

Public Safety and General Government Committee of the Common Council

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Members of the public may call in to participate. Callers will not be able to see the meeting participants. All participants will be muted upon entering the meeting. To speak, dial *9 on the phone and you will be called on by the host of the meeting during the public comment section. All speakers must state their name and address. Comments must be on a topic on the agenda, and are limited to three minutes. Anyone disrupting the orderly conduct of the meeting, including by using threatening, hateful, or sexually-explicit language, will be removed. Please find the information using the link above.



Members of the public who wish to provide "live comments" may also use the Zoom meeting platform. All participants will be muted upon entering the meeting. To speak, click the "raise your hand indicator" and you will be called by the host of the meeting during the public comment section. All speakers must state their name and address. Comments must be on a topic on the agenda, and are limited to three minutes. Anyone disrupting the orderly conduct of the meeting, including by using threatening, hateful, or sexually-explicit language, will be removed. Please find the information using the link above.



Members of the public who wish to view the meeting, but are not participating, can view a live stream on the City of Norwalk YouTube channel. This stream is delayed by approximately 20 seconds. Please find the information using the link above. The meeting recording and minutes will be posted on the City of Norwalk website within seven (7) days after the meeting.



Members of the public who wish to provide public comment are encouraged to submit those via email in advance of the meeting. For these comments to be included into the record, they must be submitted by 12:00 p.m. the day of the meeting. Please email Michele DeLuca at mdeluca@norwalkct.gov with the subject line "Public Comment" to provide written public comment prior to the meeting.

Public Safety and General Government Committee of the Common Council

October 24, 2024, 7:00pm VIA Zoom

Meeting Agenda

- I. Call to Order
- II. Roll Call
- III. Public participation
- IV. Acceptance of minutes- July 25, 2024
- V. New Business

Reapportionment Committee

Discuss and Vote on sending the Redistricting 2024 Proposed Plan, Map, and recommendations for redistricting opportunities after each census, each as accepted by the Reapportionment Advisory Committee, to the Common Council.

Fire Department

1. Authorize the Mayor Harry W. Rilling to execute the Multi-municipality Interlocal Agreement entitled 'Amended and Restated Interlocal Agreement, Fairfield County Hazardous Incident Response Team".
2. Authorize the Mayor Harry W. Rilling to sign a 4 year agreement for the iNet exchange program with Industrial Scientific Corporation for replacement of gas detection equipment (meters) for all apparatus citywide. The subscription program will allow us to own the equipment once the 48-month term has concluded. We will be billed monthly in the amount of \$793.95 by Industrial Scientific Corporation for a total 4 year term cost not to exceed \$38,109.60 from account # 0131-20-5262.
3. Authorize the Mayor Harry W. Rilling, to execute a contract with Delta Level Defense for a total not to exceed \$26,684.22 for the purchase of 19 sets of tactical body armor. (Munis Acct. 0133120-5341)
4. Authorize the Mayor, Harry W. Rilling, to execute a contract with MES Shipman's Fire Equipment for a total not to exceed \$279,591.25 for new Fire Department SCBA air bottles, compliant with the latest NFPA standard. (Munis Acct. 0131205269)

Police Department

1. Authorize Mayor, Harry W. Rilling, to execute any and all documents and agreements necessary to accept grant funding under the Connecticut Department of Transportation Highway Safety Office, Drug Recognition Enforcement Instructor Grant.
2. Authorize Chief of Police, James Walsh, to execute any and all documents and

agreements as may be necessary to implement the Connecticut Department of Transportation Highway Safety Office, Drug Recognition Enforcement Instructor Grant

3. Authorize Mayor, Harry W. Rilling, to execute any and all documents and agreements necessary to accept grant funding under State of Connecticut Department of Emergency Services and Public Protection ARPA-ATV-2023-NWK-2A grant.

4. Authorize Chief of Police, James Walsh, to execute any and all documents and agreements as may be necessary to implement the State of Connecticut Department of Emergency Services and Public Protection ARPA-ATV-2023-NWK-2A grant.

VI. Adjournment



October 4, 2024

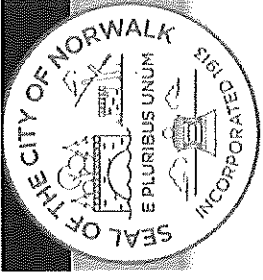
The Honorable Harry W. Rilling, Mayor
and Members of the Common Council
Norwalk City Hall
Norwalk, Connecticut

Re: Reapportionment Advisory Committee Recommendations

Honorable Mayor and Common Council Members:

The Reapportionment Advisory Committee requests the City of Norwalk's Common Council consider the following recommendations:

- Implement a procedure for review of districts on a ten-year basis utilizing the most currently available Census data.
- Reapportionment should be done every ten years on the US decennial census timetable.
- The census data will be released in 2031. We will get the state redistricting information in late 2031 or early 2032.
- The new state legislative precinct map is expected to be adopted in early 2032. Then, in the past, it has usually taken a couple of months to make the corrections for every residence.
- In the past that has been, basically, full time work over those two or three months.
- By 2032 the addresses in Norwalk are supposed to be in the state system with GPS locations, which would speed up the process (at least in theory).
- The city reapportionment should be done in 2032, in time for the 2033 Municipal election.



City of Norwalk CT - Redistricting 2024 Proposed Plan as accepted by the Redistricting Advisory Committee on 9-12-24

For Public Hearing on 9/25/24



Project Requirements

Evaluate the Common Council district boundaries to ensure that they meet the requirements of law, as stated in City Ordinance and, if necessary based solely upon those requirements, to assist the City in developing new district boundaries.

Ord. 9-26 entitled “**Standards Pertaining to Reapportionment**,” reads as follows: “The reapportionment of Council Districts shall conform to federal and state constitutional standards and statutory requirements. Accordingly, the Council Districts shall be: A. of substantially equal population; and, B. to the extent possible consistent with the preceding, established in compact and contiguous form following geographical divisions, considering communities of interest and historical boundary lines and shall further use best efforts to include the boundary lines of the Taxing Districts as defined in the Charter within a single Council District where practicable; and, C. to the extent possible consistent with the preceding, established in accordance with the requirements of C.G.S. §9-169f.”

Redistricting Requirements as per the Voting Rights Act & the City Ordinance

Population Equality – All districts will be drawn such that they are as equal in population as possible. *Ideally the Maximum Deviation should be under 10%*

Compact & Contiguous – The districts should be compact and contiguous. Use Census blocks to build districts

Fair Representation of Minorities – As per Voting Rights Act, Minority vote will not be diluted. Minority populations will be fairly represented such that minorities will not be packed into a district or cracked into more than one district to dilute the minority voting power.

