



Connecticut Commission
on Culture & Tourism

HISTORIC
PRESERVATION
AND MUSEUM
DIVISION

*Capital Improvement
Grant Program:
Cultural Capital Grants*

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CAPITAL IMPROVEMENT GRANTS PROGRAM CULTURAL CAPITAL GRANTS – FY09

The Connecticut Commission on Culture and Tourism (CCT) is pleased to offer the Historic Restoration Fund (HRF) and Cultural Capital Grant (CCG) Program: two capital improvement grant-in-aid programs that recognize the importance of the state’s historic and cultural assets and their role in enhancing the quality of life for Connecticut’s citizens and the states economic vitality. Applicants can apply for only one capital program per property per year.

Applicants must have successfully completed any previous CIP projects prior to submitting another CIP application. Please find the grant application and guidelines for the CCG below.

PROGRAM HIGHLIGHTS

State Bond Funds – CCG funding must receive final approval and allocation by the State Bond Commission. It may take some time to be approved by the State Bond Commission and projects are not authorized to start before State Bond Commission approval is granted.

Cultural Capital Grants (CCG) may be used for the rehabilitation, restoration, new construction, expansion or acquisition of new or existing buildings and structures utilized for cultural programs. Properties must be owned by a cultural non-profit organization (i.e., arts, heritage, history or humanities).

- Grant awards range from \$5,000-\$200,000;
- Grant awards must be matched on a one-to-one basis with cash (no in-kind services allowed);
- Matching funds cannot be funds from the State of Connecticut; private or federal funds may be used;
- Facilities must be open to the public and provide for adequate universal access;
- Grant funds are paid to grantees on a single-payment reimbursement basis following the completion of the project and approval of all work by CCT;
- Project work must be consistent with the U.S. Secretary of the Interior’s Standards for Rehabilitation if the property is determined eligible for listing on the State or National Registers of Historic Places by CCT and;
- A ten (10) year lien is statutorily required for all projects which receive state bond funds if the property is not owned by a Connecticut municipality (see details in Appendix G, page 37).

Grant Program Manager: Wayne Gannaway, Construction Grants Coordinator, HPMD, 860-256-2757 or e-mail wayne.gannaway@ct.gov

WHO MAY APPLY

I. Eligible Applicants are strictly limited to non-profit organizations that have had tax-exempt status under Section 501(c)(3) of the U. S. Internal Revenue Code for at least two years. Federal and state agencies are not eligible to apply. Eligible organizations include:

Eligible Applicants	Ineligible Applicants
<ul style="list-style-type: none"> ✓ Arts organizations, local arts agencies ✓ History and heritage organizations ✓ Historic preservation organizations ✓ Humanities organizations 	<ul style="list-style-type: none"> • Individuals • For-profit entities • Municipalities • Public/private primary & secondary schools • Institutions of higher education • Churches or faith-based organizations • State agencies • Federal Agencies • “Friends” groups of federal or state agencies • Entities whose primary place of business is not in Connecticut

II. Eligible Properties include Connecticut buildings and structures that will primarily be utilized for cultural programs and activities including but not limited to dance, music, theater, studio arts, film and other visual media, art museums and heritage museums. Properties must be owned or leased long-term (20 years as of the date of application) by 501(c)(3) nonprofit organizations.

**WHO MAY APPLY
(CON'TD)**

Federally-owned or state-owned properties are not eligible. Privately-owned, commercial properties are not eligible.

Costs incurred prior to the date of a grant award are ineligible

III. Eligible Activities

Eligible Activities	Ineligible Activities and Costs
<ul style="list-style-type: none"> ✓ Acquisition of eligible properties ✓ New construction ✓ Provision of universal access ✓ Rehabilitation ✓ Restoration 	<ul style="list-style-type: none"> • Any pre-development costs • Architectural salvage • Archaeological Investigation • Stabilization • Archival research • Costs incurred prior to date of a grant award • Creation, installation and maintenance of exhibits • Curatorial activities • Equipment purchases • Fines or penalties • Fundraising efforts • General operating expenses • Grant administration fees • Hospitality expenses • Indirect costs • Interest payments • Lobbying activities • Political contributions • Postage • Professional services fees (e.g., architectural, engineering, attorney's fees) • Projects that involve both acquisition and non-acquisition activities for the same property • Re-granting • Scholarships • Software acquisition • Special events • Travel

Cultural Capital Grants are not a Suitable Funding Source for Emergency Repairs.

**GRANT AWARD
SELECTION
CRITERIA**

I. Project Impact (40%):

- A. Evidence that the proposed project will do one or more of the following:
1. Substantially improve the organization's ability to provide facilities necessary for high quality cultural programming and/or administrative activities;
 2. Generate a positive economic impact through job creation or tourism;
 3. Improve accessibility to cultural programs by providing universal access to facilities;
 4. Expand the physical facilities to allow for cultural programming that will serve a wider audience or will serve underserved members of the community;
 5. Improve the organization's ability to attract new audiences/participants/visitors.

II. Ability to Carry Out the Project (40%):

- A. Thoroughness and appropriateness of project budget and construction documents;
- B. Feasibility of the project's success, based on thorough planning reflected in narrative;
- C. Demonstrated track record of organizational success;
- D. Financial stability of organization;
- E. Ability to operate and maintain the facility after the completion of the grant.

**GRANT AWARD
SELECTION
CRITERIA
(CONT'D)**

III. Additional Considerations (20%):

- A. Ability of project to have a positive impact on cultural awareness on a local, regional or statewide basis;
- B. Demonstrated partnerships with other community programs such as the local arts agency, Main Street program, historical society, tourism board, or economic development organization;
- C. Geographic distribution of awards.

HOW TO APPLY

Applicants must complete and submit all of the information requested below. Applications must be submitted to CCT at One Constitution Plaza, 2nd Floor, Hartford, CT 06103.

To apply, applications must be received (not postmarked) by October 31, 2008, at 4:30 p.m. No application will be accepted after this date and time, therefore applications sent via mail must arrive at CCT by the morning mail delivery.

Faxed or Electronic Applications will not be accepted.

The application guidelines and form will be available in PDF format on the CCT Web site, www.cultureandtourism.org, or by request to Wayne Gannaway, Construction Grants Coordinator.

**APPLICATION
MATERIALS**

The application must include an application cover sheet, narrative, budget and attachments. Please note that applications missing any of the listed materials may be considered substantially incomplete and will not be reviewed. Applications must be submitted in a three-ring binder. All attachments should be referenced with the appropriate section and where applicable, item numbers. All attachments should be provided on standard 8 1/2" by 11" letter-sized sheets except for architectural drawings, which may be submitted in larger formats.

A completed and signed checklist (see page 43) is required.

Application cover sheet must be signed and dated, with an original signature.

FINAL REPORTS

Grantees are required to submit a Final Report and a Request for Reimbursement within 60 days of the completion of the project. Failure to submit a final report will void eligibility for future funding from CCT.

Final Project Reports must be formatted and submitted in accordance with all CCT requirements.

Note: CCG grants are awarded on a single-payment, reimbursement basis. Grantees must complete and pay for all project work prior to receiving reimbursement for 50% of all eligible project costs up to the maximum of their grant award.

**GRANT
CANCELLATIONS**

CCT has the right to withhold, reduce or cancel grants if an organization:

- Owes final reports from previously received CCT grants which are overdue
- Fails to comply with the terms of the grant contract
- Is unable to raise or expend the required cash match
- Demonstrates inadequate financial management or oversight
- Does not properly credit CCT support
- Experiences significant changes in projected construction work, or cancels or suspends a funded project.

All projects must be underway within 90 days of the state grant contract execution. Grants not underway may be subject to cancellation.

APPLICATION COVER SHEET

APPLICANT INFORMATION

Federal Employer ID Number _____
Organization Name _____
Street Address or Location _____
Mailing Address (if different) _____
City/State/Zip _____
Daytime Telephone _____ Fax Number _____
Web Address _____
Project Name _____
Executive Director _____
Phone or Extension _____ E-mail _____
Application Contact Person/Title _____
Phone or Extension _____ E-mail _____

LEGISLATIVE INFORMATION (OBTAIN FROM TOWN CLERK OR WWW.VOTESMART.ORG)

U.S. Representative's Name _____ District # _____
State Senator's Name _____ District # _____
State Representative's Name _____ District # _____

PROJECT SUMMARY

Use one sentence to describe your project/program in the space allotted here (include type, such as rehabilitation, Universal Access, new construction):

Project Start Date: _____ Project End Date (no later than) : _____

GRANT REQUEST

\$ _____

SIGNATURE

Signature of Authorized Official _____
Title _____ Date _____

FOR OFFICE USE ONLY:

App# _____

SECTION I: APPLICANT/BASIC PROJECT INFORMATION

- A. Include a resume, firm profile, portfolio, or other appropriate background information pertaining to the proposed Professional Project Consultant if a grant is received.

- A qualified historical architect or other appropriate professional consultant is required if the property is eligible to be listed on the State or National Registers of Historic Places.
- **For most projects, this should be an architect or structural engineer licensed to practice in Connecticut; acquisition projects require that an attorney licensed to practice law in Connecticut serve as the Project Consultant.**
- B. Define the project type (e.g., rehabilitation, new construction, universal access, etc.);
- C. Provide the street address of property the grant will assist. Include a map showing the exact location of the property that will be assisted.

SECTION II: DETAILED PROJECT DESCRIPTION (THREE PAGE MAXIMUM FOR THIS SECTION)

- A. Attach a narrative description of the project;
- B. Attach a narrative description of any ground disturbance involved in the project;
- C. Provide a detailed construction schedule for project;
- D. Attach a narrative of desired effects/outcomes of project for both the applicant and the general public.

SECTION III: BUDGET

- A. Outline a general project budget summary that includes allowable grant costs, limited to the following and only the following items where applicable:

- Must indicate amount budgeted for each item.
1. Project sign with CCT funding statement and CCT logo (maximum eligible reimbursement amount is \$200);
 2. Archaeological investigation fees (not applicable for acquisition projects);
 3. Legal advertisements soliciting requests for proposals/ bids from contractors (not applicable for acquisition projects);
 4. Documentary photography (at least six 8" x 10" color photos);
 5. Land Record filing;
 6. Single-audit fees (only applicable for non-profits applying for grant amount of \$100,000 or more);
 7. Total costs associated with construction, rehabilitation, stabilization, acquisition, etc.

B. Itemized Project Budget

1. For projects other than acquisitions include a detailed line-item "construction" budget reflecting all project costs in Uniform Construction Index format.
2. For acquisition projects include an itemized list of anticipated purchase costs (closing costs) other than attorney's fees. Attorney's fees are not an eligible cost.

SECTION IV: MATCHING FUNDS (THREE PAGE MAXIMUM)

- A. Attach a narrative on the amount, source and availability of matching funds, including an acknowledgement that state funds will not be used to match any state assistance received from the Cultural Capital Grant Program;
- B. Provide a notarized letter of assurance signed by the applicant's authorized signatory which guarantees that the funds required to match an CCG award are available and restricted for this purpose as of the due date of this application;
- C. Attach a narrative describing how project costs will be paid for prior to receipt of matching grant funds following the completion and payment for all project work by the applicant.

SECTION V: PROJECT NEED (THREE PAGE MAXIMUM)

- A. Attach a narrative describing the need for the project and how the project will sustain and/or enhance the future operating stability/capability of the applicant;
- B. Attach a narrative that describes the project's impact (i.e., job creation, economic impact, access, quality-of-life or other issues deemed relevant by the applicant) on a local, regional or statewide basis. Describe what broad-based community support the project has and the number of constituents affected;
- C. If the property is located in an area that has been specifically targeted by state or local government as a Neighborhood Revitalization Zone, Main Street Program area or other specific community development area, attach a narrative indicating how the project is consistent with the goals of the given program. If available, letters from appropriate municipal officials that help address this issue may be attached.

SECTION VI: OPERATING FORECAST DETAIL (TWO PAGE MAXIMUM)

- A. Describe how the project corresponds to the organization's long-term facilities plan;
- B. Include a schedule outlining proposed hours for public visitation and fees, if any, for the property following the completion of project work.

