

Connecticut Health and Educational Facilities Authority

Request for Proposals

Early Childhood Education Facility Plan Development
Community Outreach Consultant

Date Issued: February 1, 2008

Connecticut Health and Educational Facilities Authority

Deadline: February 15, 2008

Time: 4:00 p.m.

Request for Proposals

Early Childhood Education Facility Plan Development Community Outreach Consultant

This Request for Proposal (RFP) includes the following:

Section I Summary RFP Requirements

Section II Limited Engagement

Section III Submission Deadline

Section IV Evaluation Criteria

Section V Instructions

Exhibits:

- Exhibit A – State of Connecticut SEEC Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban, Form 11
- Exhibit B – CHEFA’s Gift Ban Policy
- Exhibit C- State of Connecticut “Guide to the Code of Ethics For Current or Potential State Contractors”

Section I. - Summary RFP Requirements

The Connecticut Health and Educational Facilities Authority (CHEFA) is conducting this RFP pursuant to a Memorandum of Agreement (MOA) between CHEFA and the State Department of Education on behalf of the Early Childhood Education Cabinet. In order to further develop the Early Childhood Facility Plan Development and Capacity Needs Assessment, CHEFA is seeking a consultant or individual to provide outreach to selected cities and towns to assess the following:

- Interview municipality leadership (including Board of Education, Superintendent of Schools, Executive Leadership, and local School Readiness Councils), community providers, parents and regional planners regarding:
 - Interest in early education facilities;
 - Barriers to the development of early education facilities; and
 - Possible solutions/alternatives.
- Visit and evaluate the existing space of subsidized public and private early education programs; visit and assess vacant public space (municipal buildings, schools, colleges) and private space (business/corporate) that exists as, or that may be converted to, early education space.
- Examine short-term alternatives to ECE space needs: the potential for temporary space to begin to address Sheff and NCLB Compliance (such as portable classroom space as a short-term solution until new space is available through expansion/purchase/lease).
- Primary focus of this project is a qualitative analysis to support the legislative requirement for a facility plan and may include some involvement in the quantitative space analysis.
- Targeted Communities – for this initial capacity assessment, SDE, the State Department of Social Services and CHEFA have decided to evaluate the following communities:
 - Hartford (PSD with Sheff);
 - New Haven (PSD with Sheff);
 - West Hartford (CSD with Sheff); and
 - Hamden (CSD without Sheff).
- Assist Discovery Communities, when feasible, in incorporating facility development into local plans.

Deliverables

- Draft criteria to determine potential expansion sites (final determination to be made by SDE, DSS, CHEFA and the ECE Cabinet);
- Development of a methodology for approaching communities, assessing interest, evaluating existing capacity, and developing short-term solutions;
- Required Report: Prepare an analysis by community of available space, facility needs and unmet need (includes an inventory of available facilities, number of existing and new spaces, community needs analysis and School Readiness Council needs analysis per CGS Section 10-16r(b)).

Proposals should highlight the recent experience of you/your agency in early childhood education in assessing capacity, quality programs and conducting research.

CHEFA may elect to contract for some or all of the available services and may choose different firms to provide such services. CHEFA will consider each firm's ability to provide comprehensive, quality service to CHEFA as well as its demonstrable expertise and reputation, and fee structure.

CHEFA reserves the following rights (without waiving any other right it may possess with respect to this request):

- 1 To reject any or all proposals.
- 2 To conduct investigations relating to the qualifications of any or all respondents, including interviewing members or associates of the firm and requesting further documentation or clarification, if necessary.
- 3 To supplement, amend, modify or cancel this request for proposals without notice or substitution of another such request.
- 4 To re-evaluate a proposal or selection if substitution or key personnel changes are proposed or effected.

STATE OF CONNECTICUT REQUIREMENTS FOR STATE CONTRACTORS

Attached are the State of Connecticut State Election Enforcement Commission Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban, Form 11 and affidavits for CHEFA's gift ban policy.

Please address any questions regarding this RFP to David Wasch, Child Care Programs Manager at (860) 761-8416 or via email at dwasch@chefa.com. CHEFA shall not be liable for any cost incurred in connection with responding to this proposal.

Section II: Limited Engagement

CHEFA intends to enter into a limited engagement, beginning February 19, 2008 for this project. CHEFA, in its sole discretion, may review these responses for the determination of future services.