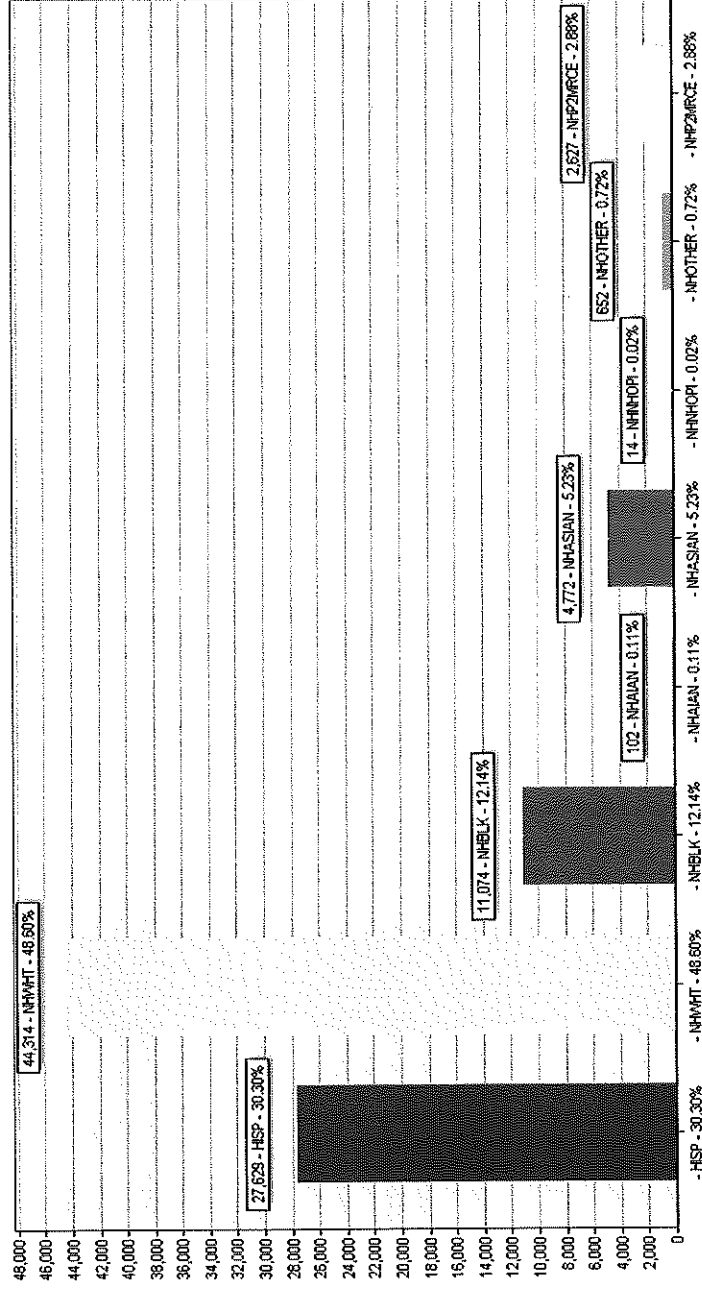
Communities of Interest – Communities of Interests will be identified and all attempts will be made to keep them in one district as long as the population and other criteria are met. Attempts will be made to avoid splitting neighborhoods, where possible, without violating other requirements.

Historical Boundary Lines - Consider historical boundary lines

Taxing Districts - Use best efforts to include the boundary lines of the Taxing Districts as defined in the Charter within a single Council District *where practicable*

CTVRA - Compliance with VRA & CTVRA Requirements

Population for the City of Norwalk as per – Census 2021 PL94-171 Data



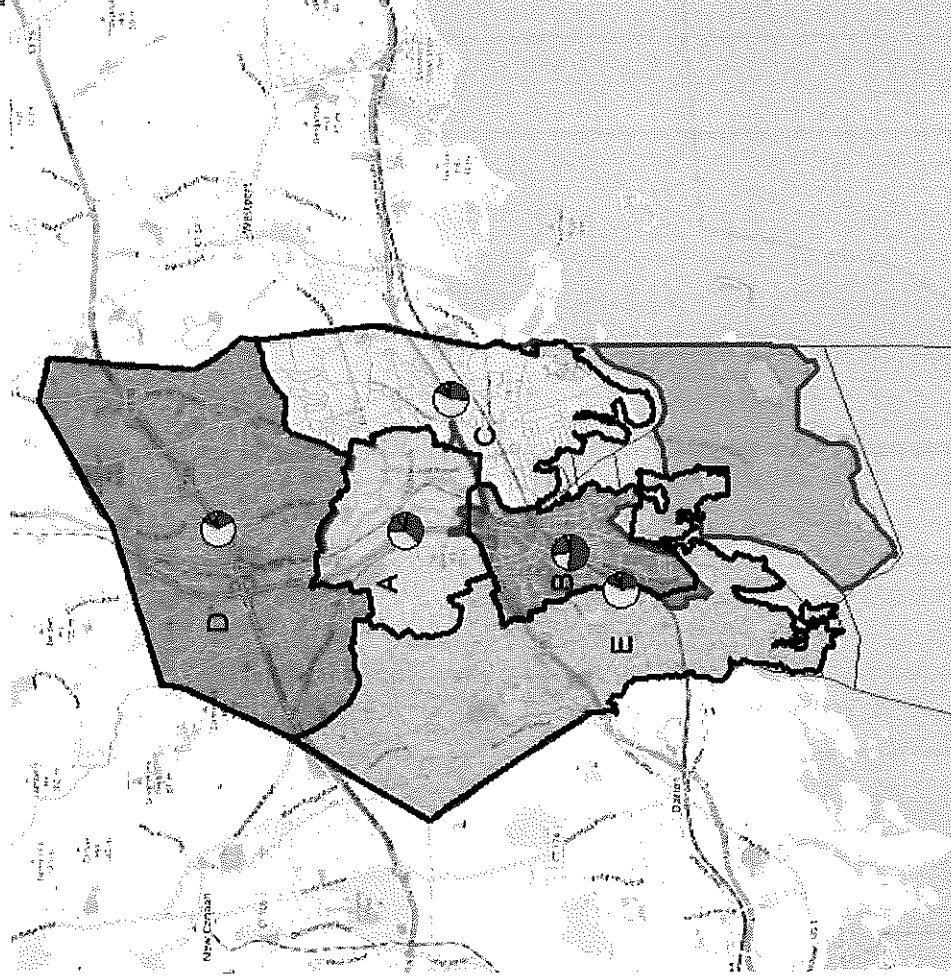
Total Population		
HISPANIC	27,629	30.30%
NH WHITE	44,314	48.60%
NHBLACK	11,074	12.14%
NHAIAN	102	0.11%
NHASIAN	4,772	5.23%
NHNHOPI	14	0.02%
NHOTHER	652	0.72%
NHP2+RACES	2,627	2.88%
	91,184	100.00%

Voting Age Population		
HISPANIC	19,680	27.08%
NH WHITE	38,163	52.51%
NHBLACK	8,760	12.05%
NHAIAN	77	0.11%
NHASIAN	3,900	5.37%
NHNHOPI	11	0.02%
NHOTHER	411	0.57%
NHP2+RACES	1,680	2.31%
	72,682	100.00%