SECTION VII: ORGANIZATIONAL/PROJECT READINESS (THREE PAGE MAXIMUM)

- A. Attach a narrative demonstrating the applicant's financial stability, including a financial projection, documentation of strategic planning and fundraising feasibility. Include the current year and projection for the second year;
- B. Provide organizational financial statements from the past three fiscal years;
- C. Provide a complete list of any capital grant applications made and/or grants received from any State of Connecticut funding source for the last three years.

SECTION VIII: OTHER REQUIRED ATTACHMENTS

- A. Technical Documents
 - 1. For projects other than property acquisitions, attach detailed, complete and professionally prepared architectural or technical plans and specifications for the project. Documentation must be at least to the Design Development level;
 - 2. For property acquisitions, attach a minimum of two real estate appraisals completed by appraisers licensed to practice in Connecticut within the six month period prior to the application due date. Appraisals must be based on existing conditions.
- B. Provide a notarized letter signed by the organization's/municipality's authorized signatory stating that, if awarded a matching grant-in-aid by the Connecticut Commission on Culture & Tourism, the recipient will comply with all provisions of all applicable state and federal laws and executive orders;
- C. If the property for which grant assistance is being requested is not owned by the applicant, is mortgaged, or if any other party has a current legal interest in the property, include a notarized letter from each of the parties which authorizes the applicant to submit an application for matching grant-in-aid assistance from the Commission on Culture & Tourism for this project;
- D. Submit a legal opinion from an attorney licensed to practice law in Connecticut, which states:
 - 1. The name of the property's legal owner of record;
 - 2. The name(s) of any other parties holding an interest in the property and the nature of the interest;

SECTION VIII: OTHER REQUIRED ATTACHMENTS (CONT'D)

- E. If the property is leased by the applicant, attach a copy of the current lease agreement (must be at least a 20 year lease at the time application is submitted);
- F. Provide a certified resolution approved by the applicant's legislative body, board of directors, or other appropriate corporate authority that empowers one or more individuals to execute the grant application; and grant contract.
- G. Attach a copy of the organization's dated 501(c)(3) tax-status determination letter from the Internal Revenue Service;
- H. Provide either a CD or DVD containing at least six different, appropriately identified and current digital photographs (.jpg format) of the property for which the Cultural Capital Grant assistance is being requested (Note: include façade and exterior elevation views as well as appropriate close-up views);
- I. Submit copies of the following Commission on Human Rights and Opportunities forms included with this application package on pages 32-34 that have been completed, signed and dated by the applicant's authorized signatory:
 - A. Employer Report of Compliance Staffing
 - B. Affirmative Action and Americans with Disabilities Compliance Form
- J. Provide a notarized letter of assurance signed by the applicant's authorized signatory stating that, for any projects funded by a Cultural Capital Grant, the applicant agrees to aggressively solicit bids for all contract work from qualified minority and women-owned contracting firms, and to meet all other Affirmative Action and procurement requirements specified by CCT; and the applicant will bid out grant-funded work on the Department of Administrative Service's State Contracting Portal.
- K. If nonprofit organization has 50 or more employees, the items listed below apply. If this factor does not apply, indicate "not applicable;"
 - 1. Attach a copy of the organization-wide affirmative action plan;
 - 2. Organizations with 50 or more employees that do not have written affirmative action plans must submit a notarized affidavit signed by the applicant's authorized signatory guaranteeing that an affirmative action plan will be developed within six months of the application.
- L. For properties in local historic districts, or properties that have been designated as local historic properties by municipal ordinance pursuant to Section 7-147 of the Connecticut General Statutes, all applicants must attach a Certificate of Appropriateness from the municipal historic district/property commission of jurisdiction (not applicable for acquisition projects).
- M. Attach a notarized statement signed by the property owner or the property owner's authorized representative agreeing to the placement of a 10-year monetary lien on the property as required by the terms of the Special Act of the Connecticut General Assembly from which CCG grants program funding is derived.
- N. Complete and attach a copy of the Lien Analysis Form included in Appendix E.

SECTION IX: OPTIONAL ITEMS

- A. Letters of support for their application from public and private supporters of the applicant's proposed Cultural Capital Grant project.

SAMPLE SIGNATORY AUTHORIZING RESOLUTION

I, _____, the duly qualified and acting Clerk of the
_____ of _____, Connecticut, do hereby certify that
the following resolution was adopted at a _____ meeting of the
_____ (regular/ special)
_____, held on _____, and is on file and of record,
(Governing body) (date)
and that said resolution has not been altered, amended or revoked and is in full force and effect.

RESOLVED:

That the _____ is authorized and directed to file an application
(Executive Director)
on forms prescribed by the Connecticut Commission on Culture and Tourism for financial assistance in accordance
with the provisions of provisions of C.G.S. Sec. 10-392 and C.G.S. Sec. 10-411 of the Connecticut General Assembly,
in an amount not to exceed \$ _____, and upon approval said request to enter into and execute a Grant
Contract and Preservation Restriction with the state for such financial assistance to this municipality or non-profit
organization for _____.
(Name and type (CCG) grant project)

(Signature of clerk or secretary)

(date)

SAMPLE GRANT CONTRACT

GRANT CONTRACT
BETWEEN THE
CONNECTICUT COMMISSION ON CULTURE AND TOURISM
One Constitution Plaza, 2nd Floor
Hartford, CT 06103
860-256-2757

AND THE

GRANTEE:

FEIN/SS#:
ADDRESS:

GRANT AMOUNT:
MATCHING FUNDS:
GRANTS NUMBER:

SAMPLE

**STATE BOND FUNDS
CONSTRUCTION GRANT
CULTURAL CAPITAL GRANT**

STATUTORY AUTHORITY: C.G.S., Sec. 10-409(a)(14); C.G.S., Sec. 10-411(a); S.A. 04-2, Sec. 13(a)(2) PA 05-228
CCT STAFF MANAGER: Wayne Gannaway, HPMD, 860-256-2757
PROJECT DIRECTOR:
TELEPHONE NUMBER: DATE ISSUED:
FUNDING PERIOD:
PAYMENT CODING:

This AGREEMENT is made and entered into by and between the STATE OF CONNECTICUT acting herein by the Connecticut Commission on Culture and Tourism (hereinafter called the "Commission") and the «Organization Name» (hereinafter called the "Grantee") pursuant to the provisions of C.G.S., Sec. 10-409(a)(14); C.G.S., Sec. 10-411(a); S.A. 04-2, Sec. 13(a)(2) and PA 05-228.

WITNESSTH THAT in consideration of the mutual promises and undertaking herein provided and for the purpose of carrying out the provisions of the General Statutes of the State of Connecticut cited above the parties hereto mutually agree as follows:

Section I Project Description: In accordance with the provisions of C.G.S., Sec. 10-409(a)(14); C.G.S., Sec. 10-411(a); S.A. 04-2, Sec. 13(a)(2) and PA 05-228 the Commission shall administer a matching grant-in-aid in an amount not to exceed «Grant_Amount» to assist in the project (the "project") to be undertaken in this agreement, namely, the «Treatment» of «Project_Name», «City» in accordance with plans and specifications approved by the staff of the Historic Preservation and Museum Division of the Commission.

Section II Administration: In carrying out the project, the Grantee shall:

- (a) Duly and faithfully comply with the terms and conditions of this Agreement including any and all terms and conditions recited in Exhibit A of this Agreement;
- (b) Duly and faithfully comply with all applicable Federal and State laws;
- (c) Duly and faithfully comply with all regulations and directives issued by the Commission;
- (d) At all times during regular business hours and as often as the Commission requires, permit its representatives and all other authorized representatives of the State government full and free access to the project and to the accounts, records, and books of the Grantee relative hereto, including the right to make excerpts and transcripts from such accounts, records, and books;
- (e) At such times as the Commission may require, furnish the Commission with such periodic reports, statements, and other documentary data and information as it may reasonably request relative to the progress and status of the project and as to compliance with the terms and conditions of this Agreement;

- (f) Promptly following the commencement of the project work, cause to be prepared and erected at a conspicuous point therein at least one sign satisfactory to the Commission identifying the project and indicating the State's participation with respect thereto, and thereafter cause said sign to be maintained in the project at all times during the project's development;
- (g) Indemnify and hold harmless the State of Connecticut, its officers, agents, and employees from claims, suits, damages, and costs of every name and kind arising from the acquisition, relocation, construction or operation of any properties covered under this Agreement;
- (h) Deliver to the Commission a deed or other legally sufficient instrument conveying to the Commission the benefit of such covenants, easements, and restrictions as are required by the Commission, and provided the Commission with appropriate evidence of the Grantee's title to the property and any such other supporting documentation as the Commission shall require; and
- (i) Provide the Commission with progress reports, on forms prescribed by the Commission. A final report shall be submitted within 60 days after the Agreement expiration date or completion of the project, whichever occurs earlier.

Section III Acknowledgement: In any news release or printed material promoting this grant-funded program, credit must be prominently given to the Connecticut Commission on Culture and Tourism by including the Commission's logo and the following: *The «Treatment» of the «Project_Name» has been financed in part by the State of Connecticut utilizing Community Investment Act funds administered by the Connecticut Commission on Culture & Tourism.*

Section IV Approval: The grantee agrees not to begin performance under the terms of this Agreement until notification is received that the work program and budget have been approved by the Commission.

Section V State Liability: The State of Connecticut shall assume no liability for payment of services under the terms of this agreement until the Grantee is notified that this agreement has been accepted by the Commission and, if applicable, approved by the Office of Policy and Management (OPM) or the Dept. of Administrative Services (DAS) and by the Attorney General of the State of Connecticut. The State of Connecticut assumes no liability for payment under the terms of this Agreement until the Grantee is notified by the Commission that appropriate funds have been allocated by the State Bond Commission and said Agreement has been approved by the Attorney General of the State of Connecticut.

Section VI Executive Orders: This Agreement is subject to the provisions of Executive Orders 3, 7C, 16, and 17.

- (a) **Executive Order No. 3.** This Agreement is subject to the provisions of **Executive Order No. 3 of Governor Thomas J. Meskill promulgated June 16, 1971**, and, as such, this Agreement may be canceled, terminated or suspended by the state labor commissioner for violation of or noncompliance with said Executive Order No. Three, or any state or federal law concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to this Agreement. The Parties to this Agreement, as part of the consideration hereof, agree that said Executive Order No. 3 is incorporated herein by reference and made a part hereof. The Parties agree to abide by said Executive Order and agree that the state labor commissioner shall have continuing jurisdiction in respect to Agreement performance in regard to nondiscrimination, until the Agreement is completed or terminated prior to completion. The Grantee agrees, as part consideration hereof, that this Agreement is subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. 3, and that it will not discriminate in its employment practices or policies, shall file all reports as required, and shall fully cooperate with the State of Connecticut and the state labor commissioner.
- (b) **Executive Order No. 7C.** This Agreement is subject to **Executive Order No. 7C of Governor M. Jodi Rell, promulgated on July 13, 2006**. The Parties to this Agreement, as part of the consideration hereof, agree that this Agreement may be canceled, terminated or suspended by the state labor commissioner for violation of or noncompliance with said Executive Order No. 7C, notwithstanding that the state contracting standards board is not a party to this Agreement. The Parties to this Agreement, as part of the consideration hereof, agree that said Executive Order No. 7C is incorporated herein by reference and made a part hereof. The Parties agree to abide by said Executive Order and agree that the state contracting standards board shall have continuing jurisdiction in respect to Agreement performance in regard to nondiscrimination, until the Agreement is completed or terminated prior to completion. The Grantee agrees, as part consideration hereof, shall file all reports as required, and shall fully cooperate with the State of Connecticut and the state contracting standards board.
- (c) **Executive Order No. 16.** This Agreement is subject to the provisions of **Executive Order No. 16, Violence in the Workplace Prevention Policy of Governor John G. Rowland, promulgated August 4, 1999**, and, as such, the Agreement may be canceled, terminated or suspended by the contracting agency or the State for violation of or noncompliance with said Executive Order No. 16.