Section III: Submission Deadline

Proposals must be received by **4:00 p.m.** on **Friday, February 15, 2008** to:

*CHEFA
Early Childhood Education Programs
10 Columbus Boulevard, 7th Floor
Hartford, CT 06106-1978
Attention: David Wasch, Child Care Programs Manager
or by email to: dwasch@chefa.com*

Proposals submitted after the above deadline **will not** be accepted for consideration.

Section IV: Evaluation Criteria

Each RFP respondent will be evaluated based on the written responses, experience in the early childhood education field, ability to assess program quality, the quality of the RFP content, additional written information, if any, requested by the Child Care Program Manager; references; and oral interviews, if any.

General Information

- 1 Respondents organization and approach including the ability to adequately staff and complete the project on a timely basis and to interact effectively with CHEFA, SDE and DSS. This should include the number and responsibility of staff working on the project.
- 2 Equal employment opportunity record as evidenced by the composition of respondent's personnel and the respondent's affirmative action and equal employment opportunity policies and practices. This will also include certification of compliance with Connecticut Public Act 07-142, Sections 9(a)(1) and 10(a)(1) and Public Act 07-245, Sections 4a-60(a)(1) and 4a-60a(a)(1) pertaining to nondiscrimination based on civil union status.
- 3 Corporate Citizenship policies, including the charitable contribution of money and time; local procurement of goods and services; development of and/or participation in internship programs or scholarships; and policies with regard to the use of women-owned, minority-owned and small business enterprises.
- 4 Overall compliance with State and federal laws.
- 5 Fees and compensation will be an important factor in the evaluation process. CHEFA, however, is not required to select the lowest cost response.

Section V: Instructions

1 **Official CHEFA Contact.** All communications with CHEFA must be directed to the Official CHEFA Contact. The Official CHEFA Contact for the purpose of this RFP is David Wasch, Child Care Program Manager as directed in Section IV of this RFP. *Questions related to this RFP must be submitted via email at dwasch@cheffa.com by no later than February 8, 2008 by 3:00 p.m. Responses will be posted on the CHEFA website on February 11, 2008.*

2 **Respondent's Representative.** Respondents must designate an authorized representative and one alternate. Provide the name, title, address, telephone, FAX numbers, and e-mail address for each representative.

3 **Communication Notice.** All communications with CHEFA are only permitted via email and in the form of a written question submitted via email.

4 **RFP Timeline (Schedule of Events).** The RFP was posted on the CHEFA and State of Connecticut Department of Administrative Services (DAS) websites on February 1, 2008, responses must be received by not later than February 15, 2008 at 4:00 PM, and the RFP will be awarded by no later than February 18, 2008 at 4:00 PM with the award results posted on the CHEFA and DAS websites.

5 **Confidential Information.** Respondents are advised that because CHEFA is a quasi-public state agency, the responses to the RFP maybe be subject to disclosure pursuant to Chapter 14 of the CGS Freedom of Information Act.

6 **Minimum Submission Requirements.** At a minimum, proposals must (1) be submitted before the deadline, (2) follow the required format, (3) be complete, and (4) include the required Attachments. Proposals that fail to meet these minimums submission requirements may be disqualified and not reviewed further.

7 **References.** Identify three recent clients that we may contact as references. Provide the following information for each reference: name, title, company address, and phone number as well as a brief summary of the services provided.

8 **Contract Compliance Requirements.** CHEFA is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. CHEFA is committed to complying with the American with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability, in admission to, access to, or operation of its program, services, or activities.

10 The **Child Care Program Manager** is required to consider the following factors in considering the Respondent's qualifications: success in implementing an affirmative action plan and submission of bidder employment information indicating that the composition of the Respondent's workforce is at or near parity in the relevant labor market area.

11 **Style Requirements.** Please limit your response to a maximum of ten (10) pages, including an executive summary.

12 **Meeting with Respondents.** At its discretion, CHEFA may convene meetings with Respondents in order to gain a broader understanding of the proposals. The meetings may involve interviews, presentations, or site visits. If CHEFA decides meetings are warranted, the Official CHEFA Contact will telephone or email Respondents to make an appointment.