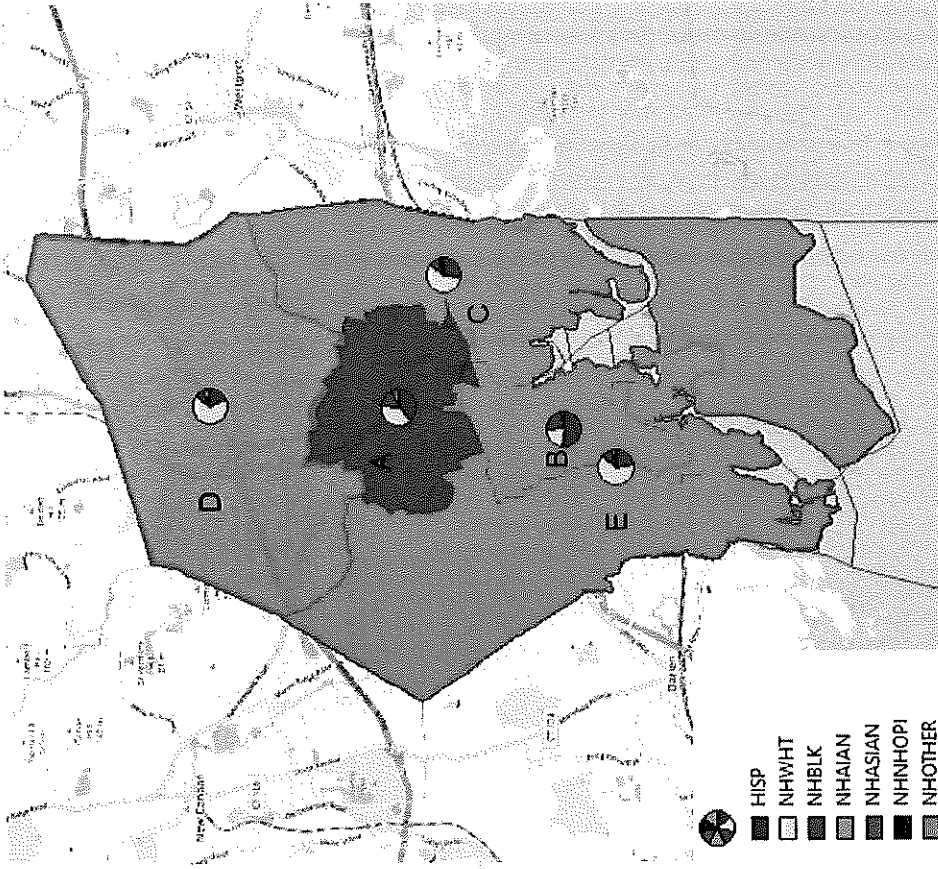
NH – Non-Hispanic
NHP2+Races – Persons of 2 or more races

Non-Hispanic versions of race are used to avoid double counting of Hispanic population

Current Districts with 2020 Census Population



Current Districts



Districts in Green have less population and
Districts in Red have more population as
compared to the ideal/average population

District A has the most population

District C has the least population

We need to balance the population and get
a Maximum Deviation under 10%

Maximum Deviation is the difference
between the most and the least populated
district

The current Maximum Deviation is 18.86%

The current district boundaries are not
aligned with census blocks

Current Districts-Total Population By Race

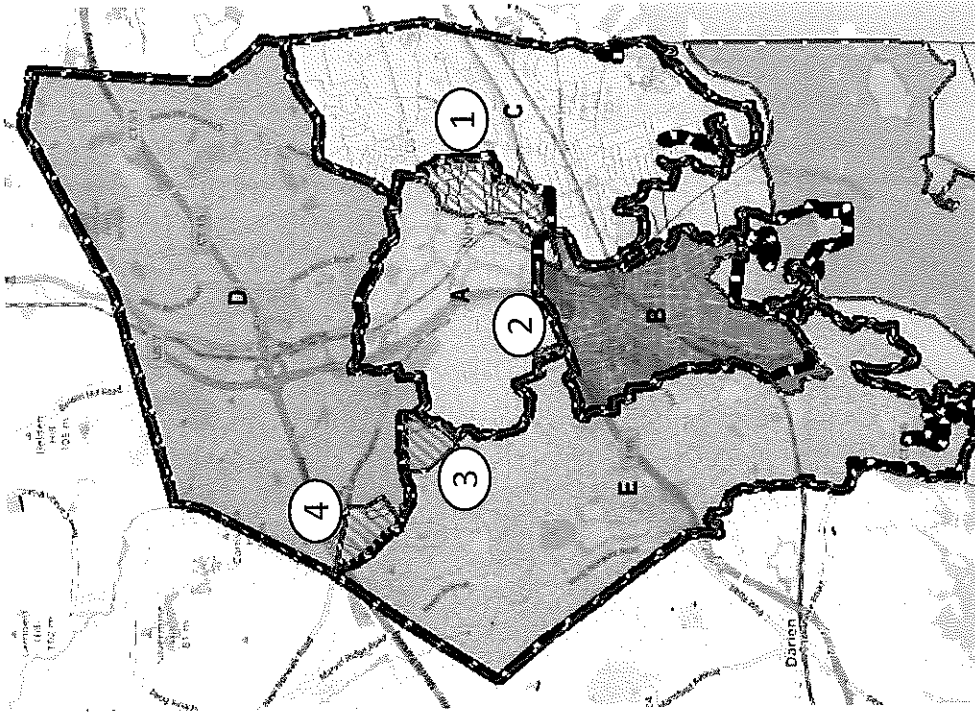
	Hispanic	NH White	NH Black	NH AIAN	NH Asian	NH NHOP	NH Other	NH - 2+ Race	Total
A	7,360	7,653	3051	31	1383	2	177	570	20,227
B	9,038	3,896	3790	34	622	4	135	444	17,963
C	4,300	9,728	1360	5	830	5	96	464	16,788
D	3,084	12,356	1252	16	1095	1	120	570	18,494
E	3,847	10,681	1621	16	842	2	124	579	17,712
									91,184
Racial Ethnic Composition of Each District %									
	Hispanic%	NH White%	NH Black%	NH AIAN%	NH Asian%	NH NHOP %	NH Other%	NH - 2+ Race%	Total
A	36.39%	37.84%	15.08%	0.15%	6.84%	0.01%	0.88%	2.82%	100.00%
B	50.31%	21.69%	21.10%	0.19%	3.46%	0.02%	0.75%	2.47%	100.00%
C	25.61%	57.95%	8.10%	0.03%	4.94%	0.03%	0.57%	2.76%	100.00%
D	16.68%	66.81%	6.77%	0.09%	5.92%	0.01%	0.65%	3.08%	100.00%
E	21.72%	60.30%	9.15%	0.09%	4.75%	0.01%	0.70%	3.27%	100.00%

Districts A & B are Minority Majority District; District B is a Hispanic Majority District; Districts C, D and E are NH White Majority Districts

Current Districts-Total Voting Population By Race

	Hispanic	NH White	NH Black	NH AIAN	NH Asian	NH NHOP	NH Other	NH - 2+ Race	Total
A	5,350	6,772	2,420	24	1,132	2	116	396	16,212
B	6,305	3,498	2,977	26	517	3	93	292	13,711
C	3,048	8,428	1,085	2	675	5	59	307	13,609
D	2,252	10,661	1,007	14	906	1	68	341	15,250
E	2,725	8,804	1,271	11	670	0	75	344	13,900
									72,682
Racial Ethnic Composition of Each District %									
	Hispanic%	NH White%	NH Black%	NH AIAN%	NH Asian%	NH NHOP %	NH Other%	NH - 2+ Race%	Total
A	33.00%	41.77%	14.93%	0.15%	6.98%	0.01%	0.72%	2.44%	100.00%
B	45.98%	25.51%	21.71%	0.19%	3.77%	0.02%	0.68%	2.13%	100.00%
C	22.40%	61.93%	7.97%	0.01%	4.96%	0.04%	0.43%	2.26%	100.00%
D	14.77%	69.91%	6.60%	0.09%	5.94%	0.01%	0.45%	2.24%	100.00%
E	19.60%	63.34%	9.14%	0.08%	4.82%	0.00%	0.54%	2.47%	100.00%

District A & B are Minority Majority District; Districts C, D and E are NH White Majority Districts