1. The parties to this Agreement, as part of the consideration hereof, agree that:

(a) The Grantee shall prohibit employees from bringing into the state work site, except as may be required as a condition of employment, any weapon or dangerous instrument as defined as follows in (b); (b) "Weapon" means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon. Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury; (c) The Grantee shall prohibit employees from attempting to use or threatening to use, any such weapon or dangerous instrument in the state work site and employees shall be prohibited from causing, or threatening to cause, physical injury or death to any individual in the state work site; (d) The Grantee shall adopt the above prohibitions as work rules, violation of which shall subject the employee to disciplinary action up to and including discharge; (e) the Grantee shall require that all employees are aware of such work rules; and f) the Grantee agrees that any subcontract enters into in the furtherance of the work to be performed hereunder shall contain provisions (a) through (d) of this Section.

(d) **Executive Order No. 17.** This Agreement is also subject to provisions of **Executive Order No. 17 of Governor Thomas J. Meskill promulgated February 15, 1973**, and, as such, this Agreement may be canceled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order No. 17, notwithstanding that the Labor Commissioner may not be a party to this Agreement. The parties to this Agreement, as part of the consideration hereof, agree that Executive Order No. 17 is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to Agreement performance in regard to listing all employment openings with the Connecticut State Employment Service.

Section VII Non-discrimination State Regulations:

- a) For the purposes of this section, "minority business enterprise" means any small Grantee 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 Conn. Gen. Stat. 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "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. For purposes of Section VII, "Commission" means the Commission on Human Rights and Opportunities and "Public works Agreement" 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.
- b) (1) The Grantee agrees and warrants that in the performance of the Agreement such Grantee 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, mental retardation or physical disability, including but not limited to, blindness, unless shown by such Grantee 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. The Grantee 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, mental retardation, or physical disability, including but not limited to, blindness, unless it is shown by the Grantee that such disability prevents performance of the work involved; (2) the Grantee agrees, in all solicitations or advertisements for employees placed by or on behalf of the Grantee, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission; (3) the Grantee agrees to provide each labor union or representative of the workers with which the Grantee has a collective bargaining agreement or other Agreement or understanding and each vendor with which the Grantee has a Agreement or understanding, a notice to be provided by the commission, advising the labor union or worker's representative of the Grantee's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Grantee agrees to comply with each provision of this section and Conn. Gen. Stat. 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission

- pursuant to Conn. Gen. Stat. 46a-56a, 46a-68e, and 46a-68f; (5) the Grantee 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 Grantee as related to the provisions of this section and section 461-56. If the Agreement is a public works Agreement, the Grantee agrees and warrants that he will make good faith efforts to employ minority business enterprises as subgrantees and suppliers of materials on such public works projects.
- c) Determination of the Grantee's good faith efforts shall include, but not be limited to, the following factors: The Grantee's employment and subcontracting policies, patterns, and practices; affirmative advertising, recruitment and training; technical assistance activities and other such 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 Grantee shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.
 - e) The Grantee 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 Agreement 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 Grantee 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 Conn. Gen. Stat. 46a-56; provided, if such Grantee becomes involved in, or is threatened with litigation with a subcontractor or vendor as a result of such direction by the Commission, the Grantee may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interest of the State and the State may so enter.
 - f) The Grantee agrees to comply with the regulations referred to in this Section as they exist on the date of this Agreement and they may be adopted or amended from time to time during the term of this Agreement and any amendments thereto.
 - g) The Grantee agrees and warrants that in the performance of the agreement such Grantee 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 without regard to their sexual orientation; the Grantee agrees to provide each labor union or representative of workers with which such Grantee has a collective bargaining agreement or other Agreement or understanding and each vendor with which such Grantee has a Agreement or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Grantee's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; the Grantee agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to Section 46a-56 of the general statutes; the Grantee agrees to provide the Commission with information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Grantee which relate to the provisions of this section and Section 46a-56 of the General Statutes. The Grantee shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a Agreement 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 Grantee 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 Section 46a-56 of the General Statutes; if such Grantee becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Grantee 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.
- (c) The Grantee agrees to comply with all provisions of Public Act No. 07-142, An Act Concerning Procedures for the Hearing of Complaints against State Contractors and Subcontractors by the Commission on Human Rights and Opportunities and the Documentation of Nondiscrimination Policies Adopted by State Contractors.

Section VIII Cancellation: The Commission on Culture and Tourism, by written notice to the Grantee, may suspend, postpone, abandon or terminate this Agreement for the convenience of the State, for violation by the Grantee of any provision contained in this Agreement, or for any failure by the Grantee to render to the satisfaction of the Commission the services required under this Agreement, including any failure to make such acceptable progress with work required under this Agreement. Such action on the part of the Commission shall in no event be deemed a breach of Agreement. Upon receipt of written notification from the Commission that this Agreement is to be suspended, postponed, abandoned or terminated, the Grantee shall immediately cease operations on work required under this Agreement. Upon receipt of written notification that this Agreement is to be abandoned or terminated, the Grantee shall also immediately assemble all material which is in its possession or custody and which has been prepared, developed, furnished or obtained under the terms of this Agreement, and shall transmit the same, together with the Grantee's evaluation of the cost of the work performed, to the Commission on or before the fifteenth day following the receipt of written notice of abandonment or termination. Said material shall include, but not be limited to, documents, plans, computations, drawings, notes, records and correspondence. Upon receipt of this material, the Commission shall make settlement with the Grantee in one of the following manners:

- a) If the Commission terminates this Agreement for its convenience, the Commission shall make an equitable adjustment of the Agreement price, but in doing so shall include no payment or other consideration for anticipated profit or unperformed services.
- b) If the Commission terminates this Agreement because the Grantee has failed to fulfill its obligations under this Agreement, the Commission may complete the work required hereunder by contracting with another party or by any other means, and the Grantee shall be liable for any additional costs incurred by the Commission in doing so.
- c) If the State, after terminating the Grantee for alleged failure to fulfill its obligations under this Agreement, determines that the Grantee has not failed to fulfill those obligations, the rights and remedies of the parties shall be the same as if the Commission had terminated this Agreement for convenience.

In determining the basis for such equitable settlement for items (a), (b) and (c) as indicated above, the Commission shall take into account any monies owed the Grantee for work previously performed under this Agreement, less payments previously made for said work, and the amount of reimbursable expenses incurred by the Grantee, less any payments previously made, to reimburse the Grantee for such expenses. The Grantee agrees to accept the Commission's valuation of the work performed under this Agreement, and the Commission will not be liable for any profit that the Grantee expected or might have expected to make on portions of the project work that have not been performed. If postponement, suspension, abandonment or termination is ordered by the Commission because it lacks sufficient funds to complete or proceed with the project, the Grantee may not make a claim against the Commission in any form or forum for loss of anticipated profit or for any other reason related to the project or this Agreement. The rights and remedies of the Commission in this article are in addition to any rights and remedies that the Commission may possess by law under this Agreement. Decisions of the Commission on matters discussed in this article shall be final and binding.

Section IX Non-Waiver of State Immunity: The Grantee agrees that the sole and exclusive means for the presentation of any claim against the State arising from or in connection with this Agreement shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claim against the State) and the Grantee further agrees not to initiate legal proceedings in any State or federal court in addition to, or in lieu of, said Chapter 53 proceedings.

Section X Financial Records: The grantee agrees to maintain a financial management system that provides for:

- (a) Accurate, current, and complete disclosure of the financial results of each project grant.
- (b) Records that identify adequately the source and application of funds for grant-supported activities. These records shall contain information pertaining to grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.
- (c) Effective control and accountability for all funds, property, and other assets. Grantee shall adequately safeguard all such assets and shall assure that they are used solely for authorized purposes.
- (d) Comparison of actual outlays with budgeted amounts for each grant or other agreement. Financial information should be related to performance and unit cost data.
- (e) Procedures for determining the reasonableness, allowability, and allocability of costs in accordance with the provisions of the applicable cost principles, regulations, and the terms of the grant agreement.

Section XI Lien: Unless the owner of the real property for which funds from this grant are expended is not an agency of the State of Connecticut or, a political subdivision of the State of Connecticut, in accordance with the requirements included in S.A. 99-242-1 the Grantee herein agrees that, if the premises for which this matching grant-in-aid was made ceases to be used as a facility for which such grant was made within ten years of the date of such grant, an amount equal to the amount of such grant, minus ten percent for each full year which has elapsed since the date of such grant, shall be repaid to the state, and that a lien shall be placed on such land in favor of the state to ensure such amount will be repaid in the event of such change of use.

Section XII Audit: In accordance with the provisions of Section 7-396a of the Connecticut General Statutes, the Grantee agrees that, within 185 days of the termination of this Agreement, it shall have an audit performed at its expense by an independent public accountant as defined by Section 7-391 of the Connecticut General Statutes. Such audit shall be performed in accordance with the provisions of Connecticut General Statutes, Sections 4-230 to 4-236, inclusive, and shall identify any expenditures made by the Grantee that are not in compliance with the terms of the agreement. The Grantee further agrees that the auditors of public accounts of the State of Connecticut shall have access to all records and accounts of the grantee for the fiscal year in which this grant is made. To provide such access the Grantee agrees that it will preserve all of its records and accounts concerning the implementation of this Agreement for a period of three years after termination of this Agreement. A copy of any audit of the Grantee performed under the provisions of Connecticut General Statutes 7-396a shall be filed with the Auditor of Public Accounts.

Section XIII Payment: Payment of the grant for eligible costs incurred on or after the date of the grant award shall be made upon completion of all project work by the Grantee, approval by the Attorney General or his representative of the recording of covenants and easements required pursuant to Section II (h) of this Agreement, and upon compliance with all other terms of this Agreement, including:

- (a) An inspection by the Commission to ensure the work has been completed satisfactorily in accordance with plans and specifications approved by the Commission;
- (b) The submission of a completion report satisfactory to the Commission; and
- (c) The execution and submission to the Commission of a certificate of actual costs by the person in charge of the project.

Section XIV Insurance: The Grantee agrees that while performing services specified in this agreement that he or she shall carry sufficient insurance (liability and/or other) as applicable according to the nature of the service to be performed so as to "save harmless" the State of Connecticut from any insurable cause whatsoever. If requested, certificates of such insurance shall be filed with the Commission prior to the performance of services.

Section XV Deadline: The Grantee agrees that the project for which this grant has been made shall be completed no later than [2 years from date of award]. Expenses incurred prior to the date of the grant award or after the Agreement expiration date shall not be eligible for reimbursement.

Section XVI: Failure of the Grantee to comply with any of the terms or conditions of this Agreement shall be deemed a material breach of this Agreement, and after written notice from the Commission, the State of Connecticut shall, to the full extent permitted by law, have each and every right and remedy available to the State either at law or in equity.

Section XVII State Elections Campaign Contribution and Solicitation Ban For all State contracts as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledge 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.

THIS AGREEMENT, entered into this _____ day of _____, 2007, by the State of Connecticut, acting by and through the Connecticut Commission on Culture and Tourism:

Karen Senich, Executive Director, CCT

Date

Witness: _____

Print Name:

Witness: _____

Print Name:

SAMPLE

Grantee «Organization_Name»

Acting Herein Through:

Hereunto duly authorized

Name:

Title:

Date

Witness: _____

Print Name:

(L.S.)

(SEAL)

Witness: _____

Print Name:

APPROVED AS TO FORM: _____

Richard Blumenthal, Attorney General

DATE:

EXHIBIT A

Exhibit A to a Grant Contract between the «Organization Name» and the Connecticut Commission on Culture and Tourism for the «Treatment» of the «Project Name», «Resource Street Address», «City», Connecticut, dated [date of signature by grantee] and made a part hereof.

