

**STATE OF CONNECTICUT
DEPARTMENT OF ADMINISTRATIVE SERVICES**

**CONSTRUCTION ADMINISTRATOR'S CONTRACT FOR DESIGN PHASE
AND CONSTRUCTION PHASE SERVICES**

This contract is entered into this 27th day of May, 2020, by and between the State of Connecticut, hereinafter called the "State," acting herein by its Commissioner or designee, duly authorized, of the Department of Administrative Services (DAS), under the provisions of Sections 4-8, 4b-1, 4b-1b, 4a-1, 4a-2, and 4b-3 of the Connecticut General Statutes, as revised and/or amended, and

Newfield Construction Group, LLC, 225 Newfield Avenue, Hartford, CT 06106

hereinafter called the "Construction Administrator " or "CA", for certain services herein designated in connection with a project, hereinafter referred to as the "Project," entitled:

**New Readiness Center
378 Pomfret Street (Route 44)
Putnam, Connecticut**

Project Number: **BI-Q-691**
Contract Number: **BI-Q-691-CA**

WITNESSETH, that the parties hereto, in consideration of the mutual covenants, terms and conditions herein contained, do hereby agree as follows:

I. GENERAL

- A. The Construction Administrator accepts the relationship of trust and confidence established with the State by this contract, and agrees to cooperate with the architect, hereinafter referred to as the architect, for the Project in furthering the interests of the State. The State shall endeavor to promote harmony and cooperation among the State, architect, Construction Administrator, and other persons or entities employed by the State.
- B. The Construction Administrator agrees to furnish certain services as set forth in "Exhibit A", which exhibit is attached hereto and made a part hereof. Said services shall be furnished within such time as determined by the Commissioner of DAS, hereinafter referred to as the Commissioner.
- C. The Construction Administrator agrees to become familiar with and follow the DAS provisions set forth in the "DEPARTMENT OF ADMINISTRATIVE SERVICES CONSULTANTS PROCEDURE MANUAL," which may be amended and/or supplemented current with the date of this contract. These guidelines and provisions are incorporated herein by reference and shall be as binding upon the parties to this contract as though fully set forth herein.
- D. The Construction Administrator shall work under the direction of the DAS Project Manager in consulting with the State Fire Marshal, the State Building Inspector, the Department of Energy and Environmental Protection, and other State and Federal agencies having jurisdiction over the Project to ascertain requirements of the Project and to become familiar with said agencies' concerns, requirements, and procedures.
- E. The recommendations and advice of the Construction Administrator concerning design alternatives shall be subject to the review and approval of the State and the State's professional

consultants. It is not the Construction Administrator's responsibility to ascertain that the drawings and specifications for the Project are in accordance with applicable laws, statutes, ordinances, building codes, rules, and regulations. However, if the Construction Administrator recognizes that portions of the drawings and specifications are at variance therewith, the Construction Administrator shall promptly notify the architect and State in writing.

F. Indemnification

The Construction Administrator shall indemnify and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims arising directly or indirectly in connection with the contract, concerning the negligent acts of commission or omission (collectively, the "Acts") of the Construction Administrator or Construction Administrator Parties, and (2) liabilities, damages, losses, costs and expenses, including but not limited to attorneys' and other professionals' fees, arising directly or indirectly in connection with Claims, Acts or the contract, to the extent of the Construction Administrator's or Construction Administrator Parties' negligence. The Construction Administrator's obligations under this section to indemnify and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the Construction Administrator's bid, proposal or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopied compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance.

For purposes of this section, the term "Claim" is defined as follows: "All actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum."

G. Antitrust Provision

The Construction Administrator hereby irrevocably assigns to the State of Connecticut all rights, title and interest in and to all Claims associated with this Contract that the Construction Administrator now has or may or will have and that arise under the antitrust laws of the United States, 15 USC Section 1, *et seq.* and the antitrust laws of the State of Connecticut, Connecticut General Statutes § 35-24, *et seq.*, including but not limited to any and all Claims for overcharges. This assignment shall become valid and effective immediately upon the accrual of a Claim without any further action or acknowledgment by the parties.

For purposes of this section, the term "Claim" is defined as follows: "All actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum."

H. The Construction Administrator agrees that any discrepancies or conflicts within the contract shall not be construed against the DAS nor form the basis of any claim by the Construction Administrator against the DAS. If any discrepancy or conflict exists within the contract, then the Design-Builder shall provide the greater quality or greater quantity of the more stringent requirements, unless the DAS otherwise agrees in writing.

II. PAYMENT OF CONSTRUCTION ADMINISTRATOR'S FEE

A. The State agrees to pay the Construction Administrator for the services herein described the fees set forth in "Exhibit B" which is attached hereto and made a part hereof. It is understood that no changes or adjustments shall be made in said fee unless the scope of the work performed or to be performed by the Construction Administrator has substantially changed as determined by the Commissioner.

- B.** Said fee shall include, but such inclusions shall not be limited to, all costs-of-living increases, transportation, and communication, whether within or without the State of Connecticut, connected with the discharge of the Construction Administrator’s duties under this contract unless specifically noted by the Commissioner as a reimbursable expense.
- C.** No payments shall be made until any services furnished have been properly performed and the materials submitted have been reviewed and approved by the State.
- D.** It is understood that the Construction Administrator’s total fee as hereinbefore determined in this article shall be increased by any payments that the State shall be obligated to make pursuant to the provisions of Article III. It is also understood that a reasonable adjustment in said total fee shall be made by the Commissioner in the event of suspension or termination, as provided in Articles VIII and IX.

III. SPECIAL SERVICES

A. At the option of the State, the Construction Administrator may be required to contract for special services.

B. SPECIAL CONSULTANTS

- 1. Should it be necessary for the Construction Administrator to engage the services of a licensed land surveyor, geotechnical engineer, test boring firm, or other special consultants for the purposes of this contract, the State shall reimburse the Construction Administrator for the cost of such services and in addition shall also pay the Construction Administrator five percent (5%) of such cost, or such other percentage deemed reasonable by the Commissioner, for overhead and profit.
- 2. The Construction Administrator shall define and prepare the scope of additional special services for the State's prior review and approval.
- 3. The Construction Administrator shall arrange to have at least three (3) qualified consulting firms submit written proposals for the work directly to the State in sealed envelopes.
- 4. The State reserves the right to waive any or all of these requirements, as set forth in subsection B of Article III.

IV. INSURANCE

The Construction Administrator for the duration of this contract, including any extension of the original contract term, must carry insurance to protect the interests of the State. The Construction Administrator must obtain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance, and commercial general liability insurance to not less than the minimum limits as required in this article, all at no cost to the State.

A. Statutory Workers' Compensation and Employers' Liability:

- 1. Workers' Compensation: Statutory limits
- 2. Employers' Liability: \$500,000 policy limit
 - a. Bodily injury by accident: \$100,000 each accident
 - b. Bodily injury by illness: \$100,000 each employee

B. Commercial General Liability: \$1,000,000 each occurrence
 \$2,000,000 annual aggregate

- C. Comprehensive Automobile Liability**
 (to include owned, non-owned and hired vehicles)
 Combined single limit: \$1,000,000 each occurrence
- D.** The Construction Administrator shall furnish evidence by way of a certificate of insurance that it has obtained a professional services liability insurance policy with \$1,000,000 each claim and annual aggregate minimum coverage for negligence and errors and omissions. If any claims are paid against its professional services liability insurance policy, the Construction Administrator agrees to purchase additional insurance in order to maintain the minimum coverage of \$1,000,000 each occurrence and per aggregate. The insurance shall remain in effect during the entire duration of this contract, including such additional time period as may be necessary to complete specific projects, as hereinbefore set forth, and for eight years after substantial completion of the project. The policy shall provide that it shall indemnify and save harmless the State and its officers, agents, and employees from all claims, suits, actions, damages, and costs of every name and description resulting from negligence and errors and omissions in the work performed by the Construction Administrator under the terms of this contract.

Each of the policies for such kinds of insurance mentioned above shall be issued by an insurance company or companies satisfactory to the DAS. The Construction Administrator agrees that coverages will not be changed, cancelled, or non-renewed until at least sixty (60) calendar days' prior written notice has been given to the DAS. Each insurance policy shall state that the insurance company agrees to investigate and defend the insured against all claims for damages to the extent that all alleged damages might be covered by insurance. Such insurance policies shall name the State as an additional insured, except the State shall not be named as an additional insured with respect to the coverage for the statutory workers' compensation, automobile liability, and employers' liability insurance and to the coverage for professional liability insurance. Certificates of insurance showing such coverages as required in this article shall be filed with the DAS prior to the time this contract is executed on behalf of the State.

V. CONFIDENTIALITY OF DOCUMENTS

- A.** The Construction Administrator agrees on behalf of the Construction Administrator and the Construction Administrator's principals, employees, agents, heirs, successors and assigns that they shall only utilize drawings, specifications, maps, reports, records or other documents to the extent necessary for the performance of the Construction Administrator's work and duties under this contract. This limitation on use applies to those items produced by the Construction Administrator, as well as to those items received by the Construction Administrator from the Department of Administrative Services or others in connection with the Construction Administrator's work and duties under this contract.
- B.** The Construction Administrator further agrees that said drawings, specifications, maps, reports, records and other documents may not be released to any other entity or person except for the sole purpose of the work described in this contract. No other disclosure shall be permitted without the prior written consent of the Department of Administrative Services.
- C.** The Construction Administrator further agrees that the following provision will be included in its contracts with sub-consultants:

Any and all drawings, specifications, maps, reports, records or other documents associated with the contract work shall only be utilized to the extent necessary for the performance of the work and duties under this contract. Said drawings, specifications, maps, reports, records and other documents may not be released to any other entity or person except for the sole purpose of the work described in this

contract. No other disclosure shall be permitted without the prior written consent of the Department of Administrative Services. When any such drawings, specifications, maps, reports, records or other documents are no longer needed, they shall be destroyed.