Proposed Council Districts

The Maximum Deviation is 3.66%

4 Proposed Changes

1. A to C
2. A to E
3. E to D
4. D to E

Other Changes due to Taxing Districts
A-D, E-B

Proposed Districts -Total Population By Race

	Hispanic	NH White	NH Black	NH AIAN	NH Asian	NH NHOPI	NH Other	NH - 2+ Race	Total
A	6,816	6,399	2861	30	1252	2	165	530	18,055
B	9,038	3,896	3790	34	622	4	135	444	17,963
C	4,699	10,866	1508	6	936	5	107	503	18,630
D	3,133	12,324	1293	16	1094	1	120	579	18,560
E	3,943	10,829	1622	16	868	2	125	571	17,976
									91,184
Racial Ethnic Composition of Each District %									
	Hispanic%	NH White%	NH Black%	NH AIAN%	NH Asian%	NH NHOPI %	NH Other%	NH - 2+ Race%	Total
A	37.75%	35.44%	15.85%	0.17%	6.93%	0.01%	0.91%	2.94%	100.00%
B	50.31%	21.69%	21.10%	0.19%	3.46%	0.02%	0.75%	2.47%	100.00%
C	25.22%	58.33%	8.09%	0.03%	5.02%	0.03%	0.57%	2.70%	100.00%
D	16.88%	66.40%	6.97%	0.09%	5.89%	0.01%	0.65%	3.12%	100.00%
E	21.93%	60.24%	9.02%	0.09%	4.83%	0.01%	0.70%	3.18%	100.00%

Districts A & B are Minority Majority District; District B is a Hispanic Majority District; Districts C, D and E are NH White Majority Districts

Proposed Districts-Total Voting Population By Race

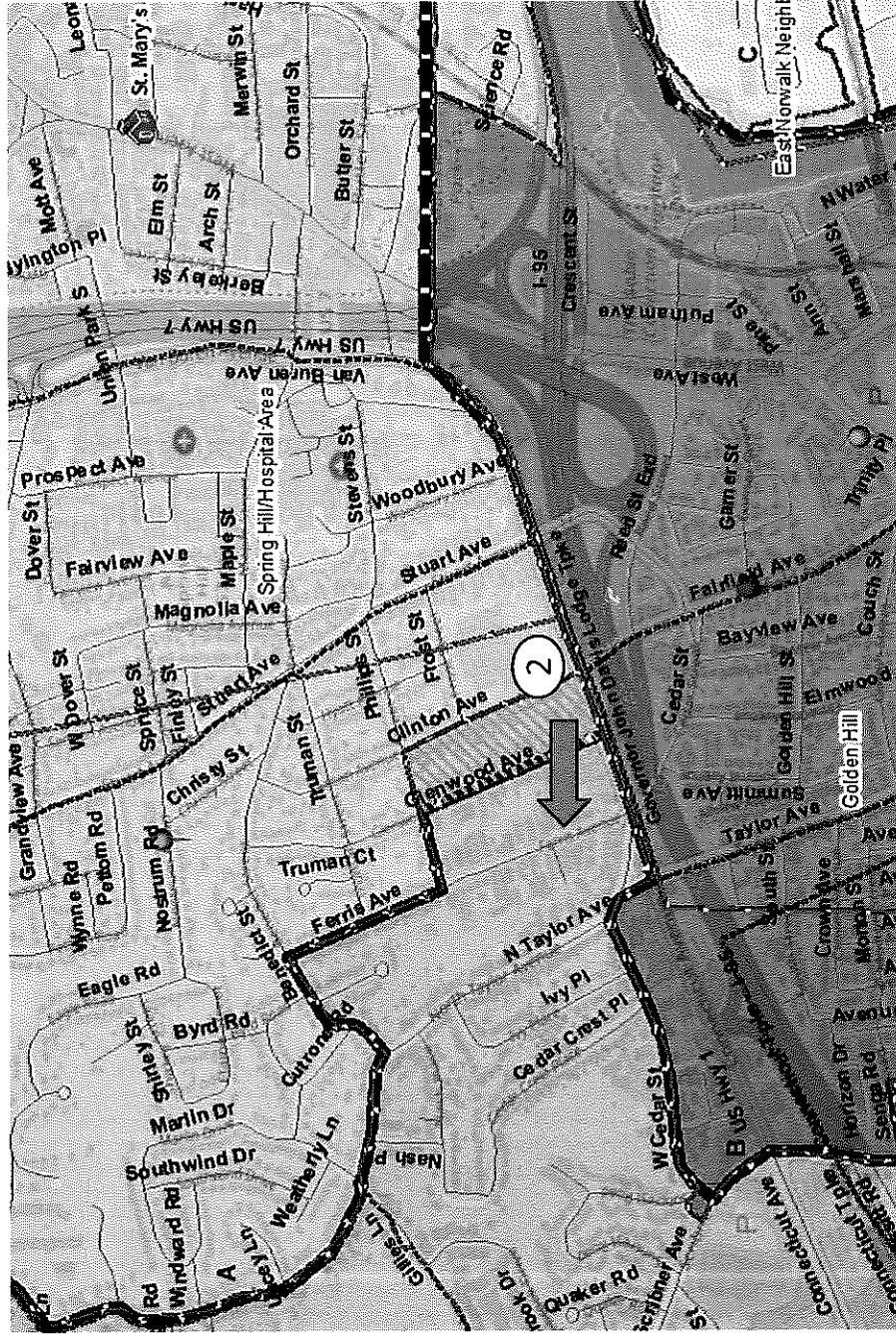
	Hispanic	NH White	NH Black	NH AIAN	NH Asian	NH NHOP	NH Other	NH - 2+ Race	Total
A	4,970	5666	2284	23	1013	2	112	372	14,442
B	6,305	3,498	2977	26	517	3	93	292	13,711
C	3,323	9,424	1193	3	769	5	63	330	15,110
D	2,297	10,631	1043	14	902	1	68	346	15,302
E	2,785	8,944	1263	11	699	0	75	340	14,117
									72,682
Racial Ethnic Composition of Each District %									
	Hispanic%	NH White%	NH Black%	NH AIAN%	NH Asian%	NH NHOP %	NH Other%	NH - 2+ Race%	Total
A	34.41%	39.23%	15.81%	0.16%	6.18%	272.31%	0.54%	30.11%	398.76%
B	45.98%	25.51%	21.71%	0.19%	3.77%	0.02%	0.68%	2.13%	100.00%
C	21.99%	62.37%	7.90%	0.02%	5.09%	0.03%	0.42%	2.18%	100.00%
D	15.01%	69.47%	6.82%	0.09%	5.89%	0.01%	0.44%	2.26%	100.00%
E	19.73%	63.36%	8.95%	0.08%	4.95%	0.00%	0.53%	2.41%	100.00%

District A & B are Minority Majority District; Districts C, D and E are NH White Majority Districts

This is a detailed street map of a neighborhood in Norwalk, Connecticut. The map shows a grid of streets including US Hwy 1, State Hwy 156, and various local roads like George Ave, George St, and George Rd. A large grey arrow points to a specific location on George Ave. A circle with the number '1' is also present. The map includes labels for schools like Tracy Magnet School and St. Mary's Community Hall, and landmarks like Nathan Hale Middle School. The map is oriented with North at the top.

