

Program Management Services

CDBG-DR / National Disaster Resilience

Deadline for Submission: September 15, 2017

REQUEST FOR QUALIFICATIONS NDR – Program Management Services

I. STATEMENT OF OBJECTIVES

The State of Connecticut (State) has been awarded a Community Development Block Grant – Disaster Recovery (CDBG-DR) grant through the National Disaster Resilience (NDR) competition in the amount of \$54,277,359. These funds will be used for administration of the grant and six activities: three infrastructure projects in the City of Bridgeport (University Avenue, the Earthen Berm, and the Community Resilience Center), two planning projects in the City of Bridgeport (Floodplain Design Guidelines and District Energy Feasibility Study), and the Connecticut Connections Coastal Resilience Plan covering Fairfield and New Haven Counties.

All activities associated with the grant will be completed by September 30th, 2022.

In order to successfully manage this program, the State is seeking Program Management services from a qualified firm/organization to augment the State's staff dedicated to the NDR program. This Request for Qualifications (RFQ) is issued by the Department of Housing (DOH) of the State to solicit proposals from a program management firm/organization (a selected firm shall hereinafter be referred to herein as a "Consultant") to identify a Consultant to support and advise State staff in regulatory issues, program/grant management, program administration, finance, compliance, and other tasks as identified in the scope of services. It is expected that Consultant will have staff dedicated to this program, housed at DOH offices in Hartford, CT and who will have the need to attend regular meetings in Bridgeport, CT or occasionally elsewhere in the State.

II. BACKGROUND

Following its successful application to the Rebuild by Design (RBD) competition targeting projects in the Sandy-affected region of New York, New Jersey, and Connecticut, the State applied to the subsequent NDR Competition which expanded the process to the national scale. In each, applicants were encouraged to utilize collaborative stakeholder engagement processes to identify effective and innovative ways to protect people, homes, businesses, and infrastructure and to increase resilience in their localities. Through the RBD competition, the State was awarded \$10 million in (CDBG-DR) funds to continue planning in the City of Bridgeport and to implement a pilot project from the Resilient Bridgeport competition proposal as further define through the continued planning process. Through the NDR Competition, the State was awarded an additional ~\$54.3 million for additional local infrastructure projects in the City of Bridgeport, modeling and regional planning, and state policy in support of the State Agencies Fostering Resilience (SAFR) Council. DOH administers all such funds for the State.

Information about the Resilient Bridgeport process, proposal, and current status can be found at <http://www.resilientbridgeport.com>. Information about the NDR process and the State's application can be found at <http://www.ct.gov/doh/cwp/view.asp?a=4513&q=588726>.

The local infrastructure projects furthering the objectives of Resilient Bridgeport are to construct:

- a raised resilience corridor for dry egress from the redevelopment of Marina Village along Johnson Street in conjunction with a park and MS4 microgrid to manage stormwater from that and adjacent redevelopment;
- a raised resilience corridor for dry egress and resilient utilities along University Avenue connecting Park Avenue to the planned mixed-use redevelopment at 60 Main Street;
- a berm or other surge protection line of defense providing independent utility and seeking Federal Emergency Management Agency (FEMA) certification to result in a Flood

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Insurance Rate Map (FIRM) revision taking critical facilities in the eastern portion of the South End out of the 100-year floodplain; and

- a community resilience center.

Two contractor teams are under contract with the State for the planning, design, and engineering tasks associated with these four construction projects.

The regional planning and modeling will primarily be conducted by the Connecticut Institute for Resilience and Climate Adaptation (CIRCA) at the University of Connecticut as sub-recipient to DOH.

The SAFR Council activities are supported through the activities of DOH program administration staff.

The work completed by the Consultant to DOH under the contemplated contract resulting from this RFQ will be funded and/or reimbursed in whole or in part with CDBG-DR funding from HUD administered by DOH for the State. The Consultant must comply with all requirements applicable to CDBG-DR funded projects.

The NDR and RBD funding have specific timelines for completion. If the State's waiver requests are accepted by HUD, all work must be finalized and all funds expended by September 30, 2022.

III. SCOPE OF SERVICES

The following information outlines the basic services that will be required of the Consultant and additional tasks that may be required by the State for fee negotiated and executed via task orders subsequent to the initial contract.