ADDITIONAL ADMINISTRATIVE AND STATUTORY REQUIREMENTS

«Organization Name» (hereinafter known as the Grantee) agrees:

- (1) That the summary of ethics laws concerning construction or procurement contracts as contained in the State Ethics Commission's 2006 Guide to the Code of Ethics for Current or Potential State Contractors is hereby incorporated by reference and made a part of this Agreement.
 - (2) To acknowledge and comply with the policies enumerated in the Commission on Culture and Tourism's Ethics Statement, a copy of which is attached hereto and made a part hereof.
 - (3) That, if applicable, the Grantee is subject to and agrees to comply with Chapter 219 of the Connecticut General Statutes pertaining to tangible personal property or services rendered that is/are subject to sales tax.
 - (4) That, if applicable, the Grantee is subject to and agrees to comply with the public records provision of Section 1-218 of the General Statutes of Connecticut.
 - (5) That suspended or debarred consulting engineers, architects, suppliers, materialmen, lessors or other vendors may not submit a proposal for a State contract or subcontract during the period of suspension or debarment regardless of their anticipated status at the time of the Agreement award or commencement of work.
- (a) The signature on the Agreement by the Grantee shall constitute certification that to the best of its knowledge and belief the Grantee or any person associated therewith in the capacity of owner, partner, director, officer, principal investigator, project director, manager, auditor or any position involved in the administration of federal or state funds:
- (1) Is not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transaction by any federal department or agency;
 - (2) Has not, within a three-year period preceding this Agreement, been convicted of or had civil judgment rendered against him/her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state or local) transaction or Agreement under a public transaction, violation of federal or State antitrust statutes of commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
 - (3) Is not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (a)(2) of this certification; and
 - (4) Have not, within a three-year period preceding this Agreement, had one or more public transactions (federal, state or local) terminated for cause or default.
- (b) Where the Grantee is unable to certify to any of the statements in this certification, such Grantee shall attach an explanation to this Agreement.
- (c) The Grantee agrees to ensure that the following certification be included in each subcontract Agreement to which it is a party, and further, to require said certification to be included in lower tier subcontract and purchase orders.
- (1) The prospective lower tier participant certifies, by submission of the proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- (6) That this Agreement, notwithstanding any other statements, does not make the State subject to binding arbitration. This clause overrides any other clause in this Agreement.
 - (7) That this Agreement does not waive any right the State may have to the implied warranties of fitness and mercantile ability.
 - (8) That this Agreement shall be governed, interpreted and construed under and in accordance with the laws of the State of Connecticut, whether or not its conflict of laws principles would dictate otherwise. This Agreement shall be deemed to have been made in Hartford, Connecticut.
 - (9) That this Agreement is subject to the provision of the Whistleblower Act as found in Connecticut General Statutes, Section 4-61dd(e).

**State Of Connecticut
By His Excellency
Thomas J. Meskill
Governor**

Executive Order No. Three

WHEREAS, sections 4-61d(b) and 4-114a of the 1969 supplement to the general statutes require nondiscrimination clauses in state contracts and subcontracts for construction on public buildings, other public works and goods and services, and

WHEREAS, section 4-61e(c) of the 1969 supplement to the general statutes requires the labor department to encourage and enforce compliance with this policy by both employers and labor unions, and to promote equal employment opportunities, and

WHEREAS, the government of this state recognizes the duty and desirability of its leadership in providing equal employment opportunity, by implementing these laws,

NOW, THEREFORE, I, THOMAS J. MESKILL, Governor of the State of Connecticut, acting by virtue of the authority vested in me under section twelve of article fourth of the constitution of the state, as supplemented by section 3-1 of the general statutes, do hereby ORDER and DIRECT, as follows, by this Executive Order:

- I. The labor commissioner shall be responsible for the administration of this Order and shall adopt such regulations as he deems necessary and appropriate to achieve the purposes of this Order. Upon the promulgation of this Order, the commissioner of finance and control shall issue a directive forthwith to all state agencies, that henceforth all state contracts and subcontracts for construction on public buildings, other public works and goods and services shall contain a provision rendering such contract or subcontract subject to this Order, and that such contract or subcontract may be cancelled, terminated or suspended by the labor commissioner for violation of or noncompliance with this Order or state or federal laws concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to such Contract or subcontractor.
- II. Each contractor having a contract containing the provisions prescribed in section 4-114a of the 1969 supplement to the general statutes, shall file, and shall cause each of his subcontractors to file, compliance reports with the contracting agency or the labor commissioner, as may be directed. Such reports shall be filed within such times and shall contain such information as to employment policies and statistics of the Contractor and each subcontractor, and shall be in such form as the labor commissioner may prescribe. Bidders or prospective contractors or subcontractors may be required to state whether they have participated in any previous contract subject to the provisions of this Order or any preceding similar Order, and in that event to submit on behalf of themselves and their proposed subcontractors compliance reports prior to or as an initial part of their bid or negotiation of a contract.
- III. Whenever the contractor or subcontractor has a collective bargaining contract or other contract or understanding with a labor organization or employment agency as defined in section 31-122 of the general statutes, the compliance report shall identify the said organization or agency and the contracting agency or the labor commissioner may require a compliance report to be filed with the contracting agency or the labor commissioner, as may be directed, by such organization or agency, signed by an authorized officer or agent of such organization or agency, with supporting information, to the effect that the signer's practices and policies, including but not limited to matters concerning personnel, training, apprenticeship, membership, grievance and representation, and upgrading, do not discriminate on grounds of race, color, religious creed, age, sex or national origin, or ancestry of any individual, and that the signer will either affirmatively cooperate in the implementation of the policy and provisions of this Order, or that it consents and agrees that recruitment, employment and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of the Order.
- IV. The labor commissioner may by regulation exempt certain classes of contracts, subcontracts or purchase orders from the implementation of this Order, for standard commercial supplies or raw materials, for less than specified amounts of money or numbers of workers or for subcontractors below a specified tier. The labor commissioner may also provide by regulation for the exemption of facilities of a contractor which are in all respects separate and distinct from activities of the contractor related to the performance of the state contract, provided only that such exemption will not interfere with or impede the implementation of this Order, and provided further, that in the absence of such an exemption, all facilities shall be covered by the provisions of this Order.

- V. Each contracting agency shall be primarily responsible for obtaining compliance with the regulations of the labor commissioner with respect to contracts entered into by such agency or its contractors. All contracting agencies shall comply with the regulations of the labor commissioner in discharging their primary responsibility for securing compliance with the provisions of contracts and otherwise with the terms of this Order and of the regulations of the labor commissioner issued pursuant to this Order. They are directed to cooperate with the labor commissioner and to furnish the labor commissioner such information and assistance as he may require in the performance of his functions under this Order. They are further directed to appoint or designate from among the personnel of each agency, compliance officers, whose duty shall be to seek compliance with the objectives of this Order by conference, conciliation, mediation, or persuasion.
- VI. The labor commissioner may investigate the employment practices and procedures of any state contractor or subcontractor and the practices and policies of any labor organization or employment agency hereinabove described, relating to employment under the state contract, as concerns nondiscrimination by such organization or agency as hereinabove described, or the labor commissioner may initiate such investigation by the appropriate contract agency, to determine whether or not the contractual provisions hereinabove specified or statutes of the state respecting them have been violated. Such investigation shall be conducted in accordance with the procedures established by the labor commissioner and the investigating agency shall report to the labor commissioner any action taken or recommended.
- VII. The labor commissioner shall receive and investigate or cause to be investigated complaints by employees or prospective employees of a state contractor or subcontractor or members or applicants for membership or apprenticeship or training in a labor organization or employment agency hereinabove described, which allege discrimination contrary to the contractual provisions specified hereinabove or state statutes requiring nondiscrimination in employment opportunity. If this investigation is conducted for the labor commissioner by a contracting agency, that agency shall report to the labor commissioner what action has been taken or is recommended with regard to such complaints.
- VIII. The labor commissioner shall use his best efforts, directly and through contracting agencies, other interested federal, state and local agencies, contractors and all other available instrumentalities, including the commission on human rights and opportunities, the executive committee on human rights and opportunities, and the apprenticeship council under its mandate to provide advice and counsel to the labor commissioner in providing equal employment opportunities to all apprentices and to provide training, employment and upgrading opportunities for disadvantaged workers, in accordance with section 31-51(d) of the 1969 supplement to the general statutes, to cause any labor organization or any employment agency whose members are engaged in work under government contracts or referring workers or providing supervising apprenticeship or training for or in the course of work under a state contract or subcontract to cooperate in the implementation of the purposes of this Order. The labor commissioner shall in appropriate cases notify the commission on human rights and opportunities or other appropriate state or federal agencies whenever it has reason to believe that the practices of any such organization or agency violate equal employment opportunity requirements of state or federal law.
- IX. The labor commissioner or any agency officer or employee in the executive branch designated by regulation of the labor commissioner may hold such hearings, public or private, as the labor commissioner may deem advisable for compliance, enforcement or educational purposes under this Order.
- X. (a) The labor commissioner may hold or cause to be held hearings, prior to imposing ordering or recommending the imposition of penalties and sanctions under this Order. No order for disbarment of any contractor from further state contracts shall be made without affording the contractor an opportunity for a hearing. In accordance with such regulations as the labor commissioner may adopt, the commissioner or the appropriate contracting agency may:
 - 1. Publish or cause to be published the names of contractors or labor organizations or employment agencies as hereinabove described which it has concluded have complied or failed to comply with the provisions of this Order or the regulations of the labor commissioner in implementing this Order.
 - 2. Recommend to the commission on human rights and opportunities that in cases in which there is substantial or material violation or threat thereof of the contractual provision or related state statutes concerned herein, appropriate proceedings be brought to enforce them, including proceedings by the commission on its own motion under chapter 563 of the general statutes and the enjoining, within the

limitations of applicable law, of organizations, individuals or groups who prevent directly or indirectly compliance with the provisions of this Order.

3. Recommend that criminal proceedings be brought under chapter 939 of the general statutes.
4. Cancel, terminate, suspend or cause to be cancelled, terminated, or suspended in accordance with law any contract or any portion or portions thereof for failure of the contractor or subcontractor to comply with the nondiscrimination provisions of the contract. Contracts may be cancelled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.
5. Provide that any contracting agency shall refrain from entering into any further contracts or extensions or modifications of existing contracts with any contractor until he has satisfied the labor commissioner that he has established and will carry out personnel and employment policies compliant with this Order.
6. Under regulations prescribed by the labor commissioner each contracting agency shall make reasonable efforts with a reasonable period of time to secure compliance with the contract provisions of this Order by methods of conference, conciliation, mediation or persuasion, before other proceedings shall be instituted under this Order or before a state contract shall be cancelled or terminated in whole or in part for failure of the contractor or subcontractor to comply with the contract provisions of state statute and this Order.

(b) Any contracting agency taking any action authorized by this Order, whether on its own motion or as directed by the labor commissioner or pursuant to his regulations shall promptly notify him of such action. Whenever the labor commissioner makes a determination under this Order, he shall promptly notify the appropriate contracting agency and other interested federal, state and local agencies of the action recommended. The state and local agency or agencies shall take such action and shall report the results thereof to the labor commissioner within such time as he shall specify.

- XI. If the labor commissioner shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless he has satisfactorily complied with the provisions of this Order, or submits a program for compliance acceptable to the labor commissioner, or if the labor commissioner so authorizes, to the contracting agency.
- XII. Whenever a contracting agency cancels or terminates a contract, or a contractor has been disbarred from further government contracts because of noncompliance with the contract provisions with regard to nondiscrimination, the labor commissioner or the contracting agency shall rescind such disbarment, upon the satisfaction of the labor commissioner that the contractor has purged himself of such noncompliance and will thenceforth carry out personnel and employment policies of nondiscrimination in compliance with the provision of this Order.
- XIII. The labor commissioner may delegate to any officer; agency or employee in the executive branch any function or duty of the labor commissioner under this Order except authority to promulgate regulations of a general nature.
- XIV. This Executive Order supplements the Executive Order issued on September 28, 1967. All regulations, orders, instructions, designations and other directives issued heretofore in these premises, including those issued by the heads of various departments or agencies under or pursuant to prior order or statute, shall remain in full force and effect, unless and until revoked or superseded by appropriate authority, to the extent that they are not inconsistent with this Order.