This area has a population of 1,682 and a Voting Age Population of 1,393. 62% of the total population is NH White

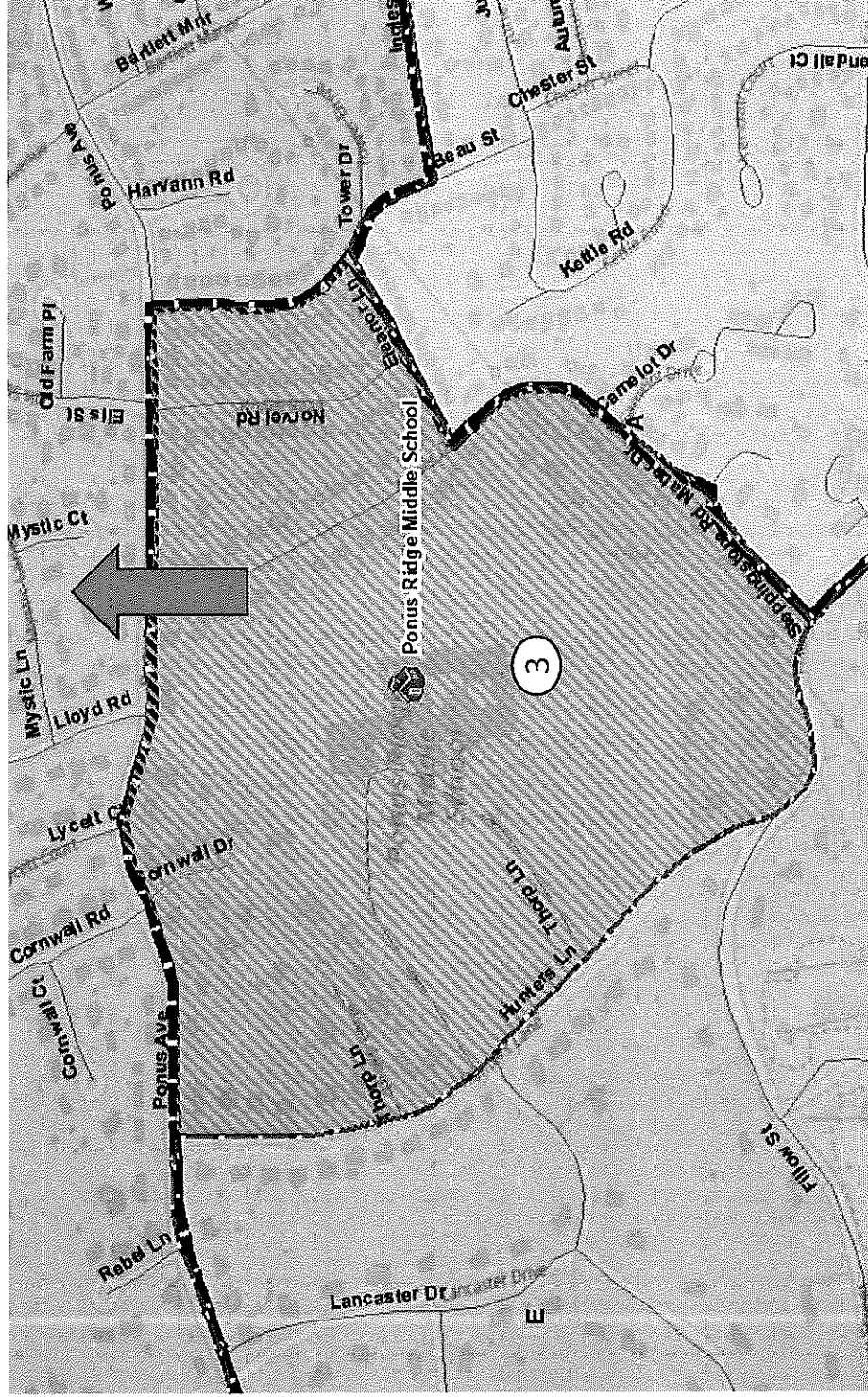
Change 2 – From District A to District E



From Phillips Street to
Glenwood Ave to
Connecticut Ave to
Clinton Ave currently
in District A is now
assigned to District E

This area has a
population of 330 and
a Voting Age
Population of 105.
35% population is NH
White.

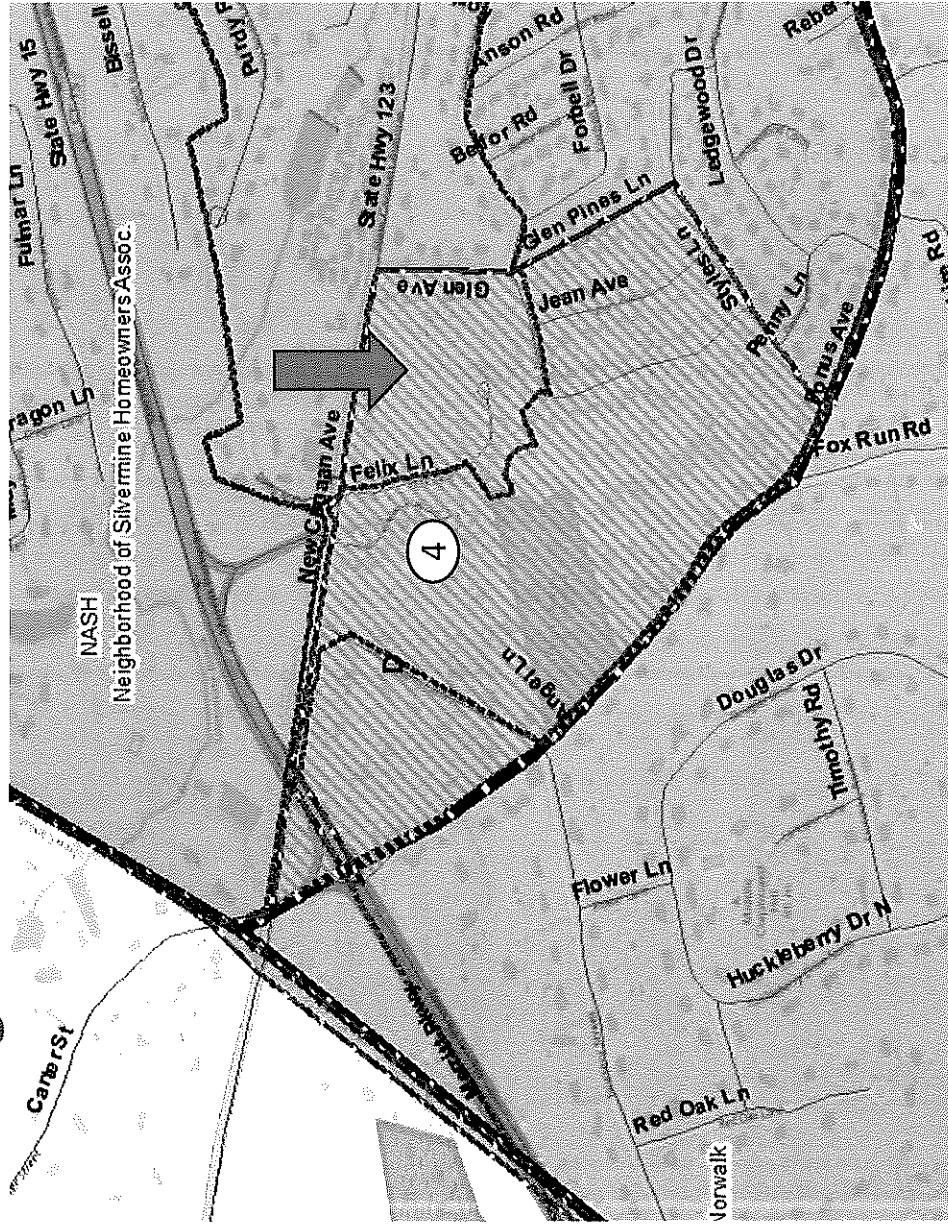
Change 3 – From District E to District D



From Ponus Ave in the North to Hunters Ln, to Stepping Stone Rd, Maher Rd, Elanor Rd, Beau St to Ponus Ave, currently in District E is now assigned to District D. This area has Ponus Ridge Middle School, a polling place used by District D

This area has a population of 351 and a Voting Age Population of 293. 55% population is NH White.