VI. NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS, NONDISCRIMINATION PROVISIONS REGARDING SEXUAL ORIENTATION, EXECUTIVE ORDERS, ANTI-HARASSMENT POLICY, SUMMARY OF STATE ETHICS LAWS AND CAMPAIGN FINANCE LAWS

For the purposes of this article, the word "contractor" is substituted for and has the same meaning and effect as if it read "Construction Administrator."

A. Non-Discrimination

(a) For purposes of this Section, the following terms are defined as follows:

- i. "Commission" means the Commission on Human Rights and Opportunities;
- ii. "Contract" and "contract" include any extension or modification of the Contract or contract;
- iii. "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
- iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
- v. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- vii. "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- viii. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- ix. "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes §32-9n; and
- x. "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real

property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

(b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of the Contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Connecticut General Statutes §46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

(c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

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

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

(f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.

(g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes §46a-56.

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

B. Executive Orders.

This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order

No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings, and Executive Order No. Sixteen of Governor John G. Rowland, promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the contract as if they had been fully set forth in it. The contract may also be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services and to Executive Order No. 49 of Governor Dannel P. Malloy, promulgated May 22, 2015, mandating disclosure of certain gifts to public employees and contributions to certain candidates for office. If Executive Order No. 14 and/or Executive Order No. 49 are applicable, they are deemed to be incorporated into and are made a part of the contract as if they had been fully set forth in it. At the contractor's request, the Department shall provide a copy of these orders to the contractor.

C. This contract is subject to the provisions of the Department of Administrative Services' Anti-Harassment Policy ("Policy") and, as such, the contract may be cancelled, terminated, or suspended by the State in the event that the contractor, its employees, contractors, subcontractors, consultants, subconsultants, or vendors engage in behavior prohibited by the provisions of the Policy (a copy of the Policy is available on the DAS website). The contractor agrees to include a copy of the Policy, and the requirement to prevent behavior as defined in such Policy, in all contracts with its contractors, subcontractors, consultants, subconsultants, and vendors.

D. Summary of State Ethics Laws. Pursuant to the requirements of Section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to Section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of the contract as if the summary had been fully set forth in the contract.

E. CAMPAIGN CONTRIBUTION RESTRICTION

For all State contracts, defined in Conn. Gen. Stat. §9-612(g)(1) as 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 contract expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations," attached as "Attachment."

VII. WHISTLEBLOWING

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

VIII. SUSPENSION OF THE WORK

- A. The State, at any time, may suspend all or any part of the services of the Construction Administrator. In such event, the Construction Administrator shall be given notice of such suspension in writing by registered or certified mail to the Construction Administrator's address as furnished to the State for purposes of receiving notices under this contract, by email to the Construction Administrator's email address as furnished to the State for the purpose of notices, by facsimile transmission telecopy (fax) to the Construction Administrator's fax number as furnished to the State for the purpose of notices, or by hand delivery.
- B. Upon receipt of such notice, the Construction Administrator shall immediately discontinue all services affected (unless the notice directs otherwise). The mailing, email, fax or hand delivery of such notice shall preclude any claim on the part of the Construction Administrator as to failure to receive notice of such suspension.
- C. In the event of suspension by the State as noted above, the Construction Administrator shall be entitled to such compensation as the Commissioner shall deem reasonable.
- D. Should the State reactivate any assigned work covered by this contract, in whole or in part, within one year from the time the work was suspended, any fees paid to the Construction Administrator pursuant to this contract shall be applied as payment on the fees for the work as set forth in this contract at the time of reactivation. Should reactivation occur after a period of suspension exceeding one (1) year, the Construction Administrator and the State may renegotiate the fees for the work based on current conditions or either may unilaterally elect to terminate the remaining work.
- E. In the event the State decides to suspend any work under this contract, the State shall become entitled, after payment of outstanding fees, to all finished and unfinished documents, estimates, and schedules prepared pursuant to this contract.
- F. If the Construction Administrator should be unwilling or unable to perform the services required by this contract at the time the State desires to reactivate the work after a period of suspension, then all finished or unfinished documents, estimates, and schedules prepared pursuant to this contract shall become the property of the State and the State shall have the right to immediate possession and use thereof.
- G. The rights and remedies of the parties provided in this article are in addition to any other rights and remedies provided by law or under this contract.

IX. TERMINATION OF CONTRACT

- A. Notwithstanding any provisions or language in this contract to the contrary, the Commissioner may terminate the contract whenever he/she determines in his/her sole discretion that such termination is in the best interest of the State. Any such termination shall be effected by delivery to the Construction Administrator of a written notice of termination. The notice of termination shall be sent by registered or certified mail to the Construction Administrator's address as furnished to the State for purposes of receiving notices under this contract, by email to the Construction Administrator's email address as furnished to the State for the purpose of notices, by facsimile transmission telecopy (fax) to the Construction Administrator's fax number as furnished to the State for the purpose of notices, or by hand delivery. Upon receipt of such notice, the Construction Administrator shall both immediately discontinue all services affected (unless the notice directs otherwise) and deliver to the State all data, drawings, correspondence, specifications, reports, estimates, summaries, and such other information and materials as may have been accumulated by the Construction Administrator in performing its duties under this contract, whether completed or in progress. All such documents, information, and materials shall

become the property of the State. The mailing, email, fax, or hand delivery of such notice shall preclude any claim on the part of the Construction Administrator as to failure to receive notice of such termination.

- B. If the termination is for the convenience of the State, the Construction Administrator shall be entitled to receive reasonable compensation for services already satisfactorily performed and accepted, but no amount shall be allowed for anticipated profit on unperformed services. The Commissioner shall determine the amount of such compensation.
- C. If the termination is for reason of failure of the Construction Administrator to fulfill its contract obligations, the State may take over the work and prosecute the same to completion by contract or otherwise. In such event, the Construction Administrator shall be liable to the State for any additional costs occasioned to the State thereby.
- D. If after notice of termination for failure of the Construction Administrator to fulfill its contract obligations it is determined that the Construction Administrator had not so failed, the termination shall be deemed to have been effected for the convenience of the State. In such event, the Construction Administrator shall be entitled to reasonable compensation as provided in Section B of this article.
- E. If the Construction Administrator is a sole proprietor and the Construction Administrator should become deceased this contract shall be considered terminated. In the event of such termination, the Construction Administrator's estate shall be entitled to a reasonable payment for any uncompensated work performed to the date of death, and the State shall have title to, and shall have the right to immediate use and possession of, all finished and unfinished documents, estimates, and schedules prepared under this contract. The Commissioner shall determine the amount of such payment.
- F. The rights and remedies of the parties provided in this article are in addition to any other rights and remedies provided by law or under this contract.

X. ENTIRE AGREEMENT

No prior stipulation, agreement, or understanding, verbal or otherwise, of the parties hereto, their agents, or legal representatives shall be valid or enforceable unless embodied in the provisions of this contract.

XI. ANNUAL CERTIFICATION

If the aggregate value of this contract is \$50,000.00 or more, including all amendments and/or commission letters, then the Construction Administrator shall annually submit electronically, on or within two (2) weeks of the anniversary date of the execution of this contract, a completed Gift and Campaign Contribution Certification and notify the DAS Legal Unit that it has been uploaded. Said certification shall be uploaded on the Department of Administrative Services website. For the purposes of this article, the execution date of the contract shall be the date the Commissioner of DAS signs the contract.

XII. FORUM AND CHOICE OF LAW

The parties deem the contract to have been made in the City of Hartford, State of Connecticut. Both parties agree that it is fair and reasonable for the validity and construction of the contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided,

however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Construction Administrator waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

XIII. SOVEREIGN IMMUNITY

The parties acknowledge and agree that nothing in the solicitation or the contract shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the contract. To the extent that this section conflicts with any other section, this section shall govern.

XIV. APPROVAL OF STATE PROPERTIES REVIEW BOARD

As provided in Connecticut General Statutes Section 4b-23 (i), it is essential for the Construction Administrator contracting with the DAS to understand that the approval of the State Properties Review Board must be granted before the Construction Administrator's contract can begin. By providing service without a properly executed contract, the Construction Administrator accepts the risk that payment will not be made by the State of Connecticut.

XV. APPROVAL OF THE ATTORNEY GENERAL

This contract shall become effective when it is approved as to form by either the Attorney General of the State of Connecticut, the Deputy Attorney General of the State of Connecticut, or an Associate Attorney General of the State of Connecticut.

XVI. STATE'S RIGHTS OF INSPECTION, AUDIT AND COLLECTION; MAINTENANCE OF RECORDS

- (a) All services performed by and material supplied by the Construction Administrator under this contract shall be subject to the inspection and approval of the State at all times, and Construction Administrator shall furnish all information concerning such material and services as may be requested by the State.
- (b) The Construction Administrator shall maintain, and shall require each of its subcontractors hereunder to maintain, accurate and complete records, books of account and other documents that delineate the nature and extent of the State's, Construction Administrator's, and, in the case of each subcontract, the applicable subcontractor's, performance hereunder. The Construction Administrator shall maintain all such documentation and any and all other of its records (whether stored in electronic or other form) that in any way pertain or relate to this contract and/or the actual or alleged performance and/or lack of performance by any party hereunder (individually and collectively, "Records") at the Construction Administrator's address provided on the first page of this contract or such other location as is approved in writing in advance by the State.
- (c) The Construction Administrator agrees to make all of its Records available for inspection and/or examination, and copying, by the State's authorized representatives during reasonable hours. The State and its representatives also shall have the right, at reasonable hours, to inspect and examine all of the part(s) of the Construction Administrator's and its subcontractors' plant(s) and/or place(s) of the businesses which, in any way, are related to, or involved in, the performance of this contract and/or any subcontract to ensure compliance with the same. Except in the case of suspected fraud or other abuse or in the event of an emergency, the State will give the Construction Administrator at least twenty-four (24) hours' notice of any intended inspections or examinations.