This Order shall become effective thirty days after the date of this Order.

Dated at Hartford, Connecticut, this 16th day of June, 1971

Thomas J. Meskill
Governor

Filed this 16th day of
June, 1971.

Harry Hammer
Secretary Of The State

**State Of Connecticut
By His Excellency
M. Jodi Rell
Governor**

Executive Order No. Seven C

WHEREAS, in the wake of the scandals related to state contracting, I established the State Contracting Reform Task Force to examine the way in which the state buys goods and services with a directive to restore integrity to, and the public's trust in, the way we buy such goods and services; and

WHEREAS, that task force submitted a number of recommendations that were embodied in a legislative proposal for the General Assembly's consideration;

WHEREAS, the General Assembly added to that legislative proposal provisions that do not address the irregularities in state contracting, but instead place unacceptable and overly burdensome limitations on the services for which the executive branch may enter into Agreements in order to conduct the business of the state and provide essential state services;

WHEREAS, in light of those provisions, I had no choice but to veto that legislation;

WHEREAS, there remains an acute need to make reforms in the state contracting process in order to ensure such contracting process reflects the highest standards of integrity, is clean and consistent and is conducted in the most efficient manner possible to enable state agencies to deliver programs and serve our citizens;

WHEREAS, there further remains an acute need to address the state's vulnerabilities in the selection and procurement processes to avoid improprieties, favoritism, unfair practices or ethical lapses in the future, or the appearance of such; and

WHEREAS, it has been deemed to be advisable to make certain modifications and revisions to the text of Executive Order Nos. 7, 7A and 7B.

NOW, THEREFORE, I, M. Jodi Rell, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the Constitution and by the statutes of this state, do hereby **ORDER** and **DIRECT** that:

1. (a) There is established a State Contracting Standards Board (the "Board") that shall consist of nine members. Five members shall be appointed at the sole discretion of the Governor. Four members shall be appointed by the Governor based on the recommendations of the four principal leaders of the General Assembly. The Speaker of the House of Representatives, the House Minority Leader, the President Pro Tempore of Senate and the Senate Minority Leader of the Connecticut General Assembly may each recommend to the Governor one member for appointment by the Governor to the Board. Each member recommended to the Governor or appointed to the Board shall have demonstrated sufficient knowledge by education, training or experience in several of the following enumerated areas: (1) government procurement; (2) Agreement negotiation, drafting and management; (3) Agreement risk assessment; (4) preparing requests for proposals, invitations to bid and other procurement solicitations; (5) evaluating proposals, bids and quotations; (6) real property transactions; (7) business insurance and bonding; (8) the state code of ethics; (9) federal and state statutes, policies and regulations; (10) outsourcing and privatization proposal analysis; and (11) small and minority business enterprise development, known in the State of Connecticut as the set aside program. Such education, training or experience shall have been acquired over not less than a continuous five-year period and shall have been acquired within the ten-year period preceding such appointment.
- (b) The chairperson of the Board shall be elected by the members of the Board from amongst themselves. The members shall serve at the pleasure of the Governor and their terms shall be coterminous with the term of the Governor.
- (c) The Board shall be an independent body within the Executive Department.
- (d) The chairperson of the Board shall be compensated two hundred dollars per diem. Other members of the Board shall be compensated two hundred dollars per diem. No person shall serve on the Board who is a full-time state or

municipal employee and neither a person on the Board nor any spouse, child, stepchild, parent or sibling of such person shall be directly in a position involved in any enterprise that does business with the state.

(e) The Governor shall appoint an executive director who shall serve as an ex-officio, nonvoting member of the Board. The Governor or the Board may remove the executive director from office for reasonable cause. The Board shall, annually, conduct a performance evaluation of such executive director. The salary of the executive director shall be determined by the Commissioner of the Department of Administrative Services and the individual will be placed in the management pay plan and have benefits such as vacation, sick leave, pension and insurance determined in accordance with that designation. For all other purposes, the executive director shall be considered an appointed official.

(f) The Board may Agreement with consultants and professionals on a temporary or project by project basis and may employ secretaries, real estate examiners, Agreement specialists, forensic fraud examiners, property and procurement specialists, paralegals, attorneys and such other employees as the Board deems to be necessary or appropriate, all of whom shall be in the state classified service as permitted or required in accordance with applicable law. As the Board is not a state agency, the employees shall be considered to be employees of the Department of Administrative Services for administrative purposes.

(g) The reasonable expenses of the Board and its employees shall be paid from the budget of the Board upon the approval of the Board.

(h) No employee of the Board shall hold another state or municipal position, nor shall any such employee or any non-clerical employee or any spouse, child, stepchild, parent or sibling of such employee of the Board be directly or indirectly involved in any enterprise that does business with the state. Each member and employee of the Board shall file, with the Board and with the Citizen's Ethics Advisory Board, a financial statement indicating all sources of business income of such person in excess of one thousand dollars, and the name of any business with which such member or employee is associated, as defined in Subsection (b) of Section 1-79 of the general statutes. Such statement shall be a public record. Financial statements for the preceding calendar year shall be filed with the Citizen's Ethics Advisory Board and the Board on or before the first day of May of each year if such employee or member held such a position during the preceding calendar year, as permitted or required in accordance with applicable law.

(i) The Board shall be assigned to the Department of Administrative Services for administrative purposes only.

(j) Five members of the Board shall constitute a quorum, which shall be required for the transaction of business by the Board.

(k) The Department of Administrative Services, together with the Office of Policy and Management, shall provide to the Office of the Governor their recommendations for achieving the staff and personnel provisions of this Executive Order in a manner permitted or required in accordance with applicable law.

2. For the purposes of this Executive Order, the following definitions shall apply:

(a) "Agreement risk assessment" means (A) the identification and evaluation of loss exposures and risks, including, but not limited to, business and legal risks associated with the contracting process and the contracted goods and services, and (B) the identification, evaluation and implementation of measures available to minimize potential loss exposures and risks.

(b) "Contractor" means any person or entity submitting a bid, proposal or quotation for a Agreement described in Section 3 of this Executive Order, including, but not limited to, a small contractor, minority business enterprise, organization, or individual with a disability, all as more specifically defined in Section 4a-60g of the general statutes.

(c) "Emergency procurement" means procurement by a state agency that is made necessary by a sudden, unexpected occurrence that poses a clear and imminent danger to public safety or requires immediate action to preserve prevent or mitigate the loss or impairment of life, health, property or essential public services or in response to a court order, settlement agreement or other similar legal judgment, as permitted or required in accordance with applicable law.

(d) "Goods" means all items of personal property, including, but not limited to items commonly referred to as

supplies, materials, equipment and inventory that are the subject of a state procurement.

(e) "Privatization Agreement" means an agreement or series of agreements between a state contracting agency and a person or entity, in which such person or entity agrees to provide services valued at five hundred thousand dollars or more over the life of the Agreement that are substantially similar to and in lieu of services provided, in whole or in part, by employees of such agency or by employees of another state agency for such state agency and that results in the layoff of any state employee. "Privatization Agreement" does not include a privatization Agreement in effect on or before the effective date of this Executive Order, an agreement to provide management or financial consulting or a consultant-services agreement to provide professional, architectural or design services on a project-by-project basis.

(f) "State Agreement" means an agreement or a combination or series of agreements between a state agency or quasi-public agency and a person, firm or corporation for (A) a project for the construction, reconstruction, alteration, remodeling, repair or demolition of any public building or public work, (B) services, including, but not limited to, consulting and professional services, (C) the acquiring or disposing of all manner of real and personal property, (D) goods and services, including but not limited to, using purchase of services Agreements and personal service agreements, (E) transactions involving information technology, (F) a lease or (G) a licensing agreement, and includes all government functions that relate to such activities. The term State Agreement shall not include a Agreement between a state agency or a quasi-public agency and a political subdivision of the state.

(g) "Purchase of service Agreement" means any Agreement between a state agency and an organization for the purchase of ongoing direct health and human services to agency clients. The Agreement generally is not used for the purpose of purchasing administrative or clerical services, material goods, training and consulting services. Purchase of service agreements are to be used to Agreement with nonprofit and proprietary corporations as well as partnerships but cannot be used to Agreement with individuals.

(h) "State contracting agency" means any state agency and all higher education agencies and institutions within the Executive Department permitted or required to enter into Agreements, in accordance with applicable law. "State contracting agency" shall not include the Judicial or Legislative Departments of the State of Connecticut, or the Joint Committee on Legislative Management within the Connecticut General Assembly.

3. (a) On or before January 1, 2007, the Board shall prepare a uniform procurement code to govern all aspects of procurement and contracting involving all expenditures by and revenues to (1) all state contracting agencies in connection with all of their transactions involving real property, all manner of goods, personal property and services, information technology and the construction, reconstruction, alteration, remodeling, repair or demolition of buildings and public works, and (2) quasi-public entities for purchases and Agreements utilizing state funds, and (3) on or before January 1, 2008 the Board shall expand the uniform procurement code to cover municipal contracting where State funds are utilized. Nothing in this Section shall be construed to require the application of the uniform procurement code when such procurement involves the expenditure of federal assistance or Agreement funds and federal law provides for applicable procurement procedures.

(b) The uniform procurement code described in Subsection (a) of this Section shall be designed to: (1) establish uniform contracting standards and practices among the various state contracting agencies; (2) simplify and clarify the state's laws and regulations governing procurement and contracting standards, policies and practices, including, but not limited to, procedures concerning the solicitation and evaluation of competitive sealed bids, proposals and quotations, small purchases, sole source procurements and emergency procurements; (3) ensure the fair and equitable treatment of all businesses and persons who deal with the procurement system of the state; (4) include a process to maximize the use of small contracting and minority business enterprises, or individuals with a disability, all as more specifically defined in Section 4a-60g of the general statutes; (5) provide increased economy in state procurement activities and maximize purchasing value to the fullest extent possible; (6) ensure that the procurement of supplies, materials, equipment, services, real property and construction required by any state contracting agency is obtained in a cost-effective and responsive manner; (7) preserve and maintain the existing contracting procurement, disqualification, suspension and termination authority and discretion of any state contracting agency when such contracting and procurement procedures represent best practices; (8) include a process to improve contractor and state contracting agency accountability; (9) include standards by which state contracting agencies must solicit and evaluate proposals to privatize state or quasi-public agency services; (10) establish standards for leases and lease-purchase agreements and for the purchase, sale or transfer of other interests in real property; (11) promote a well trained, educated workforce; (12) establish an effective oversight process

to ensure all Agreements adhere to the established procurement processes; and (13) promote an effective way for contractors, the procurement workforce and the general public to report fraud, waste and abuse in the state contracting system.

(c) In preparing the uniform procurement code described in Subsection (a) of this Section, the Board shall conduct a comprehensive review of existing state contracting and procurement laws, regulations, procedures and practices and shall utilize them as the Board deems to be appropriate.

(d) Upon request by the Board, each state contracting agency engaged in procurement shall provide the Board, in a timely manner, with such procurement information as the Board deems to be necessary or appropriate. The Board shall have access to all information, files and records related to any state contracting agency in furtherance of this purpose. Nothing in this Section shall be construed to require the Board's disclosure of documents that are exempt from disclosure pursuant to chapter 14 of the general statutes or that may be protected from disclosure under claim of an attorney-client privilege.

(e) The Board shall file such uniform procurement code with the clerks of the House of Representatives and the Senate not later than January 15, 2007, for the General Assembly's consideration and adoption.