SEEC FORM 11

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

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

Campaign Contribution and Solicitation Ban

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

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

Duty to Inform

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

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties: Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals. Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

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

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

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

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission,

CONNECTICUT HEALTH AND EDUCATIONAL FACILITIES AUTHORITY

GIFT BAN POLICY

Please be advised that the Connecticut Health and Educational Facilities Authority has instituted a no gift policy effective September 22, 2004. All employees of the CHEFA are strictly prohibited from accepting any gift, of any value, at any time. This ban specifically includes meals and so-called holiday baskets. There are no exceptions to this policy.

Please submit the following completed Gift Ban Affidavit with your proposal as required by Sections 4-250 to 4-252 of the Connecticut General Statutes

Instructions: The following form is an affidavit that may be used by RFP respondents in order to comply with C.G.S. §§4-250 to 4-252.

I, _____, hereby swear that during the two-year period
Type/Print Name and Title

preceding the submission of this bid or proposal that neither myself nor any principals or key personnel of the submitting firm or corporation who participated directly, extensively and substantially in the preparation of this bid or proposal nor any agent of the above gave a gift, as defined in Conn. Gen. Stat. § 1-79(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), except the gifts listed below:

Name of recipient of gift Value of Gift Date of Gift Description

- 1 _____
- 2 _____
- 3 _____

to (1) any employee of CHEFA, which is soliciting the bids or proposals, who participated directly, extensively, and substantially in the preparation of the bid solicitation or preparation of request for proposal or (2) to any public official or state employee of any other state agency who has supervisory or appointing CHEFA over CHEFA, which is soliciting the bid or proposal.

Further, neither I nor any principals or key personnel of the submitting firm or corporation nor any agent of the above knows of any action to circumvent this gift affidavit disclosure.

For purposes of Sections 4-250 to 4-252 of the Connecticut General Statutes, the date CHEFA began planning this RFP on January 2, 2008. The entity selected to provide services for Early Childhood Facility Plan Development and Facility/Capacity Needs Assessment will be required to file the certificate required by subsection (c) of Section 4-252 of the Connecticut General Statutes to the effect that no gifts were made between the date set forth above and the date of engagement for this project . A failure to provide such certification shall result in disqualification as provided in subsection (d) of Section 4-252 of the Connecticut General Statutes.

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

Signature _____ Date _____

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

**Commissioner of the Superior Court
Notary Public**

Guide to the Code of Ethics For Current or Potential State Contractors



2007

Guide for Current or Potential State Contractors

INTRODUCTION

The Connecticut Office of State Ethics (OSE) is an independent regulatory agency for the state of Connecticut, charged with administering and enforcing Connecticut General Statutes, Chapter 10, Part I and Part II.

The Ethics Codes under the OSE's jurisdiction are comprised of:

- The Code of Ethics for Public Officials (Part I); and
- The Code of Ethics for Lobbyists (Part II).

This guide provides general information only. The descriptions of the law and the OSE are not intended to be exhaustive. Please contact the OSE with any questions regarding interpretation of the law.

For more information on the subjects discussed in this guide, call, write or visit:

Connecticut Office of State Ethics
18-20 Trinity Street
Suite 205
Hartford, CT 06106

860/566-4472
www.ct.gov/ethics



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THE OFFICE OF STATE ETHICS (OSE)

The Connecticut Office of State Ethics (OSE) was officially created on July 1, 2005, by Public Act 05-183. The governing body of the OSE is the Citizen's Ethics Advisory Board (CEAB), nine members appointed by the Governor and legislative leadership. The CEAB holds monthly meetings that are open to the public and that are often covered by CT-N. A schedule of CEAB meeting dates, times and locations is available on the OSE's Web site, www.ct.gov/ethics.

The OSE is an independent watchdog agency for the state of Connecticut that administers Connecticut General Statutes, Chapter 10, Parts I and II.

Simply put, the OSE educates all those covered by the law (the "regulated community"); provides information to the public; interprets and applies the codes of ethics; and investigates potential violations of the codes.

The OSE is made up of the following components:

- Citizen's Ethics Advisory Board
- Executive Director
- Legal Division
- Enforcement Division

THE BIG PICTURE

All state officials and employees (except judges) are covered by Part I of the Code of Ethics for Public Officials (henceforth, Part I, or the Code). It is important to remember that certain provisions of the Code also apply to public officials and state employees after they leave state service.

As you read through this guide, be aware that these laws were enacted to prevent individuals from using their public position or authority for personal, financial benefit.