- (d) At the State's request, the Construction Administrator shall provide the State with hard copies of or electronic media containing any data or information in the possession or control of the Construction Administrator which pertains to the State's business or this contract.
- (e) The Construction Administrator agrees that it will keep and preserve or cause to be kept and preserved all of its Records until three (3) years after the latter of (i) final payment under this contract, or (ii) the expiration or earlier termination of this contract, as the same may be extended or renewed, and any holdover period.
- (f) The Construction Administrator also agrees that it will require each subcontractor under this contract to maintain all of its Records until three (3) years after the expiration or earlier termination of said subcontract or other agreement, as the same may be renewed or extended.
- (g) If any litigation, claim or audit is started before the expiration of said three (3) year periods, such records shall be (and shall be required to be) retained until all litigation, claims or audit findings have been resolved.
- (h) The Construction Administrator shall incorporate the provisions of this article, including this section (h), verbatim into any contract or other agreement it enters into with any subcontractor under this contract.

XVII. DISCLOSURE OF RECORDS

This contract may be subject to the provisions of Section 1-218 of the Connecticut General Statutes. In accordance with this statute, each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of Sections 1-205 and 1-206 of the Connecticut General Statutes.

XVIII. NOTICES

The Construction Administrator provides the following information for the purpose of receiving notices under this contract, and agrees to promptly notify the DAS project manager in writing if there are changes to the information.

Contact person: Brian Ouellette
Address for registered or certified mail: 225 Newfield Avenue, Hartford, CT 06106
Address for hand delivery. 225 Newfield Avenue, Hartford, CT 06106
Email: brianouellette@newfieldconstruction.com
Facsimile transmission telecopy (fax) number: 860-953-1712

IN WITNESS WHEREOF, the State, acting herein by its Commissioner or designee, duly authorized, of the Department of Administrative Services and the Construction Administrator have executed this contract.

State of Connecticut

DocuSigned by:
Noel Petra
By: 59274CBDCF1A41C...
Noel G. Petra
Deputy Commissioner
Department of Administrative Services

Date signed: 5/27/2020

Newfield Construction Group, LLC

DocuSigned by:
Brian Ouellette
By: 9E9CF1E70A9B470...

Print name: Brian Ouellette

Its Executive Vice President, Duly Authorized

Date signed: 5/27/2020

Approved as to form:

Digitally signed by Joseph Rubin
Date: 2020.06.01 17:31:42 -04'00'
Joseph Rubin
Asst. Dep. Attorney General

Date signed: _____

EXHIBIT A

New Readiness Center
378 Pomfret Street (Route 44)
Putnam, Connecticut

Project Number: BI-Q-691
Contract Number: BI-Q-691-CA

I. PROJECT DESCRIPTION

The scope of professional services to be provided by the Construction Administrator (CA) under this contract consists of providing the services called for in the contract in connection with the following construction work:

The CA team will provide construction administration services to the DAS/CS in support of the New Readiness Center at 378 Pomfret Street (Route 44) Putnam, CT.

- Project will include the design and construction of a new 42,297 gross square foot National Guard Readiness Center on existing State Property. LEED Silver design will be required
- The National Guard Readiness Center includes the following items that are integral to the facility: Backup/Emergency Generator, Organizational Vehicle Parking (Paved), and Flammable Material Facility. Comprehensive interior design services are requested but will not only be limited to Offices. This facility will be designed to meet Industry Standards, as well as, all local, State, and Federal building codes and as per Public Law 90-480.
- Construction will include all utility services, information systems, fire detection and alarm systems, roads, walks, curbs, gutters, storm drainage, parking areas, and site improvements.
- References for guidance in design and construction of Readiness Centers are as follows but not limited to:
 - DoDM1225.08 – Section 5
 - UNIFIED FACILITIES CRITERIA (UFC) UFC 04
 - National Guard Bureau Design Guide - DG 415-1
 - National Guard Bureau Design Guide – DG 415-5
 - Sustainable Design and Development Policy

The CA agrees to become familiar with and follow the provisions set forth in the current version of the manual entitled "Capital Projects High Performance Buildings Guidelines" as of the date of this contract, prepared by the State of Connecticut, Department of Administrative Services.

The construction budget is Fifteen Million Four Hundred Twenty-Nine Thousand Dollars (\$15,429,000.00).

The contract documents will document, coordinate and design conduits, raceways, telecommunication rooms, etc. required for information technology (IT) and security systems pursuant to the established by the Directorate of Information Management (DOIM) and BEST telecommunication standards and the DAS Consultants Procedure Manual.

For all work involving telecommunications, data, security and audio-visual systems, the state's IT agency BEST shall be consulted and included in all correspondence.

The contract documents will provide sound control between spaces and noise and vibration control of major mechanical systems.

II. CONSTRUCTION ADMINISTRATOR'S SCOPE OF PROFESSIONAL SERVICES

The CA shall provide review of design phase services, which will include the schematic design, Charette documents, design development, contract documents, and bidding phases. The CA shall provide construction phase services and post-construction services including commissioning, if required, and closeout. Each phase will commence when written notice to proceed is issued by the Department of Administrative Services (DAS). The CA shall provide the services within the time periods specified herein or, at the option of the DAS, within extended periods as determined by the Department if the Department is of the opinion that extensions are warranted and if the Department evidences its consent to such extensions in writing. The CA shall not commence any phase work under the contract until the CA receives written authorization to proceed from the DAS Project Manager. The CA is responsible for providing the management, quality control, and administrative tasks needed to perform the services in an expeditious and economical manner consistent with the best interests of the State of Connecticut. The CA shall assist DAS in achieving its goals with respect to the project's schedule, budget, scope, and quality.

If the CA observes that the scope of work, construction cost, or any other relevant documentation is at variance with the requirements of the project, the CA shall promptly notify in writing the architect and the State. The CA shall also perform their duties and responsibilities as spelled out in the Construction Administrator's Procedure Manual.

The CA shall provide personnel with the qualifications and experience necessary to perform the various tasks herein described. The DAS shall be the sole judge of the qualifications of assigned personnel, and shall have the right to approve and reject personnel, and have removed any personnel it considers unsatisfactory. The CA shall name and provide resumes and prior assignments of its core staff to be assigned to this project for review and approval by DAS. It is anticipated that the CA shall supplement the core staff throughout all phases with other employees, consultants and subcontractors, as necessary, to support the core staff and/or bring special skills and expertise to the project.

Named core staff shall include, but not necessarily be limited to:

Project Executive: Stephen Buccheri
 Project Manager: Kevin Nelson
 Project Superintendent: Dan Brisson
 MEP Coordinator: Kevin Nelson
 CPM Schedule Expert or Consultant Keith Locke "On Point Construction Services LLC"
 Cost Estimator: Joanne Cotoia
 LEED Accredited Professional: Kevin Nelson/Chris Archer

Without limiting any provisions above, named core staff assigned to this DAS project must be approved by DAS Project Manager prior to assignment and may not be changed without DAS approval.

Project Management and Reporting (All Project Phases):

Project Meetings: Coordinate the development of a comprehensive project meeting schedule with the architect/engineer (A/E) and the DAS PM. Attend project meetings, review and verify meeting minutes, and verify that the minutes are properly recorded in DAS PMWeb file.

Master Project Milestone Schedule: Provide scheduling guidelines to DAS. Prepare, maintain, and monitor a Master Project Milestone Schedule incorporating the major pre-design, design, preconstruction, construction, closeout, and review and approval of all activities of the project. Incorporate the constructor's construction schedule into the Master Project Milestone Schedule, when available. Include other activities that may not be part of the A/E or constructor's responsibilities, i.e., environmental impact statements, asbestos removal, easement acquisition, other contractors, etc., but are essential to project completion. Proactively, keep all parties apprised of their schedule requirements and responsibilities. Keep the DAS PM apprised of progress in relation to the Master Project Milestone Schedule on a monthly basis. Provide analysis of schedule slippage, if it occurs, and recommendations for schedule recovery.

PMWeb Project Management Requirements

DAS projects utilize "PMWeb" project management (PMWEB.com) software as their project management and recording system. PMWeb Project Management Requirements for the CA are as follows:

- a. The CA will be provided with a license or licenses to access the software. The CA is required to utilize PMWeb for project specific documentation as directed by the DAS Project Manager.
- b. All documents not created in PMWeb shall be scanned, uploaded and maintained by the CA in the PMWeb Document Management System for this project and linked to the corresponding record in PMWeb.
- c. The above listed requirements apply to all of the CA's sub-consultants. Sub-consultants should attend the PMWeb training as a part of the Project Team.
- d. The CA shall monitor the use of the PMWeb System by the General Contractor.

High Performance Building Standard Regulations and LEED Certification

This project shall comply with the High Performance Building Regulations (RCSA 16a-38k-1 through 9), "the Regulations", and obtain Silver Certification under the Leadership in Energy and Environmental Design (LEED) certification program.

The CA shall assist in the coordination of activities associated with meeting these requirements. The scope of these requirements is detailed in the *Connecticut Building Standard Guidelines Compliance Manual for High Performance Buildings*, *ASHRAE Guideline 0-2005* and the DAS *Capital Projects High Performance Buildings Guidelines*. The CA shall have a LEED Accredited Professional as part of its primary team. The CA responsibilities associated with these requirements include, but are not limited to the following:

1. Participate in the Owner's Project Requirements development workshop(s).
2. Coordinate participation by agency facilities operation during commissioning activities in the design, testing, training phases as appropriate.
3. Review and comment on changes to the Owner's Project Requirements.
4. Monitor High Performance Building goals and requirements during design and construction.
5. Monitor LEED points during construction.
6. Review the Commissioning Agent's progress reports.
7. Review submitted documentation as required by the authorities having jurisdiction (AHJ).