1. **Document Control:** Consultant shall develop a document control and management system, consistent with federal requirements, to provide support for all NDR grant activities. Consultant shall manage all required documentation for all NDR-funded activities in the document control and management system and provide support to DOH staff relative to use of the system, as necessary.
2. **Action Plan Amendments and Reporting:** DOH's Action Plan for NDR was approved by HUD in June of 2017. It is not anticipated that the activities or their budgets will change significantly and, therefore, it is not anticipated that a Substantial Amendment to that Action Plan will be necessary. Should it be necessary, the Consultant shall assist DOH staff to prepare the content of that Substantial Amendment. Public notices and hearings will be produced, published, and managed by DOH staff. Consultant shall support DOH staff in the preparation of quarterly reports which may include documenting the expenditure of direct and supporting leverage committed by non-DOH state agencies and by quasi-governmental and private partners, updating project area demographics, and tracking metrics established for each activity in each of the Outcome Value categories (Resilience, Economic, Environmental, and Social).
3. **NEPA Compliance:** DOH's two current teams of contractors are preparing all NEPA documentation including Environmental Impact Statements (EIS) to achieve a Record of Decision for the four construction projects in the City of Bridgeport. The Consultant shall prepare all necessary documentation for the State's files in accordance with HUD regulations to demonstrate that NEPA procedures were adhered to for those four

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projects. The consultant shall prepare environmental reviews for those administrative and planning activities that are not contained within the EIS being completed by the State's contractors and document the same.

4. Financial/Procurement Compliance and Procedural Support: Consultant shall develop a compliance review methodology for desk reviews and on-site reviews of NDR-funded projects consistent with federal requirements. Consultant shall develop a monthly compliance report indicating the compliance status of each project and any known issues/risks. Consultant shall prepare periodic reports on compliance, as requested, for review and submission to HUD by DOH. Consultant shall review vendor invoices and supporting documentation for compliance prior to submission to DOH for payment processing. Consultant shall review all applicable procurement regulations and laws and provide an analysis/review of procurement activities related to NDR-funded projects.
5. Audit Support: Consultant shall assist DOH with HUD audit preparation through the compilation of documentation related to NDR-funded projects and prepare response materials for DOH staff review. In response to HUD requests regarding project-specific expenditure or in preparation for HUD visitation, Consultant shall compile required information in a standardized format.
6. Risk Management: Consultant shall develop a Risk Management Plan for all NDR-funded projects. Consultant shall perform quarterly risk assessment, mitigation, and status tracking to closeout any identified issues and risks.
7. Monitoring: Consultant shall develop an oversight and monitoring plan for all NDR-funded projects, consistent with HUD requirements, and carry-out monitoring activities consistent with an agreed upon frequency specified in the plan.
8. Construction Management: From the commencement of construction on NDR-funded projects anticipated to occur in April, 2019 through completion in September, 2022, Consultant shall perform all construction management activities overseeing construction contractors and construction inspection to be performed by other firms.
9. Other Support: DOH staff may identify other support and consulting functions required by the State related to NDR or RBD, on a case-by-case basis, and Consultant shall assist with these activities only after written request from the State with fee negotiated at each instance.

IV. RESPONDENT QUALIFICATIONS

The Consultant(s) providing the professional services must:

1. Be led by a principal or partner of an established professional firm or organization;
2. Have a minimum of three (3) years' experience providing similar types of assistance and/or service to CDBG and/or CDBG-DR projects;
3. Demonstrate extensive knowledge of 24 CFR Part 58 regarding environmental review;
4. Have demonstrated ability to work successfully with government including:
 - a. No previous record of default on a government contract;
 - b. No applicant entity, or principal thereof, may be awarded a Federal contract if subject to a debarment, suspension, or limited denial of participation under 24 CFR Part 24; and

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- c. No formal debarment or suspension from entering into contracts with a Connecticut governmental agency or other notification of ineligibility or prohibition against bidding or proposing on government contracts; and
- 5. Be covered by a current professional liability insurance policy and other required coverage equal to or in excess of the following specifications:
 - a. Professional liability insurance in the amount of \$500,000 per occurrence and \$1,000,000 aggregate;
 - b. Automotive liability insurance in the amount of \$100,000 per occurrence and \$300,000 aggregate; and
 - c. Workers Compensation as required by law.