Each state agency also has its own ethics policy, which in many cases may be more restrictive than what follows. Be sure to obtain a copy of the agency's policy before you attempt to provide any benefit to an agency official or employee.

GIVING BENEFITS TO STATE PERSONNEL



Gifts

As a current or potential state contractor, you are presumably doing business with or seeking to do business with a state agency, and are therefore considered to be a **regulated donor**. In general, public officials or state employees may not accept gifts from regulated donors.

Regulated Donors

Regulated donors include:

- Registered lobbyists (the OSE can tell you who is registered);
- Individuals or groups doing business with a state department or agency;
- Individuals or groups seeking to do business with a state department or agency;
- Individuals or groups engaged in activities regulated by a state department or agency; or
- Contractors pre-qualified by the Connecticut Department of Administrative Services (Conn. Gen. Stat. § 4a-100).

A **gift** is defined as anything of value that is directly and personally received by a public official or state employee (or sometimes family members of those two categories) *unless* consideration of equal or greater value is provided. Conn. Gen. Stat. § 1-79 (e).

Gift Exceptions

There are, however, certain exceptions to this definition of gift. Not all exceptions are covered below; see Conn. Gen. Stat. § 1-79 (e) (1) – (17) for the complete list.

- **Token Items** – Regulated donors such as current or potential state contractors may provide any item of value that is under \$10 (such as a pen, mug, or inexpensive baseball cap) to a public official or state employee, provided that the annual aggregate of such items from a single source is under \$50. Conn. Gen. Stat. § 1-79 (e) (16).
- **Food and Beverage** – Regulated donors may also provide up to \$50 worth of food and beverage in a calendar year to a public official or state employee, provided that the regulated donor or his/her representative is in attendance when the food and/or beverage is being consumed. Conn. Gen. Stat. § 1-79 (e) (9).
- **Training (NEW)** – Vendors may provide public officials and state employees with training for a product purchased by a state or quasi-public agency provided such training is offered to all customers of that vendor. Conn. Gen. Stat. § 1-79 (e) (17).

Guide for Current or Potential State Contractors

- *Gifts to the State (NEW)* – Regulated donors may provide what are typically referred to as “gifts to the state.” These gifts are goods and services provided to a state agency or quasi-public agency for use on state or quasi-public agency property or that support an event, and which facilitate state or quasi-public action or functions. Conn. Gen. Stat. § 1-79 (e) (5).
- *Other Exceptions* – There are a total of 16 separate gift exceptions in the Code. Also exempt from the definition of gift are items such as informational materials germane to state action, ceremonial plaques or awards costing less than \$100, or promotional items, rebates or discounts also available to the general public. See Conn. Gen. Stat. § 1-79 (e) (1) – (17).

Note: The popularly-cited exception for major life events does not apply to those who are regulated by, doing business with or seeking to do business with a state agency. The only regulated donor that can make use of this very narrow exception is a registered lobbyist.

Gift Provisions

Example: You are in the process of submitting a contracting bid to a state agency. You provide the agency head with a gift certificate for \$45 to a popular West Hartford eatery for her to use on her own. You have not previously given anything of value to this individual.

Even though you are under the permissible \$50 food and beverage limit, this gift is not allowed because you or your representative will not be in attendance while the food and beverage is being consumed.

Reporting Requirements

Should you or your representative give anything of value to a public official or state employee, you must, within **10 days**, give the gift recipient and the head of that individual’s department or agency a written report stating:

- Name of the donor;
- Description of item(s) given;
- Value of such item(s); and
- Total cumulative value of all items to date given to that recipient during the calendar year.



This helps both you and the state employee keep track of the gift exceptions noted above, so that permissible limits are not exceeded. Conn. Gen. Stat. § 1-84 (o).

Necessary Expenses

You may provide necessary expenses to a public official or state employee *only* if the official or employee, in his/her official capacity, is actively participating in an event by giving a speech or presentation, running a workshop, or having some other active involvement.

Necessary expenses can include:

- Travel (not first class);
- Lodging (standard cost of room for the nights before, of, and immediately following the event);
- Meals; and
- Related conference expenses.



Entertainment costs (tickets to sporting events, golf outings, night clubs, etc.) are *not* necessary expenses. Necessary expense payments also *do not* include payment of expenses for family members or other guests.