The CA shall provide a written evaluation of the CxA's and Building Envelope Commissioning Agent's performance to date utilizing DAS' form and criteria at the completion of Design Development, Contract Documents, 50% Contract and 100% Contract.

A. End of SCHEMATIC DESIGN PHASE

1. Master Schedule:

Following interviews with the user groups and designers, DAS will obtain, organize, monitor, and forward to the Construction Administrator all of the end users and consultants' schedules and Critical Path Method (CPM) tasks for input into the CA's master schedule. The CA will provide data entry on these tasks and any other tasks the CA deems appropriate in order to track project progress and verify future milestones.

Utilizing CPM-based software, the CA will assign a duration and relationship to each task, add or delete tasks, identify the logic of interrelationships and milestones, and perform schedule management activities to identify the Project's critical path and timeline. Schedule submissions will be coordinated with the architect's design submissions throughout the design process (minimum of 3).

Items to be identified during subsequent refinements include milestones for departmental occupancy, shop drawings and CA reviews, special support services, and float times.

1. Action Item Agendas:

The CA shall provide the "Action Item Agenda" reports to monitor the significant issues discussed at meetings and having an impact on the Project Schedule or budget, and to track the resultant activity. Typical issues will include, but are not limited to, programming, timetables, information requests by the Project consultants or end users, alternative systems data, unit costs, items to be concluded, etc. The "Action Item Agenda" report will be included with all Project progress meeting reports.

2. Document Review Reports:

The CA shall prepare "Document Review" reports for each design phase submittal by the architect.

- a) Schematic Design Phase - 1 submission
- b) Design Development Phase - 1 submission
- c) Contract Document Phase - 1 submission

3. Constructability Review and Reporting:

The CA will provide a "Constructability Review" report of the early design documents. The report will be based upon an inspection that will include, but not be limited to, the following:

- a) Become familiar with on-site conditions.
- b) Proposed mechanical, electrical, and plumbing (MEP) systems overview.
- c) Soil conditions based upon the geo-technical report provided by others.
- d) Sustainable Design strategies including LEED Silver certification, the approach to meeting High Performance Building Requirements, and the client agency's policies and standards for healthy buildings.
- e) Assist DAS in the review of the A/E designs including, but not limited to, the building components and features, for the purpose of evaluating cost effectiveness, ease of

construction, fabrication, and installation. For example, avoid overly difficult building features such as elliptical roof cross sections that have the potential to add significant cost and/or time to the project.

5. Preliminary Field Operation Analysis:

The CA will perform the necessary investigation and planning in advance of preparing a plan of preliminary findings for project access strategy during construction. The analysis will be refined in the schematic, design development, and contract documents issue phases. The plan will include, but not be limited to, the review of the following:

- a) Staging of work.
- b) Temporary walks.
- c) Means of egress and fall protection.
- d) Field operation locations.
- e) Temporary field utility usage and feeds.

6. Construction Cost Estimate:

Upon review of submitted schematic design documents, the CA will prepare and submit to DAS a construction cost estimate. As the design detail advances, the cost estimates will correspondingly reflect greater detail in the qualitative analyses. A current cost data base will be utilized in conjunction with actual quantity takeoffs, knowledge of material and subcontractor availability, manpower and off-hour shift studies, and experience with systems and finishes on similar projects. Input from various trade contractors and vendors will also be sought. The estimates will utilize the standard Construction Specifications Institute (CSI) Masterformat and/or Unifomat II, as agreed upon by the DAS PM.

The CA will immediately notify the DAS Project Manager if and when it becomes apparent the construction budget is exceeding the established budget (including cost escalation through the mid-point of construction per the project schedule) for the construction and site work.

Under no circumstances will the cost of the project exceed the established budget of \$15,429,000.00 for construction and site work without prior written authorization from the DAS.

7. Value Engineering/Cost Reduction Alternatives:

Through the value engineering process, the budgeted **\$15,429,000.00** (unless modified in writing by the DAS) construction cost estimate can be concentrated in those areas of the facility that are most important to the owner. The CA will identify and recommend alternative materials, products, systems, equipment, or methods that could lead to project cost savings. Impact on schedule and sequencing will be analyzed and reported. The process shall facilitate the selection of building systems by analyzing each system's impact on the Project's budget and schedule and on the long-term operating costs of the Project.

8. Site Conditions:

The CA will evaluate the impact of known soils, subsurface geology, groundwater, unsuitable material, rocks, topsoil re-use, milled pavement and associated site elements.

9. Materials Review:

The CA will report on the advisability of materials selections and provide detailed information, including identification and potential availability of long-lead/specialty items, durability, construction methodology, and special sequencing or protection.

10. Systems Review:

The CA will conduct reviews of proposed roof, structural, mechanical, electrical, plumbing, conveyance, sprinkler, telecommunications, and life safety systems and will consider initial cost, availability, impact on the overall program, comfort and convenience, long-term maintenance and operating costs, and impacts on schedule.

11. Space Requirements:

The CA will conduct a review of the adequacy of space allotments for maintenance of mechanical, telephone, and fire protection equipment.

12. Submittals:

The CA shall submit to DAS four (4) hard copies of a bound report, in 8½-inch by 11-inch format, containing all necessary information, including schedules, reports, analysis, and estimates and one (1) electronic PDF copy. The report shall be submitted at a time agreed upon with the DAS Project Manager.

B. DESIGN DEVELOPMENT PHASE**1. The CA shall update previously described tasks and the following tasks, and shall submit a "Document Review" report for the Design Development Phase:**

- a) Action Item Agendas.
- b) Constructability Reviews and Reporting.
- c) Advanced Field Operation Analysis.
- d) Schedule Refinement.
- e) Budget Refinement.
- f) CxA Written Evaluation

2. Value Engineering:

The CA will identify and recommend alternative materials, products, systems, equipment, or methods that could lead to project cost savings. In addition, the CA shall analyze furniture, computer, telecommunications, and finish systems not previously available.

3. Construction Cost Estimate:

Following issuance of design development documents, the CA will prepare and issue construction cost estimates. These estimates will be derived from actual takeoffs, subcontractor and vendor input, and material and labor cost data. All quantitative systems information shall be provided in detail. The estimates will utilize the standard CSI Masterformat and/or Uniformat II as agreed upon by the DAS PM. The CA will immediately notify the DAS Project Manager if and when it becomes apparent the construction budget is exceeding the established budget. **Under no circumstances will the cost of the project exceed the established budget of \$15,429,000.00 for construction and site work without prior written authorization from the DAS.**

4. Submittals:

The CA shall submit to DAS four (4) copies of a bound report, in 8½-inch by 11-inch format, containing all necessary information, including schedules, reports, analysis, and estimates. The report shall be submitted at a time agreed upon with the DAS Project Manager.

5. Constructability Review and Reporting

At 50% completion of the DD documents, if applicable, the CA will prepare a “Constructability Review” report of the proposed building components and features, for the purpose of evaluating cost effectiveness, ease of construction, fabrication, and installation.

At 100% completion of the DD documents, the CA will prepare a “Constructability Review” report of the entire DD Phase.

DD analysis and extend its review to include, but not be limited to, an analysis of the following:

- 1) Availability of materials and labor,
- 2) Identification of long lead items,
- 3) Durability and intended use of materials and equipment,
- 4) Space requirements and allotments of equipment and building systems,
- 5) Functional systems checks, assessment of controls, and building management systems in coordination with the CxA.
- 6) Envelope design in coordination with the BECxA
- 7) Construction methodology,
- 8) Identify past problems with proposed materials or equipment, and propose alternatives that could lead to cost savings;
- 9) Systems not analyzed during the SD Phase, including, but not limited to furniture systems, computer systems, telecommunication systems, and finish systems.
- 10) Effect of blasting and pile driving or any construction activities potentially effecting adjacent structures.
- 11) FF&E Move Services (DD)

6. FF&E Move Services

Assist the Owner, Constructor, and A/E with coordinating the schedule of move services for FF&E. The CA will integrate the move-in schedule and the information systems schedule into the Master Schedule to track project progress and verify future move milestones. The CA will notify the DAS promptly, in writing, of any scheduling conflicts with recommendations for resolution.

C. CONTRACT DOCUMENTS PHASE

1. 50% Contract Documents Phase Review:

a) **The CA shall update previously described tasks and the following tasks, and shall submit a "Document Review" report for the Contract Documents Phase:**

1. Action Item Agendas.
2. Constructability Reviews and Reporting.
3. Advanced Field Operation Analysis.
4. Schedule Refinement.

5. Budget Refinement.
6. CxA Written Evaluation

b) Construction Cost Estimate:

At 50% completion of the contract documents, the design team will present and submit copies of the project plans and manual. The CA will prepare and issue the construction cost estimates. The estimate shall be derived from actual takeoffs, subcontractor and vendor input, and material and labor cost data. All quantitative systems information shall be provided in detail. The estimates will utilize the standard CSI Masterformat and/or Unifomat II as agreed upon by the DAS PM. The CA will immediately notify the DAS Project Manager if and when it becomes apparent the construction budget is exceeding the established budget. **Under no circumstances will the cost of the project exceed the established budget of \$15,429,000.00 for construction and site work without prior written authorization from the DAS.**

c) Value Engineering

The CA will identify and recommend alternative materials, products, systems, equipment, or methods that could lead to project cost savings. In addition, the CA shall analyze furniture, computer, telecommunications, and finish systems not previously available.

d) Submittals:

The CA shall submit to DAS Four (4) hard copies and One (1) electronic PDF copy of a bound report, in 8½-inch by 11-inch format, containing all necessary information, including schedules, reports, analyses, and estimates. The report shall be submitted at a time agreed upon with the DAS Project Manager.

e) Site Logistics Plan Review

Review the site logistics plan to confirm the following items, as applicable, are included:

- 1) Site fence and access gates,
- 2) Truck wheel wash area,
- 3) CA office trailer,
- 4) Constructor's office trailers, and
- 5) Constructor's storage trailers or storage laydown areas, and a
- 6) Building Excavation Plan may include the following:
 - a) Ramp, b) Excavation Scope, c) Crane Locations, d) Site access and traffic ways, e) Temporary utility locations, f) Offsite utility locations, g) Excavation spoils storage area, h) Soil erosion control plan, i) Dewatering, and j) Any other item that can impact the project cost and schedule.

f) FF&E Move Services

Assist the Owner in developing an Occupancy Plan for the completed project, which may include, but is not limited to the development of move schedules, cost estimates and inventory lists.