4. In addition to the preparation of the uniform procurement code described in Section 3 of this Executive Order, the duties of the Board shall include:

(a) Recommending the repeal of repetitive, conflicting or obsolete statutes concerning state procurement;

(b) Developing, publishing and recommending revisions and updates to the uniform procurement code;

(c) Assisting state contracting agencies in complying with the uniform procurement code by providing training, guidance, models, advice and practical assistance to state contracting agency staff relating to: (1) buying the best goods and services at the best price and terms; (2) properly selecting contractors; (3) drafting Agreements that achieve state goals and protect taxpayers' interests; (4) monitoring and addressing issues relating to the performance of parties to state Agreements; (5) termination of state Agreements in a manner permitted or required by Agreement or applicable law; and (6) implementation of the uniform procurement code. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 4(c). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law;

(d) Reviewing and certifying that a state contracting agency's procurement processes are in compliance with the code. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 4(d). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law;

(e) Triennially, recertifying each state contracting agency's procurement processes and providing agencies with notice of any certification deficiency and exercising authority as provided under Section 6 of this Executive Order if a determination of noncompliance is made. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 4(e). Such agencies shall act on that advice and recommendations as required or permitted in accordance with applicable law;

(f) Defining the training requirements for state contracting agency procurement professionals;

(g) Monitoring implementation of the state contracting portal and making recommendations for portal improvement to the Department of Administrative Services;

(h) Providing advice and recommendations to state contracting agencies regarding a model Agreement data retention policy for state contracting agencies concerning retention of information, as required or permitted in accordance with applicable law. Such model policy shall include, but not be limited to, information on: (A) the number and type of state Agreements currently in effect state-wide, (B) the dollar value of such Agreements, (C) a list of client agencies, (D) a description of services purchased under such Agreements, (E) contractor names, and (F) an evaluation of contractor performance. The policy shall assure that such information is available on the state contracting portal, all as required or permitted by applicable law;

(i) Providing the Governor with recommendations concerning the uniform procurement code and this Executive Order;

(j) Providing advice and recommendations to state contracting agencies regarding implementation by such agencies of ethics training courses for state employees involved in procurement and for state contractors as required or permitted in accordance with applicable law. Such ethics training course may be developed and provided by the Citizen's Ethics Advisory Board or by any person, firm or corporation for implementation by such state contracting agencies as required or permitted in accordance with applicable law;

(k) Developing of recommendations to the General Assembly whereby the Board will perform the powers, duties and obligations of the State Properties Review Board; and

(l) Providing the Governor and the General Assembly with recommendations concerning the extension and applicability of the uniform procurement code, upon its adoption by the legislature, to the Judicial and Legislative Departments of the State of Connecticut, including the Joint Committee on Legislative Management within the Connecticut General Assembly.

5. (a) The Board shall triennially conduct audits of state contracting agencies to ensure compliance with the uniform procurement code. In conducting such audit, the Board shall have access to all contracting and procurement records, may interview personnel responsible for contracting, Agreement negotiations or procurement and may enter into an agreement with the State Auditors of Public Accounts to effectuate such audit. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 5(a). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law.

(b) Upon completion of any such audit, the Board shall prepare and issue a compliance report for such state contracting agency. Such report shall identify any process or procedure that is inconsistent with the uniform procurement code and indicate those corrective measures the Board deems to be necessary or appropriate to comply with code requirements. Such report shall be issued and delivered not later than thirty days after completion of such audit and shall be a public record. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 5(b). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law.

6. (a) Each Agreement entered into on or after October 1, 2005 shall provide that the Board may review the Agreement and recommend to the state contracting agency termination of the Agreement for cause. The state contracting agency shall consider the recommendations and act as required or permitted in accordance with the Agreement and applicable law. The Board shall provide the results of its review, together with its recommendations, to the state contracting agency and any other affected party in accordance with the notice provisions in the Agreement no later than fifteen (15) days after the Board finalizes its recommendation. For the purpose of this Section, "for cause" means: (1) a violation of the State Ethics Code (Chapter 10 of the general statutes) or section 4a-100 of the general statutes or (2) wanton or reckless disregard of any state contracting and procurement process by any person substantially involved in such Agreement or state contracting agency. Notwithstanding the October 1, 2005 date, any procurement currently in progress that has not yet resulted in a fully executed Agreement can continue to proceed to Agreement without this provision, provided that no later than December 31, 2005 the parties execute an amendment or other appropriate Agreement modification to add this provision.

(b) For purposes of this Section, "Agreement" shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees, and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a Agreement for the sale or purchase of a fee simple interest in real property following transfer of title.

7. The Board shall issue recommendations regarding the disqualification or suspension of contractors from bidding or proposing on state Agreements to the extent required or permitted in accordance with applicable law. State contracting agencies shall consider such recommendations and act to the extent required or permitted in accordance with applicable law.
8. In accordance with section 1-225 of the Connecticut General Statutes, all public meetings of state agencies shall be posted on that agency's Web site.
9. Appointed officials and state employees in the Executive Branch are prohibited from contracting for goods and services, for personal use, with any person doing business with or seeking business with his or her agency, unless the goods or services are readily available to the general public for the price that the official or state employee paid or would pay.
10. (a) Notwithstanding the Agreement value listed in sections 4-250 and 4-252 of the Connecticut General Statutes and section 8 of Executive Order Number 1, all State Agreements between state agencies and private entities with a value of \$50,000 or more in a calendar or fiscal year shall comply with the gift and campaign contribution certification requirements of section 4-252 of the Connecticut General Statutes and section 8 of Executive Order Number 1. For purposes of this section, the term "certification" shall include the campaign contribution and annual gift affidavits required by section 8 of Executive Order Number 1.
11. No state agency may expend funds for any Agreement for legal services between the Attorney General and any person, firm or corporation that is entered into on or after January 1, 2006, and that will or that can reasonably be expected to result in attorney's fees, including, but not limited to, contingent fees paid to such person, firm or corporation in the amount of fifty thousand dollars or more, unless such Agreement has been subject to requests for proposals or requests for qualifications and awarded according to a competitive selection process.
12. Any provision of this Executive Order that is deemed to be invalid, illegal or unenforceable by a court of competent jurisdiction shall be ineffective to the extent of such invalidity, illegality or unenforceability, without invalidating the remaining provisions of this Executive Order or affecting the validity or enforceability of any provision of this Executive Order applied to circumstances other than those as to which it is held invalid, illegal or unenforceable. This Executive Order shall be interpreted and construed, to fullest extent possible, to be consistent with, and not in conflict with any applicable statute, regulation, decision of a court of competent jurisdiction or other source of applicable law.
13. Executive Order Nos. 7, 7A and 7B are hereby repealed in their entirety and are replaced with the text hereof.

This Executive Order shall be effective immediately.

Dated at Hartford, Connecticut, this 13th day of July 2006.

M. JODI RELL

Governor

By Her Excellency's Command:

Susan Bysiewicz

Secretary of the State

**State of Connecticut
By His Excellency
John G. Rowland
Governor**

Executive Order No. Sixteen

WHEREAS, the State of Connecticut recognizes that workplace violence is a growing problem that must be addressed; and

WHEREAS, the State is committed to providing its employees a reasonably safe and healthy working environment, free from intimidation, harassment, threats, and /or violent acts; and

WHEREAS, violence or the threat of violence by or against any employee of the State of Connecticut or member of the public in the workplace is unacceptable and will subject the perpetrator to serious disciplinary action up to and including discharge and criminal penalties.

NOW, THEREFORE, I, John G. Rowland, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the Constitution and by the statutes of this state, do hereby ORDER and DIRECT:

1. That all state agency personnel, contractors, subcontractors, and vendors comply with the following Violence in the Workplace Prevention Policy:

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence.

Therefore, except as may be required as a condition of employment:

- o No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.
- o No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument in a state worksite.
- o No employee shall cause or threaten to cause death or physical injury to any individual in a state worksite.

Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

Violation of the above reasonable work rules shall subject the employee to disciplinary action up to and including discharge.

2. That each agency must prominently post this policy and that all managers and supervisors must clearly communicate this policy to all state employees
3. That all managers and supervisors are expected to enforce this policy fairly and uniformly.
4. That any employee who feels subjected to or witnesses violent, threatening, harassing, or intimidating behavior in the workplace immediately report the incident or statement to their supervisor, manager, or human resources office.
5. That any employee who believes that there is a serious threat to their safety or the safety of others that requires immediate attention notify proper law enforcement authorities and his or her manager or supervisor
6. That any manager or supervisor receiving such a report shall immediately contact their human resources office to evaluate, investigate and take appropriate action.
7. That all parties must cooperate fully when questioned regarding violations of this policy.
8. That all parties be advised that any weapon or dangerous instrument at the worksite will be confiscated and that there is no reasonable expectation of privacy with respect to such items in the workplace.
9. That this order applies to all state employees in the executive branch.
10. That each agency will monitor the effective implementation of this policy.
11. That this order shall take effect immediately.

Dated in Hartford, Connecticut, this fourth day of August, 1999.

John G. Rowland
Governor

Filed this 4th day of August, 1999.

Susan Bysiewicz
Secretary Of The State (Deputy)

**State Of Connecticut
By His Excellency
Thomas J. Meskill
Governor**

Executive Order No. Seventeen

WHEREAS, Section 31-237 of the General Statutes of Connecticut as amended requires the maintaining of the established free services of the Connecticut State Employment Service to both employers and prospective employees and

WHEREAS, Section 31-5 of the General Statutes of Connecticut requires that no compensation or fee shall be charged or received directly or indirectly for the services of the Connecticut State Employment Service and

WHEREAS, large numbers of our citizens who have served in the Armed Forces of our nation are returning to civilian life in our state and seeking employment in civilian occupations and

WHEREAS, we owe a duty as well as gratitude to these returning veterans including the duty to find suitable employment for them and

WHEREAS, many of our handicapped citizens are fully capable of employment and are entitled to be placed in suitable employment and

WHEREAS, many of the citizens of our state who are unemployed are unaware of the job openings and employment opportunities which do in fact exist in our state and

WHEREAS, notwithstanding the free services of the Connecticut State Employment Service, many of our Connecticut employers do not use its free services or do not avail themselves fully of all the services offered,

NOW, THEREFORE, I, THOMAS J. MESKILL, Governor of the State of Connecticut, acting by virtue of the authority vested in me under the fourth article of the Constitution of the State and in accordance with Section 3-1 of the General Statutes, do hereby ORDER and direct, as follows, by this Executive Order:

- I. The Labor Commissioner shall be responsible for the administration of this Order and shall do all acts necessary and appropriate to achieve its purpose. Upon promulgation of this Order, the Commissioner of Finance and Control shall issue a directive forthwith to all state agencies, that henceforth all state Agreements and subcontractors for construction on public buildings, other public works and goods and services shall contain a provision rendering such Agreement or subcontractor subject to this Order, and that such Agreement or subcontractor may be cancelled, terminated or suspended by the Labor Commissioner for violation of or noncompliance with this Order, notwithstanding that the Labor Commissioner is not a party to such Agreement or subcontractor.
- II. Every contractor and subcontractor having a Agreement with the state or any of its agencies, boards, commissions, or departments, every individual partnership, corporation, or business entity having business with the state or who or which seeks to do business with the state, and every bidder or prospective bidder who submits a bid or replies to an invitation to bid on any state Agreement shall list all employment openings with the office of the Connecticut State Employment Service in the area where the work is to be performed or where the services are to be rendered.
- III. All state Agreements shall contain a clause which shall be a condition of the Agreement that the contractor and any subcontractor holding a Agreement directly under the contractor shall list all employment openings with the Connecticut State Employment Service. The Labor Commissioner may allow exceptions to listings of employment openings which the contractor proposes to fill from within its organization from employees on the rolls of the contractor on the date of publication of the invitation to bid or the date on which the public announcement was published or promulgated advising of the program concerned.
- IV. Each contracting agency of the state shall be primarily responsible for obtaining compliance with this Executive Order. Each contracting agency shall appoint or designate from among its personnel one or more persons who shall be responsible for compliance with the objectives of this Order.