V. AWARD CRITERIA

General Criteria

Proposals will be evaluated by an Evaluation Committee convened by the DOH Project Director and will include the DOH Program Manager of CDBG-DR and the DOH Director of the Office of Policy, Research and Housing Support.

An award shall be made with reasonable promptness by written notice to the responsible bidder(s) whose responses will be most advantageous to the State. All responses may be rejected when the DOH determines that it is in the public interest to do so.

Following receipt, responses will be evaluated in accordance with the following procedure:

- 1. First, responses will be checked for compliance with all requirements of the RFQ including affirmation that all qualifications listed in Section IV hereof are met and up to date.
- 2. Second, after the proposals are reviewed, one, some, or all of the bidders may be asked to clarify certain aspects of their proposal. A request for clarification may be made in order to resolve minor ambiguities or clerical errors. Clarifications cannot correct any deficiencies or material omissions or revise or modify a proposal, except to the extent that correction of apparent clerical mistakes results in a modification. The bidder may be required to respond to these questions with written responses or oral presentation.
- 3. Third, the committee will evaluate and score proposals on their merit. This qualitative technical and experience evaluation will be the primary determining factor for determining the firms whose proposals are most advantageous to the State, and of the subsequent selection of bidder to be awarded a contract. Interviews of the top three ranked firms may be required prior to a final determination by the committee.

Evaluation Criteria

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The responses of those bidders who have been determined to be responsive and responsible will be ranked according to the technical quality of their response. The qualitative and quantitative factors to be used in this evaluation are as follows:

1. The relative strengths of the bidder's proposed program management approach, organizational plan, and personnel/staffing capability including subcontractors included in the response. This will include the relative strengths of the bidder's and team members' proposed project personnel and their qualifications and experience on programs of a similar nature (Thirty-five percent (35%)).
2. The bidder's relative strengths in experience with HUD programs and regulations – specifically proven knowledge of and compliance with CDBG-DR specifically by the lead firm – and with activities of comparable characteristics to those which will be conducted under DOH's National Disaster Resilience program described above in Section II (Forty-five percent (45%)).
3. The bidder's certification as or inclusion of subcontractors with certification as MBE or WBE enterprises scored commensurate with share of contract scope lead by certified firms (Five percent (5%)).
4. The bidder's proposed cost to provide these services for the term of the grant through September 30th, 2022 and closeout activities (Fifteen percent (15%))

Proposals submitted in response to this RFQ will be evaluated based the quality and the reasonableness of the responses for each item above.

VI. EVALUATION PROCESS

Proposal Clarification

Proposals will be reviewed by an Evaluation Committee appointed by DOH. Where the committee reviewing the proposals determines that any or all of the proposals require some clarification, the committee may require any or all of the bidders to clarify their proposals through an oral presentation or through written responses to written questions. At such an oral presentation or in such written questions, the committee may request the bidder to clarify or explain items in its proposal. However, the oral or written presentation may not be used to change or supplement the original proposal.

Bidder Interviews

The committee may elect to bring in the three (3) highest ranked bidders for an interview and base the final scoring thereon rather than score the highest ranked bidder solely on their written proposals.

VII. PROPOSAL FORMAT

Qualifications should be submitted as follows:

1. All content must be delineated by section and placed in the same order as they are referenced in the proposal. Each section must include all relevant materials for that section, including proposal materials.
2. One (1) digital pdf submission of the entire package bookmarked by section.

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VIII. INSTRUCTIONS

1. Completed Proposals and all materials must be hand delivered or mailed via a nationally-recognized overnight carrier to: David Kooris, DOH, 505 Hudson Street, Hartford, CT 06106-7106. **All Proposals must be received at DOH on or before 12:00 p.m. on September 15, 2017.**
2. Any proposal received after the established deadline will not be considered.
3. All responses to this Request for Qualifications must conform to these instructions. Failure to conform may be considered appropriate cause for rejection of the response. DOH, in its sole discretion, may waive any non-material errors in any proposal.
4. An individual authorized to act on behalf of the respondent must submit the proposal. The proposal must also provide the name, title, address and telephone number for individuals authorized to negotiate and contractually bind the organization, and for those who may be contacted for the purpose of clarifying the information provided in the proposal. This information should also be included in the transmittal letter.