Assist the Owner, as necessary, with move coordination, relocation assistance or furniture coordination services at project completion.

2. 100% Contract Documents Phase Review:

a) The CA shall update previously described tasks and the following tasks, and shall submit a "Document Review" report for the Contract Documents Phase:

- Action Item Agendas.
- Constructability Reviews and Reporting.
- Advanced Field Operation Analysis.
- Schedule Refinement.
- Budget Refinement.
- CxA Written Evaluation

b) Construction Cost Estimate:

At 100% completion of the contract documents, the design team will present and submit copies of the final project plans and manual. The CA will prepare and issue the construction cost estimates. The estimate shall be derived from actual takeoffs, subcontractor and vendor input, and material and labor cost data. All quantitative systems information shall be provided in detail. The estimates will utilize the standard CSI Masterformat and Uniformat II. The CA will immediately notify the DAS Project Manager if and when it becomes apparent the construction budget is exceeding the established budget of **\$15,429,000.00** (including cost escalation through the mid-point of construction per the project schedule) for the construction and site work. **Under no circumstances will the cost of the project exceed the established budget of \$15,429,000.00 for construction and site work without prior written authorization from the DAS.**

The final estimate will itemize all materials and equipment shown on the drawings and listed in the specifications; be derived from actual takeoffs, Subcontractor and vendor input, material and labor cost data; and incorporate any changes made to the plans and specifications during the Design Review process. All quantitative systems information shall be provided in detail.

c) Review Division 1 General Requirements:

Attend meetings and work sessions with owner, agency, and architect to recommend changes to the *General Conditions of the Contract for Construction* and *Division 1 General Requirements* and edit the Division 1 general requirements to make them project specific.

d) Document Review:

The CA shall review the project drawings and the project manual to ensure that systems, equipment, components, materials, and construction techniques are fully identified and specified, including interfaces between trades, so as to permit proper and complete bidder response.

Review the Contract Documents to ensure that systems, equipment, components, materials, and construction techniques are fully identified and specified, including interfaces between trades, for inclusion in the final estimate to permit proper and complete bidder response to the Bid Package.

Review, analyze, recommend and upon Department approval execute any changes to the Supplemental Conditions to ensure that all special requirements and conditions are

addressed in the final estimate. Any changes to the General Conditions requires both the Department's and the Attorney General's approval.

e) Submittals:

The CA shall submit to DAS Four (4) hard copies and One (1) electronic PDF copy of a bound report, in 8½-inch by 11-inch format, containing all necessary information, including schedules, reports, analyses, and estimates. The report shall be submitted at a time agreed upon with the DAS Project Manager.

The CA will work closely with the architect during this phase in order to submit its report concurrently with the final contract documents from the architect. This may involve updating and making adjustments to the 50% construction cost estimate to reflect minor design changes made to the final contract documents.

D. BID PHASE

During the bid phase, the CA shall:

1. Recommend changes to bid format instructions and working procedures to clarify alternate bids, supplemental bids, and unit price requests or materials supplied by others.
2. Participate in pre-bid conferences, route inquiries to the proper source for clarification, and recommend the issuance of addenda as applicable to the project if appropriate.
3. Upon receipt of bids, participate with DAS in substantiating bidder qualifications and participate in the review of bid proposals to assure that they contain the intended value and scope required of the bidding documents.
4. Analyze the Bid Tabulations, Bid Proposal Forms, Constructor and Subcontractor Questionnaire Submittals and advise the DAS PM, in writing, of any problems associated with the lowest responsible qualified bidders

E. CONSTRUCTION PHASE SERVICES

DUTIES AND SERVICES:

The CA's construction phase services shall be for a **time period of Three Hundred Sixty-Five (365) calendar days (the Construction Phase Time), plus an additional ninety (90) calendar days** for project closeout, commencing with the date set forth in the written notice to proceed sent to the CA by the DAS Project Manager. Said number of calendar days may be extended in writing by the Commissioner of the DAS, hereinafter referred to as the Commissioner. A reasonable fee shall be determined by the Commissioner for an appropriate level of services for the extended time. The parties recognize that during the extended time the level of staffing and/or services may be decreased, which shall be considered by the Commissioner in the determination of a reasonable fee.

The CA shall consult with DAS to ascertain the requirements of the project and consult with proper State authorities and inform itself as to specific institutional conditions that might affect contemplated work or the hours or season of its execution. The CA shall familiarize itself with the contract documents. In accordance with State requirements, the Construction Administrator shall perform construction administration on the construction project designed by the DAS or consultants employed by the State.

The CA's scope of work for Construction Phase Services (more specifically defined in the Contract and Section 2.4 of this Manual) may include, but are not limited to the following:

- 1) Scheduling services (services may vary based on total project value);
- 2) Review and recommendation for approval of the Schedule of Values payment;
- 3) Review and recommendation for approval of periodic requisitions for partial payment;
- 4) Establish and conduct project meetings, then record and distribute meeting minutes;
- 5) Supervision and inspection services; Requests of Inspections;
- 6) Project documentation, records, and reporting services;
- 7) Review, log and monitor the approval process for change orders, and if requested by the State, negotiate change orders between the State and the Constructor;
- 8) Monitor and update the construction budget;
- 9) Project closeout services;
- 10) Review, and if appropriate, recommend for approval all Constructor applications for payment;
- 11) Claims and dispute resolution services.
- 12) Verify Storm Water Discharge/Environmental Inspections, reports, Turbidity Testing, etc. Construction Phase Services
- 13) Expedite and improve the efficiency of the construction process through professional planning and execution of project activities, all focused upon fulfilling the Department's scope, cost, quality, and time requirements.

1. Scheduling Services

The CA shall review and recommend for approval the construction schedule submitted to the State by the general contractor. The CA shall review the schedule for compliance with the contract documents and inform the State of any deficiencies. The CA shall distribute said construction schedule to the architect/engineer for its review and recommendation for approval. The CA shall forward both its recommendation and the architect's/engineer's recommendation for approval to the DAS.

The CA shall record, monitor, review, and provide recommendations to the State on the shop drawing schedules, submittal schedules, and procurement schedules' conformance with the contract documents, project conditions, and approved construction schedule.

During the progress of construction, the CA shall obtain from the general contractor updated monthly schedules. It shall review them to identify potential variances from the scheduled completion dates. It shall also approve and review schedules for parts of the work not started or incomplete and recommend to the DAS and the general contractor adjustments (recovery schedules) in the schedules to meet the construction completion dates.

The CA shall also provide executive monthly status reports documenting all changes to the master precedence construction network schedule and provide an impact analysis of any variances to the approved construction schedule.

2. Schedule of Values

The CA shall review and recommend for approval the schedule of values payment as submitted to the State by the general contractor. The CA shall review the schedule of values for compliance with Article 27 of the *General Conditions of the Contract for Construction* and Specification Section 01 29 76 Progress Payment Procedures, 1.3 Schedule of Values and

inform the State of any deficiencies. The CA shall distribute said schedule of values to the architect/engineer for their review and recommendation for approval. The CA shall forward both its recommendation and the architect's/engineer's recommendation for approval to the DAS.

3. Periodic Requisition for Partial Payment

During the progress of construction, the CA shall obtain from the general contractor monthly requests for partial payment. It shall review and recommend for payment in accordance with Article 28 of the *General Conditions of the Contract for Construction* and inform the State of any deficiencies. The CA shall distribute requests for partial payment to the architect/engineer for its review and recommendation for approval. The CA shall forward both its recommendation and the architect's/engineer's recommendation for approval to the DAS.

Project Monthly Report: The CA is responsible for filing a CA Monthly report prior to submission of their payment application for services rendered. This monthly executive report template can be found on the DAS Portal – Form 7045.

4. Project Meetings

There are three (3) types of Construction Phase meetings: Pre-construction, Progress, and Special meetings (for example Pre-Installation, Coordination, and Close Out).

The CA shall establish, conduct, record, and distribute minutes of all project meetings, which shall include, but not be limited to, the following meetings with the participants as required:

- a. Pre-Construction Conference
- b. Pre-Installation Conferences
- c. Coordination Meetings

5. Supervision and Inspection

The CA shall inspect all work of the general contractor, subcontractors, and any additional service providers for compliance with the contract documents. The CA shall review the shop drawings for compliance with the contract documents without assuming any of the liabilities or responsibilities of the architect/engineer. The CA shall act as the State's liaison with the general contractor. It shall assist in understanding the intent of the contract documents. It shall assist in obtaining from the State and the architect/engineer additional details or information when required for proper execution of the work.

- a. The CA shall conduct on-site daily inspections and monitor the work in progress to assist the DAS in determining if the work is in general proceeding in accordance with the contract documents.
- b. The CA shall coordinate and schedule all special inspections as required by the contract documents. The special inspector/testing lab will be hired by the State.
- c. The CA shall report in writing to the DAS whenever any work is unsatisfactory, faulty or defective, or does not conform to the contract documents, or has been damaged, or does not meet the requirements of any inspection, test, or approval required to be made, and advise the DAS and the general contractor of work that it believes should be corrected or

rejected or should be uncovered for observation, or requires special testing, inspection, or approval.