Change 4 – From District D to District E



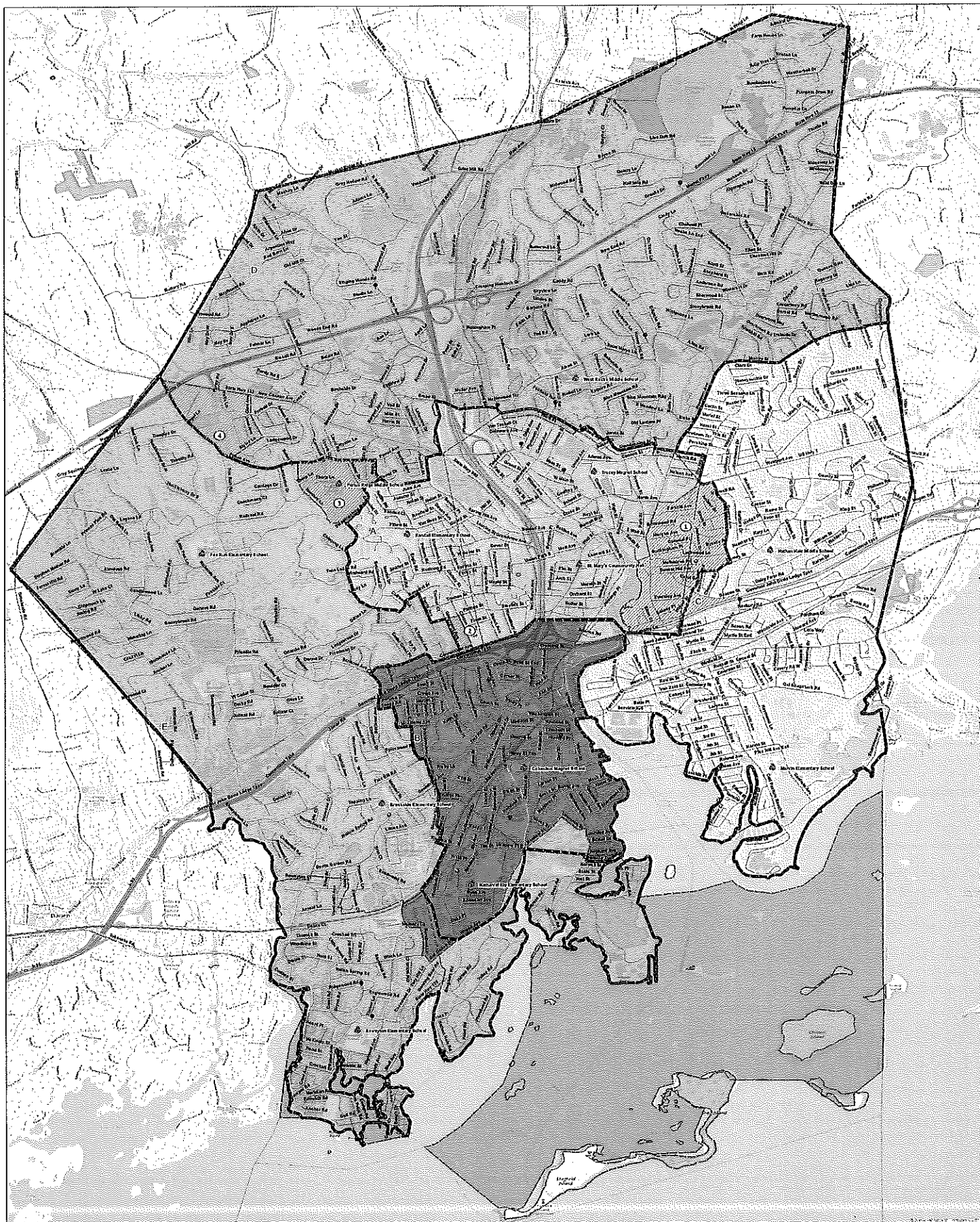
From New Canaan Ave in the north to Ponus Ave, to Styles Ln, Glen Pines Ln, Glen Ave, and back to New Canaan Ave, currently in D is now being assigned to E.

This area has a population of 285 and a Voting Age Population of 241. 79% population is NH White.

Thank You

City of Norwalk - Proposed Plan

Accepted by the Redistricting Advisory Committee on 9-12-24



Legend

Norwalk Voting Locations	Norwalk Officials	Proposed Districts	Taxing Districts
Board of Education	Suggested Changes	Current Council Districts	
Common Council			

0 0.5 1 2 Miles



ARCbridge

**CITY OF NORWALK
PUBLIC SAFETY AND GENERAL GOVERNMENT COMMITTEE OF THE COMMON
COUNCIL
REGULAR MEETING
JULY 25, 2024**

Attendance: Jalin Sead; Chair; Douglas Sutton; Heather Dunn; Nicole' Eaddy; James Frayer

Staff: Michele DeLuca, Deputy Director Emergency Management; Chief Gino Gatto

I. CALL TO ORDER

Ms. Sead called the meeting to order at 7:00PM.

II. ROLL CALL

Mr. Sead called the roll and all members that are listed were in attendance.

III. PUBLIC PARTICIPATION

There were no public comments this evening.

IV. ACCEPTANCE OF MINUTES- MAY 23, 2024

**** MR. FRAYER MOVED TO APPROVE THE MINUTES AS SUBMITTED.**

**** THE MOTION PASSED WITH (4) FOUR IN FAVOR AND (1) ONE ABSTENTION- MS. EADDY**

IV. NEW BUSINESS

- 1. AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE A CONTRACT WITH OVERHEAD DOOR OF HARTFORD, INC. FOR REPLACING FIVE OVERHEAD DOORS IN THE APPARATUS BAY OF THE APPARATUS MAINTENANCE BUILDING (STATION 6), LOCATED AT 100 FAIRFIELD AVENUE, FOR A TOTAL NOT TO EXCEED \$130,212.36. THIS PURCHASE IS THROUGH STATE OF CONNECTICUT CONTRACT #19PSX0111AA. (ACCT.# 09-25-031-31100-0-5777-C0701)**

Chief Gatto said they are looking to replace the apparatus overhead doors at the five fire stations as well as the apparatus maintenance garage and have procured Overhead Door through a sole source procurement which has been approved by the purchasing agent. He said they would like to begin the work at the apparatus maintenance facility and station one.

**** MR. SUTTON MOVED TO AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE A CONTRACT WITH OVERHEAD DOOR OF HARTFORD, INC. FOR REPLACING FIVE OVERHEAD DOORS IN THE APPARATUS BAY OF THE APPARATUS MAINTENANCE BUILDING (STATION 6), LOCATED AT 100 FAIRFIELD AVENUE, FOR A TOTAL NOT TO EXCEED \$130,212.36. THIS PURCHASE IS THROUGH STATE OF CONNECTICUT CONTRACT #19PSX0111AA. (ACCT.# 09-25-031-31100-0-5777-C0701)**

**** THE MOTION PASSED UNANIMOUSLY.**

2. AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE A CONTRACT WITH OVERHEAD DOOR OF HARTFORD, INC. FOR THE REPLACEMENT OF SIX OVERHEAD DOORS IN THE APPARATUS BAY OF STATION 1, LOCATED AT 90 NEW CANAAN AVENUE, FOR A TOTAL NOT TO EXCEED \$123,483.51. THIS PURCHASE IS THROUGH STATE OF CONNECTICUT CONTRACT #19PSX0111AA. (ACCT.# 09-2 5-0 31-31100-0-5 777-C0 701)

**** MR. SUTTON MOVED AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE A CONTRACT WITH OVERHEAD DOOR OF HARTFORD, INC. FOR THE REPLACEMENT OF SIX OVERHEAD DOORS IN THE APPARATUS BAY OF STATION 1, LOCATED AT 90 NEW CANAAN AVENUE, FOR A TOTAL NOT TO EXCEED \$123,483.51. THIS PURCHASE IS THROUGH STATE OF CONNECTICUT CONTRACT #19PSX0111AA. (ACCT.# 09-2 5-0 31-31100-0-5 777-C0 701)**

**** THE MOTION PASSED UNANIMOUSLY.**

3. AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE A CONTRACT WITH MAGGIORE CONSTRUCTION FOR A TOTAL NOT TO EXCEED \$334,274.00 FOR THE REMOVAL AND REINSTALLATION OF THE APPARATUS FLOOR AT STATION 3, LOCATED AT 56 VAN ZANT STREET. THIS PROJECT IS FUNDED THROUGH A GRANT BY THE THIRD TAXING DISTRICT. (ACCT. 09-24-031-31100-0-5776-C0838)

Ms. Dunn moved the item for discussion.