IX. QUESTIONS

All questions related to this RFQ should be submitted to David Kooris by e-mail at david.kooris@ct.gov **no later than noon (EST) on September 1, 2017.** Each question should begin by referencing the RFQ page number and section number to which it relates. Answers to all questions received by the deadline above will be posted on the Department of Housing website.

X. REVISIONS TO THE RFQ

Only written modifications to this RFQ issued in the form of one or more addenda will be considered to be alterations to this RFQ. Oral comments are not binding. An Addendum may be issued by DOH for any revisions, modifications, clarifications or alterations to the RFQ.

XI. ERRORS

If a respondent discovers an error in its response after submittal, but prior to the response submission deadline, the respondent may request that the response be withdrawn. This request must be submitted in writing and signed by an officer or authorized representative of the respondent. If the request is approved, the respondent may submit a revised response as long as it is received prior to the response submission deadline.

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

XII. SUBCONTRACTING OR ASSIGNMENT

In the event a respondent proposes to subcontract for some or all of the services to be performed under the terms of the contract award, it shall state so in its proposal and attach for approval a list of said subcontractors and an itemization of the products and/or services to be supplied by them. Nothing contained in the specifications shall be construed as creating any contractual relationship between any such subcontractor and DOH.

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Except as expressly proposed by a respondent in its proposal, the agreement to be entered into between the respondent selected under this RFQ, if any, and DOH, may not be subcontracted or assigned by the respondent, in whole or in part, without the prior written consent of DOH. Such consent, if granted, shall not relieve the respondent of its responsibilities and liabilities under the contract, except as otherwise expressly provided therein.

XIII. RIGHT TO INSPECT FACILITIES AND RECORDS

DOH reserves the right to inspect the respondent's establishment before making an award, for the purposes of ascertaining whether the respondent has the capacity to perform the proposed scope of service.

DOH may request references during the evaluation, and such references may be contacted to assist DOH in making a contract award that is most advantageous to DOH.

XIV. CONDITIONS

Any prospective contractor must be willing to adhere to the following conditions and must positively certify to adhere to them in its proposal:

1. **Acceptances or Rejection by the State.** The State reserves the right to accept or reject any or all Qualifications submitted for consideration under this RFQ.
2. **Conformance with Statutes.** Any contract awarded as a result of this RFQ must be in full conformance with statutory requirements of the State of Connecticut and the Federal Government.
3. **Ownership of Proposals.** All materials are considered public information with the exception of personal and financial information. Following the execution of one or more contracts in connection with this RFQ, Proposals will be available for review upon request. All Proposals in response to this RFQ will be the sole property of the State and subject to the provisions of Connecticut's Freedom of Information Act, CGS §1-200 et seq.
4. **Ownership of Subsequent Products.** Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFQ will be sole property of the State unless stated otherwise in the contract.
5. **Timing and Sequence.** Timing and sequence of events resulting from this RFQ will ultimately be determined by DOH.
6. **Oral Agreements.** No contract, unless it is in writing and executed by an authorized representative of DOH following the obtaining of all necessary approvals and in accordance with all applicable law, shall be binding on DOH. No oral agreement or arrangement made with DOH or any DOH employee shall be binding on DOH.
7. **Amending or Canceling Requests.** DOH reserves the right to amend or cancel this RFQ.
8. **Rejection for Default or Misrepresentation.** DOH reserves the right to reject any proposal if any proposed subcontractor is in the default of any prior contract with the State or for any misrepresentation.
9. **State's Clerical Errors in Awards.** The State reserves the right to correct inaccurate awards resulting from its clerical errors.
10. **Rejection of Qualified Proposals.** Proposals are subject to rejection in whole or in part if they limit or modify any of the terms, conditions and/or specifications of this RFQ.
11. **Presentation of Supporting Evidence.** Any respondent, if requested, must be prepared to present evidence of experience, ability, service capacity, and financial standing.
12. **Changes to Proposal.** Except as otherwise permitted by DOH, no additions or changes to a proposal will be allowed after submittal.
13. **Collusion.** By responding, the respondent implicitly represents and warrants that its proposal is not made in connection with any competing respondent submitting a separate response to

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this RFQ, and is in all respects fair and without collusion or fraud. It is further implied that the respondent did not participate in the RFQ development process, had no knowledge of the specific contents of the RFQ prior to its issuance, and that no employee of DOH participated directly or indirectly in the respondent's proposal preparation.