- d. The CA shall coordinate and schedule, in the presence of appropriate personnel, all tests, equipment/systems start-ups, and operating/maintenance training. The CA shall maintain adequate records thereof, and observe, record, and report in writing to the DAS and the architect/engineer appropriate details relative to the test procedures and start-ups.
 - e. The CA shall report to the architect/engineer when requests for clarifications and interpretations of the contract documents are needed. The CA shall initiate, track, and process all said requests in writing. Clarifications and interpretations issued by the architect/engineer shall be transmitted to the general contractor by the CA after review thereof by the CA and the DAS Project Manager.
 - f. The CA shall consider and evaluate the general contractor's suggestions for modifications to the drawings or specifications and report its related recommendations to the architect/engineer and the DAS Project Manager. The CA shall then transmit to the general contractor decisions issued by the architect/engineer.
 - g. The CA shall review the safety program for the project provided by the general contractor. The CA shall notify the general contractor and the DAS in writing of any deviations from the safety program. The CA shall upon seeing an unsafe or threatening situation immediately inform the general contractor of the situation for the general contractor to take action, and also orally report this situation to the DAS PM.
 - h. The CA shall coordinate and schedule all inspections as required by the Office of the State Building Inspector and/or the authority having jurisdiction (AHJ). The special inspector/testing lab will be hired by the State.
 - i. The CA shall review and monitor all materials, elements, and system installations with regards to the building envelope and ensure compliance with the approved commissioning requirements.
6. Documentation, Records, and Reporting
- a. The CA shall maintain in an orderly and secure manner at the job site all project files, correspondence, reports of job conferences, shop drawings, samples, meeting minutes, test reports, reproductions of the original contract documents, and all relevant paperwork required to track, monitor, and administrate the contract documents.
 - b. The CA shall keep a daily diary or log book recording the general contractor's and subcontractors' hours on the job site, weather conditions, deliveries, equipment on the job site, data relative to questions of work-directive changes, data relative to questions of delays, change orders or changed conditions, names of job-site visitors, daily activities, decisions, observations in general, and specific observations in detail as in the case of observing test procedures; and send copies thereof to the architect/engineer.
 - c. The CA shall record the names, addresses, and telephone numbers of the general contractor, subcontractors, and major suppliers of materials and equipment.
 - d. The CA shall maintain a monthly photo log of events of all major activities and all activities that require additional attention.
 - e. The CA shall prepare and provide monthly executive progress reports to the State (Form 7045), the client agency, and the architect/engineer. Each monthly progress report shall include all items monitored for the past month, an update on construction with reference to meeting the project schedule, an update on the construction budget, and any

recommendations by the CA for meeting either the project schedule or the construction budget.

- f. The CA shall examine submittals made by the general contractor and furnish recommendations to the State concerning material and equipment, and review and report on the general contractor's proposals in connection with changes in the construction work. These services are to be performed within five (5) calendar days of receipt of such proposals so as not to delay the work. In the event that the incorporation of an approved substitution into the work will require revisions or additions to the contractual requirements, the CA shall review and monitor all costs of such revisions or additions.
- g. The CA shall promptly prepare a written report of all Work found through its inspections to be unsatisfactory, faulty or defective, does not conform to the Contract Documents, has been damaged, or does not meet the standard of approval. The CA must follow up to be certain the issue isn't simply reported on and the need for resolution overlooked. The CA has a duty to report on observed and/or reported code violations that the reasonable and prudent CA would observe in the Work, but that would be missed if the CA were limited to checking for conformance with the Contract Documents. The report shall include the CA's professional opinion of the Work that it believes should be corrected or rejected, or should be uncovered for observation, or requires special testing, inspection, or approval. If corrective action is recommended, the CA shall include a Work schedule to complete the corrective action.

Work that was reported as deficient, but can be approved with corrective action, shall remain open until:

- 1) Corrective Work occurs, thereby achieving compliance, or
- 2) An Engineering Bulletin is issued by the Architect identifying an alternate means of compliance that has been reviewed and approved by the OSBI. Approval of the alternate means of compliance must be obtained prior to altering the Contract Documents. be documented and maintained as part of the Project Records to satisfy Certificate of Occupancy mandates.

If corrective action is not taken on a deficiency, the CA will provide the DAS PM with supporting data to substantiate unsatisfactory performance and issue a deficiency notice to the Constructor for failure to install the Work per the plans and specifications. The CA shall maintain a log of all deficiency notices and corrections made as part of the Project Records. If there is a dispute between the Constructor and the CA regarding an inspection and rejection of the Work, the CA may suspend Work on the non-compliant portion of the Work until the dispute can be referred to and decided by the Commissioner.

The CA is responsible for coordinating and scheduling, in the presence of appropriate personnel, all tests, equipment and systems start-ups, and operating/maintenance training. The CA shall maintain adequate records thereof, and observe, record, and report in writing to the DAS and the A/E appropriate details relative to the test procedures and start-ups.

7. Change Orders

The CA shall review, keep a log of, and monitor all the approval processes for the requests for change orders received from the general contractor ensuring the inclusion of all backup material. The CA shall review the architect's/engineer's recommendation for any change order. The CA shall perform an independent cost estimate and analysis including activity duration and schedule impact regarding the general contractor's change order request. The

CA shall forward its recommendation, along with the architect's/engineer's recommendation, to the State for approval.

If requested by the State, the CA shall negotiate the change order between the general contractor and the State. Negotiations shall include work to be performed, duration, cost, and schedule impact. All negotiation sessions shall have a written record of the meetings and exchanges prepared by the CA for transmission to the State. The written record shall include inspection reports, progress reports, instructions given, a record of the general contractor's and the client agency's statements, records of existing conditions, test reports, photographs, and a summary report on the merits of the requested change order.

In the event an agency seeks a change request, the Owner, through the CA, may also order modifications in the Work for additions, deletions or other revisions.

To process an Agency Change Request, the CA must first receive an official user Agency Change Request (Form 7055) from the DAS PM, signed by the Commissioner of the user Agency (or authorized agent) and the DAS Commissioner (or authorized agent). The Constructor shall provide the CA and the Owner a complete detailed accounting of all costs relating to the Additional Work, including but not limited to certified payrolls and copies of accounts, bills and vouchers to substantiate actual costs for any Change Directive or CO.

8. Construction Budget

The CA shall monitor and update the construction budget on a weekly basis, and submit a monthly report to the DAS identifying activity variances between actual, budget, and projected costs. The report shall include a trend analysis for the project and indicate the balance to date of the construction contingency for the project.

9. Project Closeout

Collection and review of all Warranty, Guarantee and Operations and Maintenance (O&M) manuals, record or as-built drawings, and all other required closeout documents. If the CA determines that the Work has been completed in accordance with terms and conditions of the Contract Documents, the CA will recommend to the DAS Acceptance of the Work and Final Payment to the Constructor.

The CA shall schedule and administer close out progress meetings with the constructor, A/E, and DAS, to ensure a timely and orderly closeout.

The CA shall receive and review as-built drawings and submit them, if they are correct, to the DAS, which shall in turn forward them to the architect/engineer to produce the record drawings. Prior to the recommendation of final payment to the general contractor, the CA shall receive and review, for completeness and compliance with the contract documents, maintenance and operation manuals, schedules, warranties and guarantees, bonds, and certificates of inspections, tests and approvals.

The CA, in conjunction with the DAS and the architect/engineer, shall prepare a punch list, and conduct an inspection to determine if the construction work is in compliance with the contract documents.

The CA, in conjunction with the DAS, the building authority having jurisdiction, and the architect/engineer, shall make a recommendation on substantial completeness of the project and obtain certification of occupancy as required.

The CA shall observe whether all items on the punch list have been completed and make recommendations to the architect/engineer and the DAS concerning acceptance of the work.

The CA shall monitor the general contractor's progress and upon completion of the general contractor's work shall recommend that a final inspection be performed.

The CA shall then, in conjunction with the DAS and the architect/engineer, perform a final inspection of the work. Contingent on this final inspection revealing the proper completion of the work, the Construction Administrator shall recommend in writing to the DAS acceptance of the work and final payment to the general contractor.

The CA shall coordinate and verify that all required documentation to achieve sustainability (LEED) accreditation has been completed.

10. Payments to General Contractor

The CA shall review and, if appropriate, recommend for approval all of the general contractor's applications for payments. The CA shall process such applications in accordance with the DAS' procedures and accounting requirements ensuring that the applications for payment include the architect's/engineer's signature and concurrence on the progress of the construction work. The CA shall monitor the general contractor's payments made to its subcontractors and report to the DAS on any potential irregularities.

11. Claims and Disputes

The action taken, services rendered, and data gathered by the CA are key elements with regard to construction claims. The CA shall perform the following:

- a. Administer the construction contract fairly and in accordance with the contract terms and conditions.
- b. Identify potential problems, evaluate the conditions involved, and coordinate with the general contractor and the architect/engineer to prevent or minimize problems.
- c. Refute promptly, in writing, any written statements by the general contractor that are not correct.
- d. Keep in a separate file complete documentation of claims or potential claim activities.
- e. Provide all relevant information, make written recommendations on the validity of claims, provide costs analysis, and provide support to the State, the DAS Project Manager, the Attorney General, and outside counsel, as required, within the duration of this contract.

12. The CA covenants and agrees that it shall perform its services under this contract in accordance with the standards and practices of its profession.

13. Nonperformance

If the CA does not fulfill or complete its services in a timely and adequate manner, the State reserves the right to withhold monetary payments to the CA until such time as the work is brought up to date in an adequate manner. The amount withheld shall be reasonably determined by the Commissioner. If the State is harmed by the CA's nonperformance, the State shall be granted fair and equitable compensation by the CA as reasonably determined by the Commissioner.