Chief Gatto said this station is owned by the Third Taxing District and we are looking to upgrade the apparatus, but the apparatus floor will need to be replaced because due to the weight of the truck and the height restrictions it will not fit into the station. He said the Third Taxing District has agreed to fund the project and staff will manage the project.

Mr. Frayer asked if this was requested a few years ago. Chief Gatto said the floor was reinforced by adding columns but the correct way to repair the floor is to completely replace it. Mr. Frayer asked how much the repair cost. Chief Gatto said he will need to get that information and report back. Mr. Frayer asked if the Third Taxing District funded the repair and if there is a warranty on the original work. Chief Gatto said he would need to research and report back but even if there was a warranty the floor needs to

now be completely dismantled and the work will be done by a different company. Mr. Frayer asked if the fire department or the city's building management department will be managing the project. Chief Gatto said the building department will be, but fire department staff worked with the engineer to develop the specifications.

Mr. Frayer said he realizes that there will be a fire engine coming that will not fit in the station or the floor will collapse but it is exactly the same excuse he heard five years ago, and he would like to see someone from Mr. Lo's department to confirm the work on the project. Chief Gatto said he can send the committee all the engineering documents. Mr. Frayer said he would like to table this item until there is more information as well as a brief explanation on how the project was funded the last time and send it to the Common Council for approval at the August 13, 2024, meeting. Mr. Sead said even though the city is not directly funding the project the rate payers of the Third Taxing District are taxpayers in Norwalk so he wants to be sure we do our due diligence but to Chief Gatto's point even if the floor was sturdy and can handle the weight the floor still needs to be lowered to fit the new engine so he personally does not see this as being an issue but it is wise to do our due diligence and get the information.

**** MR. FRAYER MOVED TO TABLE THE AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE A CONTRACT WITH MAGGIORE CONSTRUCTION FOR A TOTAL NOT TO EXCEED \$334,274.00 FOR THE REMOVAL AND REINSTALLATION OF THE APPARATUS FLOOR AT STATION 3, LOCATED AT 56 VAN ZANT STREET. THIS PROJECT IS FUNDED THROUGH A GRANT BY THE THIRD TAXING DISTRICT.**

(ACCT. 09-24-031-31100-0-5776-C0838)

**** THE MOTION PASSED UNANIMOUSLY.**

V. ADJOURNMENT

**** MS. EADDY MOVED TO ADJOURN.**

**** THE MOTION PASSED UNANIMOUSLY.**

The meeting was adjourned at 7:25PM.

Respectfully submitted,

Dilene Byrd

CITY OF NORWALK

FIRE DEPARTMENT

Office of Chief Gino Gatto

121 CONNECTICUT AVENUE
NORWALK, CONNECTICUT 06854



Tel: (203) 854-0230

Fax: (203) 854-0234

October 17, 2024

To: Common Council, Public Safety and General Government Committee

From: Chief Gino Gatto

RE: Common Council Authorizations for:

AMENDED AND RESTATED INTERLOCAL AGREEMENT FAIRFIELD COUNTY HAZARDOUS INCIDENT RESPONSE TEAM

October 17, 2024

Background:

This Interlocal Agreement (the "Agreement") is by and among 14 Connecticut municipalities to provide for the safe and efficient response to hazardous materials spills, natural and man-made regional emergencies and other incidents within the borders of the Municipalities and for the effective and well-coordinated training of personnel.

AUTHORIZE THE MAYOR HARRY W. RILLING TO EXECUTE THE MULTI-MUNICIPALITY INTERLOCAL AGREEMENT ENTITLED "AMENDED AND RESTATED INTERLOCAL AGREEMENT, FAIRFIELD COUNTY HAZARDOUS INCIDENT RESPONSE TEAM."

Respectfully,

Chief Gino Gatto

MEMORANDUM

From: Mario Coppola

To: Harry W. Rilling, Mayor
Members of the Common Council

Date: September 30, 2024

Re: Fairfield County Hazardous Incident Response Team -
Amended and Restated Interlocal Agreement

.....

In 1999, the City of Bridgeport adopted an interlocal agreement for Hazardous Materials Response Mutual Aid (the "1999 Agreement"). Under the 1999 Agreement, the Chiefs of the participating Fire Departments (the "Fire Chiefs") created a group known as the Fairfield County Hazardous Incident Response Team ("FCHIRT").

The 1999 Agreement provides no legal entity structure for FCHIRT. Lack of legal entity structure means that FCHIRT is unable to obtain a federal employer identification number (EIN), open a bank account, accept donations, apply for grants or enter into mutual aid agreements with non-municipal entities. Previously, FCHIRT has carried on to date by using the EIN of the Town of Westport and keeping its funds in a bank account in the name of the Town of Westport.

Counsel for one of the participating Fire Departments worked with the Fire Chiefs to develop an Amended and Restated Interlocal Agreement (the "Agreement"), the driving purpose of which was to authorize the incorporation of FCHIRT as a non-stock corporation with the intention for the newly formed corporation to apply for 501(c) non-profit status.

A copy of the Agreement is attached hereto as Exhibit 1. A summary of the terms of the Agreement are as follows:

1. Purpose: The purpose of the Agreement is to provide for the safe and efficient response to hazardous materials spills, natural and man-made regional emergencies and other incidents within the borders of the participating municipalities and for the effective and well-coordinated training of personnel.

2. Operational Matters: The Agreement addresses operational protocol, e.g. - emergency response procedures, request for mutual-aid assistance, chain of command, reporting procedures, etc.

3. Term. This Agreement shall remain in effect until terminated by action of the legislative bodies of a majority of the participating municipalities; however, any municipality may withdrawal from the Agreement at any time upon providing written notice to the other participating municipalities.

4. Incorporation: The Agreement provide that FCHIRT shall be incorporated as a non-stock 501(c) non-profit corporation. The legal corporate name of FCHIRT shall be Fairfield County Hazardous Incident Response Team, Inc. It further provides for corporate governance by a board of directors with each participating municipalities Fire Chief have a seat on the board.

5. Participation Fee: Each participating municipality is required to pay an annual participation fee (or provides services of equivalent value) which, at the time of execution of the Agreement, is \$3,000.

6. Grants: FCHIRT shall have the authority to apply for and receive grants for the purchase of operational equipment and training and educational programs. If FCHIRT receives grant funds for the purchase of operational equipment, FCHIRT shall, by majority vote of FCHIRT's board of directors, either transfer the grant funds to a participating municipality for procurement of the equipment or procure the equipment and assign title to a participating municipality.

7. Employees: FCHIRT will not have employees. Except in the context of a response to an emergency under the Agreement, no employee of a participating municipality shall have the right or authority to direct the performance of services by an employee of another municipality.