Please note, within 30 days of receiving payment or reimbursement of necessary expenses for lodging or out-of-state travel, state employees must file an ETH-NE form with the Office of State Ethics (OSE). Conn. Gen. Stat. § 1-84 (k).

Fees/Honorariums

Public officials and state employees may *not* accept fees or honorariums for an article, appearance, speech or participation at an event in their official capacity.



Fees or honorariums for such activities, if offered based solely on expertise and without any regard to official capacity, may be acceptable. Contact the OSE before offering such payment to an official or employee. Conn. Gen. Stat. § 1-84 (k).

Necessary Expenses, Fees and Honorariums

Example: You invite a state employee to travel to New York City to give a speech to your managers on issues surrounding contracting with a state agency. You provide Amtrak fare for the employee as well as his spouse, who will spend the day in the city. The evening of the speech, you will treat the employee and his spouse with complimentary tickets to a Broadway show in lieu of a speaking fee.

You may provide non-first class travel expenses only to the state employee who is actively participating in an event. In this case, you may only provide Amtrak fare for the employee giving the speech, not his spouse. Entertainment costs, such as tickets to a show, are not considered necessary expenses and may not be provided. Additionally, state employees may not accept fees or honorariums for a speech given in their official capacity.

HIRING STATE PERSONNEL

Post-state Employment (Revolving Door)

If you are considering hiring a *former* state employee, you should be aware of the Code's post-state employment, or revolving door, provisions.

Lifetime Bans

- Former state employees may **never** disclose any confidential information they learned during the course of their state service for anyone's financial gain. Conn. Gen. Stat. § 1-84a.
- A former state official or employee may **never** represent anyone other than the state regarding a particular matter in which he or she was personally or substantially involved while in state service and in which the state has a substantial interest. This prevents side-switching. Conn. Gen. Stat. § 1-84b (a).

One-year Bans

- If you hire or otherwise engage the services of a former state official or employee, he or she may not represent you before his or her former agency for a period of **one year** after leaving state service. Conn. Gen. Stat. § 1-84b (b). (See Advisory Opinion 2003-3, which provides a limited exception to this provision if the employee is providing purely technical expertise, for example, to help implement a previously-awarded contract. This exception applies to extremely limited circumstances; contact the OSE for guidance.)
- You are prohibited from hiring a former state official or employee for a period of **one year** after he or she leaves state service if that individual was substantially involved in, or supervised, the negotiation or award of a contract (that you or your business was a party to) valued at \$50,000 or more, and the contract was signed within his or her last year of state service. Conn. Gen. Stat. § 1-84b (f).
- Employees who held certain specifically-designated positions (with significant decision-making or supervisory responsibility) at certain state regulatory agencies are prohibited from seeking or accepting employment with any business subject to regulation by the individual's agency within **one year** of leaving the agency. Note that there is an exception for *ex-officio* board or commission members. Conn. Gen. Stat. § 1-84b (c).

Post-state Employment

Example: You run a hospital regulated by the Office of Health Care Access (OHCA). You would like to offer a job to the former Commissioner of OHCA, who has been out of state service for 5 months.

Because the hospital is regulated by a state agency whose Commissioner is specifically designated in 1-84b (c), the former head of such agency would not be permitted to accept employment with you for one full year after leaving state service. See Advisory Opinion 2003-19.

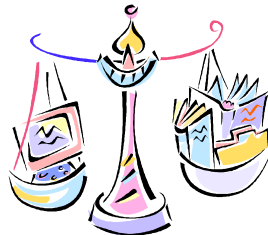
Outside Employment for Current Public Officials and State Employees

If you are considering hiring a *current* state employee, especially from a state agency with which you do business or by which you are regulated, you should be aware of the following rules regarding the employment of current state employees.

- A current state employee may not accept outside employment that impairs his or her independence of judgment regarding his or her state duties, or that encourages him or her to disclose confidential information learned in his or her state job. Conn. Gen. Stat. § 1-84 (b).
- A current state employee may not use his or her state position for financial gain, however inadvertent that use may be. For example, a current state employee who exercises any contractual, supervisory or regulatory authority over you or your business may not be able to work for you. Conn. Gen. Stat. § 1-84 (c).

Other Considerations

Business entities engaged in Indian gaming activities in the state should be aware of specific provisions that apply to present or former Gaming Policy Board or Division of Special Revenue public officials or employees. See Conn. Gen. Stat. §§ 1-84b (d) and (e).