The State has the right for inspection on demand of the CA's products. The State will accept only those products that meet reasonable professional standards.

14. Force Majeure

Neither party shall be liable to the other nor deemed to be in breach of this contract for failure or delay in rendering performance arising out of causes factually beyond its control and without its fault or negligence. Such causes may include, but are not limited to, acts of God, wars, fires, floods, epidemics, guarantee restrictions, strikes, or freight embargoes. Irrespective of the occurrence of any of the foregoing events or circumstances the CA shall take reasonable measures to mitigate any damage caused thereby.

15. Waivers

All conditions, covenants, duties, and obligations contained in this contract can be waived only by written agreement. Forbearance or indulgence in any form or manner by a party shall not be construed as a waiver, nor in any way limit the legal and/or equitable remedies to that party.

16. Severability

If any of the provisions of this contract are declared or found to be illegal, unenforceable, or void, then both parties shall be relieved of the obligations under any such provisions. The remainder of the contract shall be enforced to the fullest extent permitted by law.

17. Records

More specifically, the CA shall maintain at the Project site for the Owner:

a) One record copy of all Contracts, Drawings, Specifications, Addenda, Change Orders and other modifications, in good order and marked currently to record changes and selections made during construction and approved Shop Drawings, Product Data, Samples and similar required Submittals. In the case of each subcontract, the CA shall maintain documents that delineate the sub-contractors performance and/or lack of performance. The CA shall maintain records as provided by Contract, in duplicate, of principal building layout lines, elevations of the bottom of footings, floor levels and key site elevations certified by a qualified surveyor or professional engineer.

b) All project files, correspondence, meeting minutes, schedules with monthly updates, permits, testing and inspection reports, daily log book/project diary, monthly photo log of events, and monthly executive reports in the form and format specified in the Contract, and all relevant paperwork required to track, monitor, and administrate the contract documents. For a template of the monthly report, see Form 7045, under the 7000 Series – Construction Phase Forms, in the DAS Web-based Library.

c) Records of applications for payment from the Constructor, including:

- 1) Accounting records on authorized Work performed under unit costs, including but not limited to certified payrolls and copies of accounts, bills and vouchers for additional Work performed on the basis of actual costs of labor and materials, and other Work requiring accounting records.
- 2) Records of reimbursable expenses, expenses pertaining to additional services, and direct personnel expenses for services performed on the basis of a multiple.

EXHIBIT B

New Readiness Center
378 Pomfret Street (Route 44)
Putnam, Connecticut

Project Number: BI-Q-691
Contract Number: BI-Q-691-CA

The total fee for the Construction Administrator shall be:

Seven Hundred Forty-Three Thousand Five Hundred Forty-One Dollars \$743,541.00

and shall be paid as indicated below for the completion of the work specified when previously authorized in writing, and after the related work has been accepted by DAS. Said fee includes all subconsultants' fees and the Construction Administrator's overhead and profit.

A. End of Schematic Design Phase:

Twenty Five Thousand Sixty Dollars \$25,060.00

B. Design Development Phase:

Fifty Thousand Twenty Dollars \$50,020.00

C. Contract Documents Phase:

Seventy-Eight Thousand Two Hundred Eighty Dollars \$78,280.00

D. Bid Phase:

Thirteen Thousand Two Hundred Sixty Dollars \$13,260.00

E. Construction Phase Sum:

1. Construction (90%):

Five Hundred Twenty-Seven Thousand Three Hundred Eighty-Four Dollars \$527,384.00

2. Project Closeout and Record Drawings (5%):

Twenty-Eight Thousand Four Hundred Sixty-Nine Dollars \$24,769.00

3. Commissioner's Discretion upon acceptance of Certification of the Final Application for Payment (5%):

Twenty-Four Thousand Seven Hundred Sixty-Eight Dollars \$24,768.00

The payments under Sections A and B above shall be paid after the related work has been completed and accepted by DAS.

Each first payment under Sections C and D above shall be paid after fifty percent (50%) of the related phase work has been completed, as determined by DAS, and DAS has accepted such work. Each final payment under such sections shall be made after the related phase work has been completed and accepted by DAS.

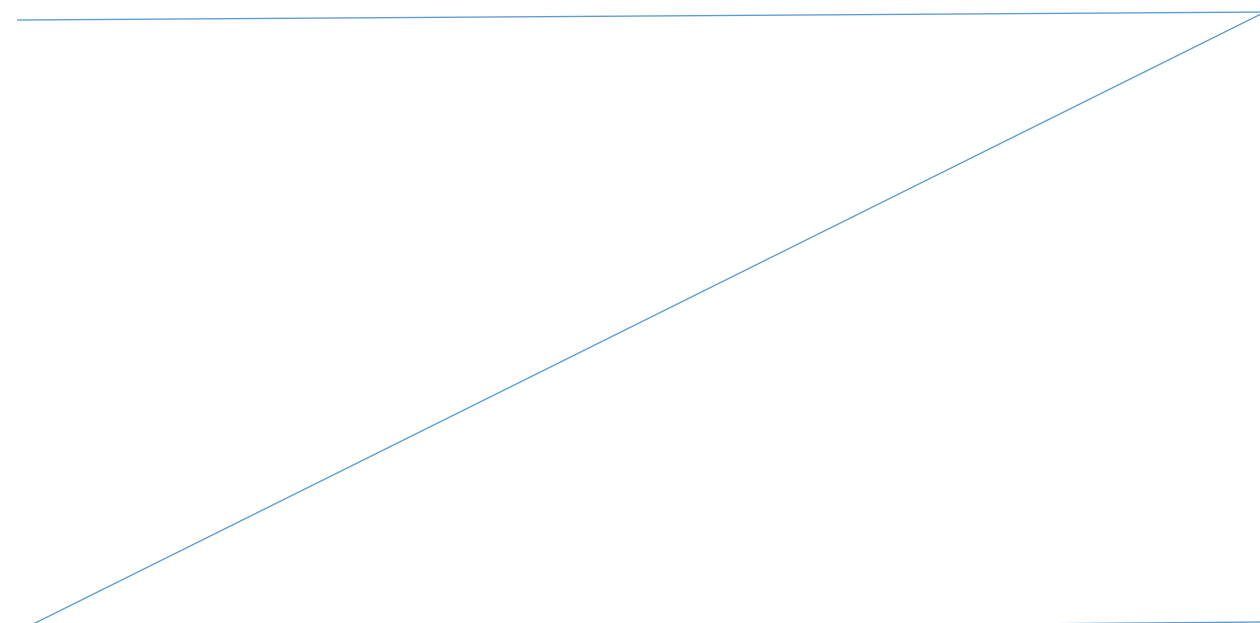
Ninety percent (90%) of the Construction Phase Sum under Section E above shall be paid in equal monthly installments based upon the Construction Phase Time. An additional 5% of the Construction Phase Sum shall be payable upon both (1) completing project closeout as required by the General Conditions and the General Requirements of the Contract for Construction and (2) the receipt of record drawings.

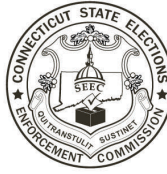
The final 5% balance of the Construction Phase Sum shall be payable at the discretion of the Commissioner upon DAS' acceptance of the Certification of the Final Application for Payment.

In the event the Commissioner of the Department of Administrative Services determines that the Construction Administrator has not performed its services as required by this contract, then the equal monthly installments shall be adjusted to a percentage commensurate with the level of the actual performance of the construction phase services. The equal monthly installment payments can be readjusted to a percentage commensurate with the level of the Construction Administrator's actual improvement of performance of construction phase services. The issue of the Construction Administrator's performance of services shall be determined by the Commissioner.

All payment installments, as adjusted, shall remain in effect until the payments reach 90% of the Construction Phase Sum. An additional 5% of the Construction Phase Sum shall be payable upon (1) completing project closeout as required by the General Conditions and the General Requirements of the Contract for Construction and (2) the receipt of record drawings. The balance of the Construction Phase Sum shall be payable at the discretion of the Commissioner upon DAS' acceptance of the Certification of the Final Application for Payment.

Nothing contained herein shall limit the State's right to suspend or terminate this contract pursuant to Articles VIII and IX of the contract.





Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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

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

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly solicit** contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor* or *principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

DUTY TO INFORM

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

PENALTIES FOR VIOLATIONS

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

Civil penalties—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

CONTRACT CONSEQUENCES

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

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

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

Additional information may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "Lobbyist/Contractor Limitations."

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

Rev. 1/11

Page 2 of 2



DEFINITIONS

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

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

“Principal of a state contractor or prospective state contractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five 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, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

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

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

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

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

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



DEPARTMENT OF ADMINISTRATIVE SERVICES

June 3, 2020

New Readiness Center
Putnam, Connecticut
Project Number: BI-Q-691
Contract Number: BI-Q-691-CA

Mr. Robert Daddona, Jr.
Newfield Construction Group, LLC
225 Newfield Avenue
Hartford, CT 06106

Dear Mr. Daddona:

Your **Construction Administrator's Contract** dated **May 27, 2020**, for professional services for the subject project, has been fully executed and approved by all concerned parties. We are forwarding herewith a copy of this contract. Do not proceed with the contract work until you receive written notice to proceed from the Department of Administrative Services (DAS) project manager assigned to this project.

Attached is Department of Revenue Services CERT-134. This certificate should be referenced when indicating that the Connecticut Sales and Use Tax does NOT apply to the subject project.

All invoices must be directed to the DAS Project Manager who is assigned to the project. Please submit invoices on your letterhead that include the following information:

- Vendor's name and remittance address, Vendor's FEIN or SSN
- Invoice date, Contract/Project name and number
- Section(s) of the contract to which the bill relates and the amount billed

If you should have any questions in regard to the above, please contact the DAS project manager, Ronald Wilfinger, assigned to this project at (860) 713-5648.