14. **EEO-4 Form.** The proposal shall include a copy of the company's latest EEO-4 report as well as a copy the respondent's equal employment policy statement.

XV. CONFLICT OF DOCUMENTS

Should any of the terms of any documents connected to the offer, acceptance, supply of goods, performance of services, and/or any verbal representations be in conflict with this RFQ, the terms of the RFQ shall supersede all other documents and/or verbal representations. The only exception would be if DOH amends this RFQ in writing.

XVI. SEVERABILITY

The invalidity of any portion of this RFQ will not and shall not be deemed to affect the validity of any other provision. In the event that any provision of this RFQ is held to be invalid, the parties agree that the remaining provisions shall be deemed to be in full force and effect as if they had been executed by both parties subsequent to the expungement of the invalid provision.

XVII. RIGHTS RESERVED BY THE STATE

DOH reserves the right to modify or waive any requirement, condition or other term set forth in this RFQ, to request additional information at any time from one or more respondents, to select any number of Qualifications submitted in response to the RFQ or to reject any or all such Qualifications.

XVIII. NOTIFICATION OF AWARD

The selected respondent(s), if any, will receive a Notice of Award. The Notice may contain certain contingency requirements that must be satisfied within a designated time frame. Failure to comply with all provisions of the Notice of Award will disqualify that respondent and the award may be directed to another respondent.

XIX. PRICE AND PAYMENT

Unless otherwise noted by DOH, all fees and other budgetary information quoted shall be firm through execution of a contract and shall not be subject to increase during the period of such contract, unless agreed upon by both parties in writing. The Commissioner must be notified in writing of any price reduction within five (5) business days of the effective date.

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RESPONDENT INFORMATION

Name: _____

Address: _____

Contact Person: _____

Title: _____

Telephone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

FEIN/SSN: _____ State Sales Tax No: _____

If you are using a **THIRD PARTY** to write this proposal, please provide the following:

Company Name: _____

Address: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

NARRATIVE DESCRIPTION OF SERVICES TO BE PROVIDED

- 2.1. Provide up to a 10-page description of the proposed services; the bidder shall convey their strategy for best completing the described scope of work. Special attention should be paid to those strategies (employed by the firm(s) in their past experience) that present the greatest opportunity to cost-effectively achieve the desired program outcomes while meeting all program requirements of CDBG-DR per federal requirements. **See Section V. Evaluation Criteria, Items 1 and 2. Attach as Exhibit 2.1.**

QUALIFICATIONS

- 3.1. Describe the nature of your organization, staffing and overall qualifications to perform and complete this Scope of Work. The bidder shall provide resumes for the management and technical staff who will be directly engaged in the activities under this contract. A chart which delineates the bidder's project organization, and describes the roles of the various personnel, shall be included in the response. Also, personnel presented in the proposed organization chart / staffing plan should be identified with the project history examples (See 3.3 below) in their resumes / bios. No senior personnel substitutions are permitted without the consent of the DOH Program Director. **See Section V Award Criteria, Item 1 and 2. Attach as Exhibit 3.1.**
- 3.2. Please provide organization legal structure documents (e.g., Articles of Incorporation, Partnership Agreement, By-laws, Secretary of State Certificate of Legal Existence/Certificate of Good Standing). **See Section V Award Criteria, Item 2. Attach as Exhibit 3.2.**
- 3.3. The bidder shall demonstrate through examples of past projects its experience in managing programs of a similar nature. The bidder shall limit past project descriptions to a maximum of three (3) past projects which best reflect the tasks to be required on this contract and are similar in scope to the work described in this RFQ. **See Section V Award Criteria, Items 2. Attach as Exhibit 3.3.**
- 3.4. Please provide a signed copy of CHRO "Notification to Responders" form and information addressing (a) through (e) on the form. **Attach as Exhibit 3.4.**

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- 3.5. Please provide a copy of your Equal Employment Opportunity Policy Statement, if applicable. **Attach as Exhibit 3.5.**
- 3.6. Please attach the last three years' audited financial statements (include notes and projections). If audited statements do not exist or are not applicable, attach last three years' federal tax returns. **Attach as Exhibit 3.6.**
- 3.7. Please attach certificate(s) of insurance showing the current coverage. **Attach as Exhibit 3.7.**
- 3.8. **Is the respondent, any principal or any affiliate a defendant in any litigation?**
 YES NO
If yes, indicate the nature and status of the litigation. **Attach as Exhibit 3.8.**