Outside Employment

Example: Your small business occasionally receives grants or contracts from Agency X. You know that a particular contract manager with Agency X has the skills you need to help you grow your business. This employee has expressed interest in earning a little extra money for himself, while helping you with your business in the evenings and on weekends.

It would constitute an impermissible impairment of judgment for the employee of Agency X, who has contract management responsibilities, to accept outside employment with your business – a business that receives grants or contracts from Agency X.

OTHER PROVISIONS

Prohibited Activities for Consultants or Independent Contractors

If you are hired by the state as a consultant or independent contractor, you are prohibited from the following:

- Using your authority under the contract or any confidential information acquired during the course of the contract for your financial gain or the financial gain of your immediate family;
- Accepting another state contract that would impair your independence of judgment or your performance in your existing state contract;
- Accepting anything of value based on the understanding that your actions on behalf of the state would be influenced;

Conn. Gen. Stat. § 1-86e (1) – (3); see also Conn. Gen. Stat. § 1-101nn.

Gift and/or Campaign Contribution Certifications

Contractors seeking large state contracts must provide certifications regarding gifts and/or campaign contributions made to certain state employees or public officials in the two-year period prior to the submission of a bid or proposal. Copies of these certifications and other updated information regarding state contractors can be found on the Web sites of the Department of Administrative Services (www.das.state.ct.us) and the Office of Policy and Management (www.opm.state.ct.us).



Investment Services and the Office of the Treasurer

If you or your business provides investment services, as defined in the Code, and you make a political contribution in connection with the Office of the Treasurer, you may be prohibited from contracting with that office. See Conn. Gen. Stat. § 1-84 (n).

Registering as a Lobbyist

If you or your business spends or receives over \$2,000 in a calendar year for activities that constitute lobbying under Part II of the Code of Ethics (whether to affect legislation or the actions of an administrative state agency), you/your business may have to register as a lobbyist with the Office of State Ethics. Lobbyist registration information is available at www.ct.gov/ethics.



Public Act 05-287

Public Act 05-287 prohibits anyone who is a party (or seeking to become a party) to a large state construction, procurement, or consultant services contract over \$500,000 from:

- Soliciting information from a public official or state employee that is not available to other bidders for that contract, with the intent to obtain a competitive advantage;
- Intentionally or recklessly charging a state agency for work not performed or goods or services not provided;
- Falsifying invoices or bills; or
- Intentionally violating or circumventing state competitive bidding and ethics laws.

This Act also requires any prospective state contractor to affirm in writing that he or she has received a summary of the state's ethics laws and that his or her key employees have read and understood the summary and agree to comply with the applicable provisions. Conn. Gen. Stat. § 1-101qq.

An affirmation form is available through the Department of Administrative Services.

Executive Orders

Executive Order 3

Under this Order, the Department of Administrative Services established and maintains on its Web site the State Contracting Portal for purposes of posting all contracting opportunities with state agencies and providing information on contracting processes and procedures.

Executive Order 7C

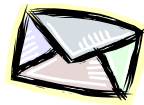
This Order covers the State Contracting Standards Board, established to conduct a comprehensive review of existing procurement and contracting laws and prepare a uniform code to govern all aspects of procurement and contracting by January 1, 2007.

The full text of these Executive Orders can be found on the Governor's Web site, www.ct.gov/governorrell/site/default.asp.

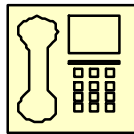
FOR MORE INFORMATION

This guide provides general information only. The descriptions of the law and the OSE are not intended to be exhaustive. For more information regarding the Code of Ethics as it pertains to current or potential state contractors, please contact the Office of State Ethics, Monday – Friday, 8:30 a.m. to 5:00 p.m.

Office of State Ethics
18-20 Trinity Street
Hartford, CT 06106-1660



T: 860/566-4472
F: 860/566-3806
www.ct.gov/ethics



Specific Contacts:

Questions or advice regarding the Ethics Codes: Ethics.Code@ct.gov
Lobbyist filing/reporting questions: lobbyist.OSE@ct.gov
Public official filing/reporting questions: SFI.OSE@ct.gov
Enforcement questions: Ethics.Enforcement@ct.gov
All other inquiries: ose@ct.gov