- V. The Labor Commissioner shall be and is hereby empowered to inspect the books, records, payroll and personnel data of each individual or business entity subject to this Executive Order and may hold hearings or conferences, formal or informal, in pursuance of the duties and responsibilities hereunto delegated to the Labor Commissioner.
- VI. The Labor Commissioner or any agency officer or employee in the executive branch designated by regulation of the Labor Commissioner may hold such hearings, public or private, as the Labor Commissioner may deem advisable for compliance, enforcement or educational purposes under this Order.
- VII. (a) The Labor Commissioner may hold or cause to be held hearings, prior to imposing, ordering, or recommending the imposition of penalties and sanctions under this Order. In accordance herewith, the Commissioner or the appropriate contracting agency may suspend, cancel, terminate, or cause to be suspended, cancelled, or terminated in accordance with law any Agreement or portion or portions thereof for failure of the contractor or subcontractor to comply with the listing provisions of the Agreement. Agreements may be cancelled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.
(b) Any contracting agency taking any action authorized by this Order, whether on its own motion or as directed by the Labor Commissioner, shall promptly notify him of such action. Whenever the Labor Commissioner makes a determination under this Order, he shall promptly notify the appropriate contracting agency of the action recommended. The agency shall report the results to the Labor Commissioner promptly.
- VIII. If the Labor Commissioner shall so direct, contracting agencies shall not enter into Agreements with any bidder or prospective contractor unless he has satisfactorily complied with the provisions of this Order.

This Order shall become effective sixty days after the date of this Order.
Dated at Hartford, Connecticut, this 15th day of February 1973.

Thomas J. Meskill
Governor

Filed this 15th day of February 1973.

Harry Hammer
Secretary Of The State (Deputy)

**Commission on Culture & Tourism
Ethics Statement**

Mission: *The mission of the Commission on Culture & Tourism is to preserve and promote Connecticut's cultural and tourism assets in order to enhance the quality of life and economic vitality of the state.*

Application: Employees and Commissioners of the Commission on Culture & Tourism (CCT) occupy positions of trust and responsibility that require them to observe the highest ethical standards. Strict compliance with applicable laws, regulations, policies, and directives is an essential aspect of employment with CCT.

1. Purpose. The purpose of this statement is to ensure that all CCT employees and public officials are aware of the Code of Ethics for Public Officials, ("Code of Ethics") Conn. Gen. Stat. §1 79, et seq.; to ensure that official actions of department employees and public officials are independent and free from influence; to prevent department employees and public officials from using their position or influence for personal financial benefit; and to encourage public trust in the integrity of the Commission on Culture & Tourism. The Commission, and all other state agencies and departments, are required by P.A. 94 126 to develop and implement a department ethics statement.

2. Who must comply. All CCT employees and Commissioners.

Policy Summary: All employees and Commissioners are required to abide by the Connecticut Code of Ethics, Connecticut General Statutes sections 1-79 through 1-89a; the Connecticut Code of Ethics for Public Officials; statutes and regulations regarding political activity; Executive Order No. 1 (Gov. M. Jodi Rell); the Governor's letter to potential State Employees issued December 23, 2004; and the CCT Commissioners' Conflict of Interest Policy, as applicable.

In general, CCT employees may not:

- Disclose confidential information gained while employed at CCT;
- Use your position/influence or any information for financial benefit for yourself or family members;
- Solicit or accept anything of value or accept any gifts from a lobbyist or representative of a lobbyist. Nor can you accept any gift from, or give a gift to, individuals or entities doing business with or attempting to do business with the state or CCT; or
- Enter into a contract with the state valued at \$100 or more unless the contract has been awarded through an open and public process. (This extends to immediate family.)

In general, CCT Commissioners may not:

- Disclose confidential information gained while in public service;
- Use your position/influence or any information for financial benefit for yourself your family members, organizations or a business with which you are associated;
- Solicit or accept anything of value or accept any gifts from a lobbyist or representative of a lobbyist. Nor can you accept any gift from, or give a gift to, individuals or entities doing business with or attempting to do business with the state or CCT; or
- Enter into a contract with the state valued at \$100 or more unless the contract has been awarded through an open and public process. (This extends to immediate family.)

During work hours, CCT employees may not:

- Participate in political activity while employed by CCT;
- Campaign for a candidate, or use state funds, supplies, vehicles or facilities to promote a candidate, party or issue; or
- Use your position to directly or indirectly influence any political process, including payments, lending of money or anything of value to a party committee, organization, agency or person for political purposes.

After leaving CCT, employees and Commissioners must:

- Comply with certain General Statutes and Regulations, which restrict certain activities after leaving state employment or service.

Please review Connecticut General Statutes 1-84a and 1-84b and Connecticut Regulations 1-81-31 through 1-81-38.

Questions:

Employees or Commissioners with questions regarding the CCT Ethics Statement or Conflict of Interest Policy are urged to contact Carolyn Underwood, CCT Human Resources Officer at 713-5166, or Karen Senich, Executive Director at 256-2753. Questions may also be directed to the Office of State Ethics at 566-4472.

Applicable Ethics Reference Materials:

It is highly recommended that all CCT employees and Commissioners obtain and review the following:

- Connecticut General Statutes Sections 1-79 to 1-89a, inclusive.
- Connecticut Code of Ethics for Public Officials, as amended, available at http://www.ethics.state.ct.us/Regs_and_Code_Information/2003_poguide.htm
- Statutes, regulations and policy concerning political activity of employees, outlined in Department of Administrative Services' General Letter No. 214-D, available at <http://www.das.state.ct.us/HR/om/GL214D.pdf>
- Executive Order No. 1 issued by Governor M. Jodi Rell on July 1, 2004.
- Letter from Governor Rell to Potential State of Connecticut Employees.
- CCT Commissioners' Conflict of Interest Policy.

Copies of these materials can be obtained from the CCT Personnel Office, CCT Human Resources Officer Carolyn Underwood, or Karen Senich, Executive Director.

Issued By:

Karen Senich, Executive Director
April 23, 2008

CCT Commissioners' Conflict of Interest Policy

Commissioners shall abide by the Code of Ethics for Public Officials, as set forth in the Connecticut Handbook for Appointed Officials, including the ethical rules set forth in Connecticut General Statutes sections 1-79 et seq., and in particular sections 1-84 through 1-86.

Commissioners of the Connecticut Commission Culture and Tourism ("Commissioners") shall not use their positions, or any confidential information received as a result of that position, to obtain financial gain for, among others, themselves or an organization with which they are associated, even if that use of position is inadvertent or unintentional. Organizations with which Commissioners are associated include an organization of which a Commissioner "is a director, officer (i.e. president, executive senior vice president, or treasurer), owner, limited or general partner, beneficiary of a trust, or holder of stock constituting 5% or more of the total outstanding stock of any class." C.G.S. § 1079(b). Employees, unpaid officers, or directors of a non-profit organization are not considered to be "associated with" an organization. If the Commissioner's position at the non-profit organization, however, would be directly and uniquely affected his or her action, then he or she shall be prohibited from taking such action.

In a case where a conflict of interest exists, Commissioners shall place the potential conflict on the record of the Commission, and abstain from participation in the matter, including discussions, votes or any other action. In cases where it is unclear whether a conflict of interest exists or whether abstention is sufficient, any Commissioner may seek an opinion from the Office of State Ethics.

Annually, on or before July 1, Commissioners shall file with the Commission a list of all organizations with which they are associated, as defined above.

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES FORMS

STATE OF CONNECTICUT EMPLOYER REPORT OF COMPLIANCE STAFFING LABOR DEPARTMENT

Department _____ Approved Pending Investigation
Compliance Officer _____ Disapproved Investigation Requested
Date _____

This form should reflect the number of permanent employees on your payroll on date of submission.

Name of Contracting Firm _____
Type of Report _____ Prime Contractor Subcontractor

EMPLOYEE INFORMATION

Total Employed:

White _____ African American _____ Spanish Surname _____ Other (specify) _____

Does your firm have a collective bargaining agreement or other contract or understanding with a labor organization or employment agency for the recruitment of labor? Yes* No*

* If yes, list the name and address of the agency or organization.

Name _____

Address/City/State/Zip _____

* If no, indicate the usual methods of recruitment.

- Connecticut State Employment Service
- Private Employment Agency
- Newspaper Advertisement
- Walk-In
- Other (specify) _____

SIGNATURE

The signer certifies that its practices and policies, including but not limited to matters concerning personnel, training, apprenticeship, membership, grievance and representation, and upgrading, do not discriminate on grounds of race, color, religious creed, age, sex, or national origin, or ancestry of any individual, and that the signer agrees it will affirmatively cooperate in the implementation of the policy and provisions of Executive order Number Three, and consent and agreement is made that recruitment, employment and the terms and conditions of employment under the contract shall be in accordance with the purpose and provisions of Executive Order Number Three.

Is firm in minority ownership? (51% of assets in control of minorities) Yes No

I certify that the above is correct to the best of my knowledge.

Employer _____

Business Name _____ Date _____

Signature _____

Title _____

AFFIRMATIVE ACTION & AMERICANS WITH DISABILITIES COMPLIANCE FORM

The Commission has adopted a policy stating that no application for state funds through the Connecticut Commission on Culture & Tourism by any organization shall be complete nor will funds be voted without the submission of affirmative action and ADA information approved by the applicant/organization's governing body.

Your organization should not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities and should not discriminate on the basis of disability in its hiring or employment practices as provided by Title II of the Americans with Disabilities Act of 1990.

AFFIRMATIVE ACTION STATEMENT

I. Name of Organization _____

Address _____

II. Please list the date (or dates) when your organization's Board of Directors approved an Affirmative Action Plan or Statement of Policy and an American's for Disabilities Act (ADA) Compliance or plan. Statements of Compliance may be requested as needed by the Commission on Culture & Tourism, the State Attorney General's Office or the State Commission on Human Rights and Opportunities Office.

Dates: Affirmative Action _____ ADA _____

III. Annual statistical report of employees and board as of last year of fiscal activity.

TOTAL MALE

Employees	White	Black	Hispanic	American Indian	Asian or Pacific Islander	General <i>If none of the others apply</i>	Disabled
Full Time							
Part Time							
Contracted							
TOTAL							
Board of Directors							

Indicate Year _____

TOTAL FEMALE

Employees	White	Black	Hispanic	American Indian	Asian or Pacific Islander	General <i>If none of the others apply</i>	Disabled
Full Time							
Part Time							
Contracted							
TOTAL							
Board of Directors							

Indicate Year _____

AFFIRMATIVE ACTION & AMERICANS WITH DISABILITIES COMPLIANCE FORM (CON'TD)

IV. Please list new employees hired during the past 12 months. Title Minority, Disabled or Non-Minority (specify)
Date of Employment V. Please list new appointments that have been made to the Board during the past 12 months:
Position Minority, Disabled or Non-Minority (specify) Date of Appointment

V. COMPLIANCE AGREEMENT The applicant/organization agrees to comply with all governmental regulations concerning Affirmative Action compliance and Title II of the Americans with Disabilities Act of 1990. The Connecticut Commission on Culture & Tourism is available to assist any organization with information on compliance and requirements as mandated by Congress.

Authorized Organization Official Title _____

Name of Organization _____ Date _____

LIEN ANALYSIS EXPLANATION AND FORM INSTRUCTIONS

A lien is statutorily required for all projects which receive state bond funds if the property is not owned by a Connecticut municipality. The following language is included in the State Bond Commission item where the grantee is not a municipality:

In accordance with Section 19 of S.A. 05-1, "...any grant-in-aid... which is made to any entity which is not a political subdivision of the state, the contract entered into pursuant to section 18 of this act shall provide that if the premises for which such grant-in-aid was made ceases, within ten years of the date of such grant, to be used as a facility for which such grant was made, an amount equal to the amount of such grant, minus ten per cent for each full year which has elapsed since the date of such grant, shall be repaid to the state and that a lien shall be placed on such land in favor of the state to ensure that such amount will be repaid in the event of such change in use, except that if it the premises for which such grant-in-aid was made are owned by the State, a municipality or a housing authority, no lien need be placed."