CAPACITY TO INITIATE ACTIVITY AND COST PROPOSAL

- 4.1 The bidder must demonstrate its capability and capacity to support its existing obligations while undertaking the work in this contract. The bidder shall identify key personnel and project manager personnel, including those of any subcontractors, who will be assigned to work under the contract and their respective roles. The number and disciplines of the staff that will be available to accomplish the various tasks within the contract assignments should be included. **See Section V. Award Criteria, Item 1. Attach as Exhibit 4.1.**
- 4.2 Please include a full cost proposal for the duration of the program through September 30th, 2022 and closeout activities broken out by task, personnel, and expenses. **See Section V. Award Criteria, Item 4. Attach as Exhibit 4.2.**

MINORITY/WOMEN OWNED BUSINESS

- 6.1 Please indicate if your organization is a minority, women or veteran owned business by completing Exhibit B, if applicable. Note: DOH encourages all entities to make a good faith effort to utilize small, minority, women and veteran owned businesses. **See Section V. Award Criteria, Item 3. Attach completed form as Exhibit 6.1.**

SUBCONTRACTOR CERTIFICATION FORM

- 7.1 Please complete the Subcontractor Certification form, Exhibit C, if applicable. **Attach statement as Exhibit 7.1.**

RESPONDENT CERTIFICATION

It is hereby represented by the respondent (undersigned) as an inducement to DOH to consider the proposal, that to the best of my knowledge and belief, no information or data contained in the proposal or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. The respondent (undersigned) agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, and other references are hereby authorized now, or any time in the future, to give DOH of any and all information in connection with matters referred to in this proposal.

Certifying Representative:

1. Type Name and Title: _____

2. Signature: _____

3. Date: _____

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EXHIBIT B (3.4)

NOTIFICATION TO RESPONDERS

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 responders, 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 32-9e 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 responder’s qualifications under the contract compliance requirements:

- (a) The responder’s success in implementing an affirmative action plan;
- (b) The responder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) The responder’s promise to develop and implement a successful affirmative action plan;
- (d) The responder’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 responder’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.

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The undersigned acknowledges receiving and reading a copy of the “Notification to Responder’s form.

*** INSTRUCTION: responder must sign acknowledgement below, and return acknowledgment to DOH along with response proposal.**

Signature

Date

On behalf of:

RFQ Name: **Program Management
Services – National Disaster Resilience**

CERTIFICATE OF CORPORATION (if applicable)

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.

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EXHIBIT B (6.1)

MINORITY/WOMEN/VETERAN-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>
_____/_____	_____
_____/_____	_____
_____/_____	_____
_____/_____	_____

Please identify the category under which certification of your business enterprise is minority owned, woman-owned, veteran-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>
<input type="checkbox"/> Black American	M / F	_____ %
<input type="checkbox"/> Hispanic American	M / F	_____ %
<input type="checkbox"/> Iberian Peninsula	M / F	_____ %
<input type="checkbox"/> Asian American	M / F	_____ %
<input type="checkbox"/> American Indians	M / F	_____ %
<input type="checkbox"/> Individual w/ a disability	M / F	_____ %
<input type="checkbox"/> Woman (circle below)	M / F	_____ %
<input type="checkbox"/> Veteran (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)

REQUEST FOR QUALIFICATIONSS
Investigative Research

EXHIBIT C (7.1)

SUBCONTRACTOR CERTIFICATION

It is hereby represented by the Subcontractor (undersigned) as an inducement to the Department of Housing to consider the participation as requested herein, that to the best of my knowledge and belief, no information or data contained in the application or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. It is also hereby stated that the undersigned will comply with all program requirements for any approved activity and that the organization and its principals are not suspended or debarred as defined in 24 CFR part 5 Subpart A of the Code of Federal Regulations. The undersigned agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, the Connecticut Department of Environmental Protection, and other references are hereby authorized now, or any time in the future, to give the Department of Housing any and all information in connection with matters referred to in this response.

Certifying Representative

Type Name and Title: _____

Signature: _____

Date: _____