Sincerely,

Alison Kulas

Alison Kulas
Legal Services Unit

Enclosures: Contract No. BI-Q-691-CA
CERT-134

cc: State Properties Review Board w/copy of contract
DAS Office of Legal Affairs, Policy and Procurement, w/copy of contract
Craig Russell, Director, Construction Support Services, w/copy of contract
Glenn Knapsack, DAS Project Accounting w/copy of contract
Peter McClure, DAS ADPM, w/copy of contract
Ronald Wilfinger, DAS Project Manager, w/original contract
Randy Daigle, DAS Process Management, w/copy of contract

Affirmative Action/Equal Opportunity Employer

OFFICE OF LEGAL AFFAIRS, POLICY AND PROCUREMENT
450 Columbus Boulevard, Suite 1307, Hartford, CT 06103

Department of Revenue Services
 State of Connecticut
 Taxpayer Services Division
 25 Sigourney St Ste 2
 Hartford CT 06106-5032
 (Rev. 07/09)

CERT-134

Exempt Purchases by Qualifying Governmental Agencies

General Purpose: Qualifying governmental agencies must issue this certificate to retailers when purchasing tangible personal property or enumerated services. For purposes of this certificate, qualifying governmental agencies include:

- The United States and its agencies;
- The State of Connecticut or its political subdivisions or their agencies;
- Certain other entities exempt under Connecticut law; and
- Persons acting as agents for any of these entities.

A qualifying governmental agency may use this certificate to purchase any tangible personal property for resale at any one of five fundraising or social events of a day's duration during any calendar year. The event must be exempt from tax under Conn. Gen. Stat. §12-412(94). Otherwise, governmental agencies are not allowed to purchase tangible personal property for resale with this certificate. See **Special Notice 98(11)**, *Exemption From Sales and Use Taxes of Sales by Nonprofit Organizations at Fundraising or Social Events*.

Statutory Authority: Conn. Gen. Stat. §12-412(1)(A)

Instructions for the Purchaser: An authorized person acting on behalf of a qualifying governmental agency must issue and sign this certificate to advise the seller of tangible personal property or taxable services that sales and use taxes do not apply to the purchase. The purchases must be made by the qualifying governmental agency using the agency's own funds.

Purchases made by individual employees who will be reimbursed by a qualifying governmental agency **do not** qualify for exemption under any circumstances, even if the purchases are made in the employee's official capacity.

If a purchaser other than an agency of the U.S. or the State of Connecticut, not named on the reverse of this certificate, is expressly exempted from state sales and use taxes by a federal or Connecticut statute, the purchaser must identify the exempting statute on the reverse of this certificate. If a purchaser is not expressly exempted by a federal statute, but believes it is exempt by reason of federal law, it must request a letter from the Department of Revenue Services (DRS) (address above) acknowledging the exempt status and attach a copy of the letter to this certificate.

Purchases of Meals and Lodging: In general, qualifying governmental agencies may **not** use this certificate to purchase meals and lodging, but must get preapproval from DRS for these purchases, and use **CERT-112**, *Exempt Purchase of Meals and Lodging by Exempt Entities*, or **CERT-123**, *Blanket Certificate for Exempt Qualifying Purchases of Meals or Lodging by an Exempt Entity*.

However, a qualifying governmental agency may purchase meals tax exempt using this certificate, without prior approval from DRS, when it will resell the meals at one of five fundraising or social events per year exempt under Conn. Gen. Stat. §12-412(94). See **Policy Statement 2003(4)**, *Purchases of Meals or Lodging by Exempt Entities*.

Federal Government Purchases Not Requiring This Certificate: The federal government has implemented the "GSA SmartPay" program, which uses four categories of cards: Fleet, Purchase, Travel, and Integrated Cards. Federal employees may purchase tangible personal property and services, including meals and lodging, tax exempt when using GSA SmartPay cards, if the purchases are billed to and paid by the federal government. U.S. government agencies making tax-exempt purchases using GSA SmartPay cards are not required to use any DRS certificates or to get preapproval for purchases. Some GSA SmartPay purchases **do not** qualify for exemption. See **Policy Statement 2009(2)**, *Retailer's Acceptance of U.S. Government "GSA SmartPay 2" Charge Cards for Exempt Purchases*.

Instructions for Agents Making Purchases for Qualifying Governmental Agencies: A person acting as the agent of a qualifying governmental agency making purchases of tangible personal property or enumerated services must issue this certificate to notify the seller sales and use taxes do not apply to the charges for the purchases.

The agent must:

- Complete and sign this certificate **as the purchaser**;
- Attach a copy of the document from the qualifying governmental agency that expressly designates the person as the agent for purchasing the types of goods or services being purchased; and
- Claim an exemption only on purchases of goods or services used exclusively by the qualifying governmental agency.

Keep a copy of this certificate, the documents attached, and records that substantiate the information entered on this certificate for at least six years from the date this certificate is issued.

Instructions for the Seller: Acceptance of this certificate, when properly completed and accompanied by any other required documents, relieves the seller from the burden of proving the sale and the storage, use, or consumption of the tangible personal property or taxable services are not subject to sales and use taxes. This certificate is valid only if taken in good faith from a person who is authorized to furnish it to the seller on behalf of a qualifying governmental agency. The good faith of the seller will be questioned if the seller has knowledge of facts that give rise to a reasonable inference the purchaser is not a qualifying governmental agency or an agent of a qualifying governmental agency or the items purchased will not be used exclusively by or on behalf of the qualifying governmental agency.

Keep this certificate, the documents attached, and bills or invoices to the purchaser for at least six years from the date the items or services were purchased. The bills, invoices, or records covering the purchase made under this certificate must be marked "Exempt Under CERT-134" to indicate an exempt purchase has occurred.

This certificate may be used for a single exempt purchase, in which case the box marked "Certificate for One Purchase Only" must be checked. This certificate may also be used for a continuing line of exempt purchases, in which case the box marked "Blanket Certificate" must be checked. It remains in effect for three years unless the purchaser revokes it in writing before the three-year period expires. CERT-134 may not be used as a blanket certificate for purchases of tangible personal property for resale at any one of five fundraising or social events per calendar year exempt under Conn. Gen. Stat. §12-412(94).

A qualifying governmental agency must pay for its exempt purchases with a check drawn on its own account or with a credit card issued in its own name (and not in the name of any of its members or officers). An exempt purchase of \$10 or less may be made using cash, as long as the purchase is made with the qualifying governmental agency's own funds, except a blanket certificate may not be used for cash purchases.

For More Information: Call Taxpayer Services at **1-800-382-9463** (Connecticut calls outside the Greater Hartford calling area only) or **860-297-5962** (from anywhere). **TTY, TDD, and Text Telephone users** only may transmit inquiries 24 hours a day by calling **860-297-4911**. Visit the DRS website at **www.ct.gov/DRS** to preview and download forms and publications.

Purchaser is:

- United States _____ State of Connecticut 06-6000798 DAS23000
Name of agency Name of agency (List exemption number, if any.)
- Federal credit union _____ Connecticut municipality _____
Name of credit union Town or district and agency
- Other entity exempted by Connecticut law _____
Name of entity Exempting Connecticut statute
- Other entity exempted by federal law _____
Name of entity Exempting federal statute
- Connecticut Development Authority
- Agent of a qualifying governmental agency listed above (Attach documentation of appointment as agent.)
Name of agent: _____
- Agent's CT Tax Registration Number: _____ Agent's Federal Employer ID Number: _____
- Name of qualifying governmental agency: _____
- Appointed agent for making the following types of purchases: _____

or check box if acknowledgment letter from DRS is attached.

Address of purchaser: _____

Name of seller Newfield Construction Group, LLC	Address 225 Newfield Avenue, Hartford, CT 06106	CT Tax Registration Number (If none, explain.)
		Federal Employer ID Number

Check one box:

- Blanket certificate (CERT-134 may not be used as a blanket certificate for purchases of tangible personal property for resale at any one of five fundraising or social events per calendar year exempt under Conn. Gen. Stat. §12-412(94). See below.)
- Certificate for one purchase only
- Purchases that qualify for exemption under Conn. Gen. Stat. §12-412(94). Indicate the number of prior fundraising or social events during this calendar year for which you claimed exemption under Conn. Gen. Stat. §12-412(94): _____

Check the appropriate box(es) and provide a written description of each item purchased:

- Tangible personal property Taxable services

Description:

Provide Construction Administration Services under DAS Contract No. BI-Q-691-CA

Declaration by Purchaser

The item(s) described above are tangible personal property or services being purchased under the exemption provided in Conn. Gen. Stat. §12-412(1)(A) or other applicable statute. The purchase of these items is exempt from sales and use taxes.

I declare under penalty of law that I have examined this certificate (including any accompanying schedules and statements) and, to the best of my knowledge and belief, it is true, complete, and correct. I understand the penalty for willfully delivering a false return to DRS is a fine of not more than \$5,000 or imprisonment for not more than five years, or both.

State of Connecticut, Department of Administrative Services, 450 Columbus Boulevard, Hartford, CT 06103

Name of purchaser
DocuSigned by:
 By: Noel Petra Deputy Commissioner 5/27/2020
Signature of authorized person Title Date

If the purchaser is an entity exempted under Connecticut law other than Conn. Gen. Stat. §12-412(1)(A), I have entered the citation of the exempting law above. If the purchaser is an entity exempted under federal law, I have entered the citation of the exempting law above, or, if there is no specific statutory authority, I have attached a copy of the letter from DRS acknowledging the exempt status.

If the purchaser is an agent of a qualifying governmental agency, I have attached a copy of the document from the qualifying governmental agency expressly designating the purchaser as agent.