Lien Analysis Form Instruction

1. **REPLACEMENT VALUE** – Estimate the cost of building a new facility of similar construction type area in the current construction environment. Base this estimate on the current estimated construction cost per square foot (including the cost of the land) x the total square footage of the site to be renovated or purchased.
2. **PURCHASE PRICE/LEASE COST** – If owned by grantee or holding company of grantee, give the amount of purchase price and year in which purchased. If a leased property, give the cost of the lease per month and yearly amount; also cite current real estate market estimates of rent for a building of similar type and size (i.e., commercial, residential, etc.). In the case of a leased property, please describe any accommodation/s the land has made or will make if the funded renovation occurs.
3. **ADDITIONAL BOND FUNDS** – Will additional bond funds be needed to renovate this property? If so, please provide an estimate of the cost.
4. **CURRENT LIENS** – List all current (existing or proposed) liens on the property (whether leased or owned). This listing is all inclusive, state agency liens, city liens (CDBG), mechanics liens, etc. Cite the date the lien(s) were placed on the property, the total amount of the lien, anticipated termination date of the lien and the current value. **IF THE CURRENT VALUE OF THE LIENS PLUS THE MORTGAGE BALANCE PLUS THE BOND FUND APPLICATION AMOUNT EXCEED THE CURRENT MARKET VALUE, APPLICATIONS WILL NOT BE CONSIDERED FOR FUNDING.**
5. **CURRENT MORTGAGE BALANCE** – For owned or leased sites indicate amount of balance and as of what date.
6. **CURRENT MARKET VALUE** – Estimate for both owned and leased properties. The intent here is to approximate current market selling price. If there is a recent (within one year) appraisal and/or assessment, you may use those amounts as the estimate.

(see form on next page)

LIEN ANALYSIS FORM

Applicant Name _____
(Shall be completed by nonprofit organizations)

Site Address _____

1. Replacement Value: \$ _____

(Construction Cost per sq. ft.. \$ _____ X Total Square Footage _____)

Cite source of standard

2. Purchase Price/Lease Cost: \$ _____

If owned by Grantee or Holding Company of Grantee: Purchase price \$ _____ Year _____

If leased property: Lease per month \$ _____ Lease per year \$ _____

Current Real-Estate Market Estimates for Rent \$ _____

Lease Property: Describe accommodation(s) landlord has made or will make:

3. Additional Bond Funds:

Will you be requesting bond funds to renovate this property now or in the future? Yes No

4. Current Lien Value:

List all current (existing or proposed) liens, date lien(s) were placed, amount of total lien, anticipated termination date and current value.

NAME OF LEIN HOLDER	DATE PLACED	TOTAL AMOUNT	ANTICIPATED TERM DATE	CURRENT VALUE

5. Current Mortgage Balance for Owned or Leased

Please indicate balance as of application date. BALANCE: \$ _____ DATE: _____

6. Current Market Value \$ _____ Include a written appraisal/assessment or letter from realtor. If there is more than a \$5,000 difference between the purchase price and the current market value, please explain (past renovations, increased value, property purchased 20 years ago, etc.)

Signature _____ Date _____

OFFICE OF POLICY AND MANAGEMENT GRANT APPLICATION FORM

The Office of Policy and Management has developed new documentation to insure that non-governmental applicants for state bond fund financial assistance disclose any business dealings with or gifts given to state employees or public officials. The documentation also provides for collection of information to assess the applicant's eligibility for state financial support.

The Grant Application Gift Affidavit is required from all non-governmental applicants for state bond fund financial assistance.

The enclosed Grant Application Form contains the minimum information that is required of an applicant.

(Application begins on next page)

GRANT APPLICATION FORM

Bond Fund Programs

Name of Grantee _____

Address of Grantee _____

City/State/Zip _____

Telephone Number of Grantee _____

Name and Title of Authorized Official _____

1. Business Information:

- a. Federal Employee Identification Number _____
- b. Grantee's Fiscal Year From _____ to _____
- c. Type of organization Corporation LLC Other (specify) _____
- d. Year Organization Established _____ e. Number of Years at Present Location _____
- f. Submit a current Certificate of Legal Existence issued by the Connecticut Secretary of the State.
- g. If a corporation, submit the following:
 - Certificate of Incorporation
 - By-Laws
 - List of Board of Directors Including Names and Titles of Officers
- h. Has the grantee experienced any management or ownership changes in the last year? Yes No
- i. Is the grantee currently involved in any litigation or other legal claims? Yes No
(If yes, please explain)

2. Project Information

- a. Amount of Proposed Grant Award: \$ _____
- b. Provide the following:
 - Project Title _____
 - Project Description
 - Project Goals and Methodology to Achieve Such Goals
 - Project Budget
 - Provide a line item income and expense budget for the project. Budget should delineate state funding from non-state funding. Identify state funding by state agency.
 - Are the services associated with this project approved, certified, licensed, regulated, etc., by a state agency? Yes No

If yes, provide name of state agency and documentation of status.

GRANT APPLICATION FORM (CONT'D)

3. Financial Information

- a. Provide copy of current approved annual budget. Budget should delineate state funding from non-state funding.
- b. Identify state funding by state agency.

c. Has the grantee received state funding during the last five years? Yes No

If yes, provide the following information:

- Name of state agency _____
- Amount of funding _____
- Purpose of funding _____
- Period of funding _____

d. Has the grantee ever declared bankruptcy? Yes No

If yes, please explain:

e. Are any state, local or federal taxes currently past due by the grantee? Yes No

If yes, please explain:

4. Other Information

- a. Submit a Gift Affidavit (Appendix F).
- b. Submit a certified resolution that was adopted by the Board of Directors authorizing the following:
 - Submission of this grant application;
 - Project budget related to this grant application; and
 - The name and title of the individual who can sign the grant application and grant award.
- c. Submit a W-9, Request for Tax Payer Identification Number and Certification form.
- d. Submit a State of Connecticut – Agency Vendor form.
- e. Submit a copy of 501(c)(3) letter if grantee is a non-profit.
- f. Has any state agency and/or the federal government taken any action against the grantee or any principals of the grantee? Yes No

If yes, Please explain:

g. Does the grantee employ or contract with (1) any elected public official or the spouse of any elected public official or (2) any state employee or the spouse of any state employee who has supervisory or appointing authority over the state agency administering this grant? Yes No

If yes, Please explain:

GRANT APPLICATION CERTIFICATION FORM

My signature below, for and on behalf of _____, indicates acceptance of the
Name of Grantee

following and further certifies that:

- 1. I have the authority to submit this grant application;
- 2. I have read, understand, and will comply with any grant terms and conditions required by the administering agency;
- 3. I understand that should this grant application be approved I will be required to sign an assistance agreement with the administering agency delineating the terms and conditions of the grant;
- 4. I understand that funding associated with this grant application is one-time in nature and that there is no obligation for additional funding from the Office of Policy and Management or the State of Connecticut;
- 5. I understand that should this grant application be approved, such state funds shall be expended no later than the date specified in the assistance agreement;
- 6. I understand that requests to extend the grant end date shall be submitted in writing to the administering agency no later than thirty (30) days before the grant end date;
- 7. I understand that unexpended funds shall be returned to the State of Connecticut within sixty (60) days of the grant end date;
- 8. I understand that if this organization meets the requirements of the State Single Audit Act, Sections 4-230 through 4-236, as amended, of the Connecticut General Statutes, the organization is required to submit a State Single Audit, at its own expense, no later than six (6) months after the end of the audit period. If this organization is not required to submit a State Single Audit, the organization is required to submit a final accounting of the grant expenditures within sixty (60) days of the grant end date; and
- 9. I hereby certify that the statements contained in the responses to this application and accompanying documents are true to the best of my knowledge and belief and that I know of no reason why the applicant cannot complete the project in accordance with the representations contained herein.

Applicant's Signature _____ Date _____

Title _____ Date _____

Name of Grantee _____

CHECKLIST

This checklist includes all items required for an application to be considered complete. Check each box to confirm items are enclosed.

Section I: Basic Project Info *(see page 7)*

- A. Professional Project Consultant?
- B. Define Project Type
- C. Subject Property Street Address & Map

Section II: Detailed Project Description *(see page 7)*

- A. Narrative description of the project?
- B. Narrative description of any ground disturbance?
- C. Detailed construction schedule?
- D. Narrative of desired effects/outcomes for applicant & general public?

Section III: Budget *(see pages 7)*

- A. General project budget summary with only allowable grant costs as follows:
 - 1. Project Sign
 - 2. Archaeological investigation fees
 - 3. Legal advertisements
 - 4. Documentary photography
 - 5. Land Record filing
 - 6. Single-project Audit Fees
 - 7. Total costs associated with rehabilitation, acquisition, etc.
- B. Itemized Project Budget as follows:
 - 1. Detailed line-item construction budget in Uniform Construction Index
 - 2. For acquisition project an itemized list of anticipated purchase costs.
 - N/A

Section IV: Matching Funds *(see page 7)*

- A. Narrative on amount, source, availability of match, including acknowledgement that state funds will not be used to match award.
- B. Notarized letter of assurance signed by applicant's signatory authority guaranteeing that funds required to match award are available and restricted for this purpose as of date of application
- C. Narrative describing how project costs will be paid for prior to receipt of matching grant funds following completion and payment for all project work by the applicant

Section V: Project Need *(see page 8)*

- A. Narrative describing need for project and how project will sustain and/or enhance future stability/capability of applicant.
- B. Narrative that describes project's impact (jobs, economic, access, etc.).
- C. NRZ or Main Street or other community development area

CHECKLIST (CON'TD)**Section VI: Operating Forecast Detail** *(see page 8)*

- A. Describe how project corresponds to organization's long-term facilities plans.
- B. Schedule outlining proposed hours for public visitation and fees, if any, following the completion of project work

Section VII: Org/Project Readiness *(see page 8)*

- A. Narrative demonstrating applicant's financial stability, including financial projection.
- B. Provide organizational financial statements past 3 fiscal years.
- C. Complete list of capital grant applications made and/or received from any State of CT funding source within last 3 years.

Section VIII: Other Required Attachments *(see pages 8-9)*

- A. Technical Documents
 - 1. Attached detailed, complete, professionally prepared architectural or technical plans/specs.
 - 2. For acquisitions, minimum of two real estate appraisals completed by appraisers licensed to practice in CT within the past 6 months.
 - N/A
- B. Notarized letter regarding compliance with all provisions of all applicable state and federal laws and executive orders.
- C. Notarized letter from the property owner, or any other party with a current legal interest in the property, which authorizes applicant to submit application for matching grant-in-aid from CCT.
 - N/A
- D. Submit legal opinion from attorney licensed to practice in Connecticut which states:
 1. Name of property's legal owner of record
 2. Name of any other parties holding an interest in property and nature of interest, if any.
- E. If property is leased by applicant, attach copy of the current lease agreement (20 year lease).
 - N/A
- F. Certified resolution approved by applicant's governing board, etc. that empowers one or more individuals to execute the grant application and grant contract
 - N/A
- G. Copy of the organization's dated 501 (c)(3) tax-status determination letter from IRS.
- H. CD or DVD with 6 different photos
- I. Copies of CHRO forms:
 - 1. Employer Report of Compliance Staffing
 - 2. Affirmative Action and ADA compliance forms
- J. Notarized letter of assurance regarding agreement to aggressively solicit bids for all contract work from qualified minority and women-owned contracting firms, and to meet all other Affirmative Action and procurement requirements specified by CCT.

CHECKLIST (CONT'D)

- K. If nonprofit has 50 or more employees, items 1 & 2 listed below apply
 - 1. Copy of organization-wide Affirmative Action (AA) Plan
 - N/A
 - 2. If organization has more than 50 employees, but no written AA Plan, submit a notarized affidavit signed by applicant's authorized signatory guaranteeing that an AA Plan will be developed within six months.
 - N/A
- L. For properties in local historic district or properties that have been designated as local historic properties by municipal ordinance pursuant to Sec 7-147, attached a COA from municipal historic district/property commission of jurisdiction (not applicable for acquisition)
 - N/A
- M. Notarized statement signed by the property owner or the property owner's representative agreeing to placement of a 10-year monetary lien on the property.
- N. Completed copy of Lien Analysis Form (*see page 38*)

Section IX: Optional Items (*see page 9*)

- A. Letters of support.

SIGNATURE

This application checklist reflects all the items we are submitting for a Cultural Capital Grant.

Contact Signature _____ Date _____

Authorized Signatory Signature _____ Date _____



**Connecticut Commission
on Culture & Tourism**

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