8. Insurance: Each participating municipalities is required to maintain customary insurance coverages with respect to their respective participating employee and equipment used in responding to incidents. However, FCHIRT will maintain directors and officer's liability insurance and fidelity/crime insurance coverage.

9. Cross Indemnification: The Agreement requires a cross indemnification such that each participating municipalities agrees to indemnify and hold each other harmless from any and all claims, causes of action and lawsuits arising out of the negligent or willful misconduct of their respective employees, agents and volunteers.

10. Amendment. The Agreement may be amended by a majority of the participating Municipalities.

The following authorization is proposed for your approval:

AUTHORIZE THE MAYOR, HARRY W. RILLING TO THE FAIRFIELD COUNTY HAZARDOUS INCIDENT RESPONSE TEAM AMENDED AND RESTATED INTERLOCAL AGREEMENT (THE "AGREEMENT") AND ALL OTHER AGREEMENT AND DOCUMENTS NECESSARY TO EFFECUTATE THE PURPOSE OF AGREEMENT.

**AMENDED AND RESTATED INTERLOCAL AGREEMENT
FAIRFIELD COUNTY HAZARDOUS INCIDENT RESPONSE TEAM**

Revised October 11, 2022 2:04 p.m.

This Interlocal Agreement (the “Agreement”) is by and among the Connecticut municipalities in the left column below (listed in alphabetical order, each a “Municipality” and collectively, the “Municipalities”) by their respective chief elected officers.

MUNICIPALITIES

PARTICIPATING FIRE DEPARTMENTS

CITY OF BRIDGEPORT	BRIDGEPORT FIRE DEPARTMENT
TOWN OF DARIEN	THE DARIEN FIRE DEPARTMENT INCORPORATED THE NOROTON FIRE DEPARTMENT, INCORPORATED THE NOROTON HEIGHTS FIRE DEPARTMENT, INCORPORATED
TOWN OF EASTON	EASTON VOLUNTEER FIRE CO INCORPORATED
TOWN OF FAIRFIELD	FAIRFIELD FIRE DEPARTMENT
TOWN OF GREENWICH	GREENWICH FIRE DEPARTMENT
TOWN OF MONROE	MONROE VOLUNTEER FIRE DEPARTMENT NO. 1, INC. THE STEPNEY VOLUNTEER FIRE COMPANY, NO. 1, INC. STEVENSON VOLUNTEER FIRE COMPANY, INCORPORATED
TOWN OF NEW CANAAN	NEW CANAAN FIRE DEPARTMENT
CITY OF NORWALK	NORWALK FIRE DEPARTMENT THE ROWAYTON HOSE COMPANY NO. 1, INCORPORATED
CITY OF STAMFORD	STAMFORD FIRE DEPARTMENT
TOWN OF STRATFORD	STRATFORD FIRE DEPARTMENT
TOWN OF TRUMBULL	LONG HILL FIRE DISTRICT TRUMBULL CENTER FIRE DISTRICT NICHOLS FIRE DISTRICT
TOWN OF WESTON	THE WESTON VOLUNTEER FIRE DEPARTMENT, INCORPORATED
TOWN OF WESTPORT	WESTPORT FIRE DEPARTMENT
TOWN OF WILTON	WILTON FIRE DEPARTMENT

RECITALS

- A. For purposes of this Agreement, "Participating Fire Departments" means and includes the career and volunteer fire departments listed in the right column on Page 1.
- B. In addition to the chief elected officers of the Municipalities, the chiefs of the Participating Fire Departments (each, a "Chief" and collectively, the "Chiefs") have indicated their approval of this Agreement by signing next to the chief elected officials of the Municipalities in which their respective Participating Fire Departments are located.
- C. The Municipalities, except for the Town of Greenwich (collectively, the "Original Municipalities"), entered into a Hazardous Materials Response Assistance Mutual Aid Agreement For Additional Fire Protection dated June 11, 1999 (the "1999 Agreement").
- D. The Town of Greenwich joined the Original Municipalities by adopting the 1999 Agreement at a later date.
- E. Under the 1999 Agreement, the Municipalities pledged to contribute personnel and equipment to a group which came to be known as the Fairfield County Hazardous Incident Response Team ("FCHIRT").
- F. The 1999 Agreement was intended to improve response to hazardous materials incidents and other emergencies within the region by permitting the Chief of a Participating Fire Department to call upon personnel and equipment on FCHIRT's roster to respond to an incident beyond the resources available within the Participating Fire Department.
- G. Since 1999, the Chiefs have expanded FCHIRT's role to include assistance with field communications and assistance with natural and man-made regional emergencies.
- H. The 1999 Agreement does not address the legal status of FCHIRT, leaving FCHIRT as an undefined and unincorporated association, not recognized as a legal entity under Connecticut law.
- I. FCHIRT maintains a roster of personnel specially trained to respond to spills of hazardous materials, coordinate field communications and respond to natural and man-made regional emergencies (the "Personnel Roster").
- J. FCHIRT has no employees, the personnel appearing on the Personnel Roster being career firefighters employed by the Municipalities or volunteering for the Participating Fire Departments, as applicable, along with a small number of police and dispatch personnel employed by the Municipalities.
- K. FCHIRT maintains a list of specialized emergency response equipment (the "Equipment Roster").

- L. FCHIRT owns no equipment, all of the equipment appearing on the Equipment Roster being owned by various Municipalities and stored in facilities maintained by various Participating Fire Departments.
- M. As to employment relationships and equipment ownership, the Municipalities desire to continue the status quo.
- N. As to legal status, the Municipalities have concluded that FCHIRT's undefined and unincorporated status presents a number of disadvantages and that incorporating FCHIRT under the Connecticut Non-Stock Corporation Act will allow FCHIRT to: adopt suitable bylaws; elect a board of directors and officers; obtain a federal taxpayer identification number; open one or more bank accounts; adopt budgets; establish fees for services; collect insurance claims from insured spillers; apply to the Internal Revenue Service for recognition as a tax-exempt organization; solicit tax deductible charitable contributions from citizens and regional businesses; apply for grants; enter into contracts with providers of services and materials; and enter into mutual aid agreements with non-governmental entities.

NOW THEREFORE, the Municipalities agree as follows.

1. Amendment and Restatement. This Agreement amends and restates the 1999 Agreement.
2. Statutory Authority. Authority for this Agreement is derived from CGS Sections 7-339a through 7-339l.
3. Effective Upon Signature. This Agreement shall be effective on the date that this Agreement has been signed by the chief elected officers of eight (8) Municipalities (the "Effective Date"). If the chief elected officers of at least eight (8) Municipalities have not signed this Agreement by December 31, 2023, then this Agreement shall be void. The signature of the Chief of each Participating Fire Department indicates that he or she has reviewed and approved the terms of this Agreement and has recommended it to the chief elected officer of the Municipality in which his or her Participating Fire Department is located.
4. Purposes. The purposes of this Agreement are to provide for the safe and efficient response to hazardous materials spills, natural and man-made regional emergencies and other incidents within the borders of the Municipalities and for the effective and well coordinated training of personnel.
5. Operational Matters.
 - a. Emergency Response Procedures. FCHIRT has established written procedures for requesting and providing assistance, communications and deployment of personnel and equipment ("Emergency Response Procedures"). FCHIRT will disseminate the Emergency Response Procedures to each Participating Fire Department. FCHIRT will solicit and respond to comments with respect to improvement of the

Emergency Response Procedures and will disseminate amendments to the Participating Fire Departments.

- b. Response to Incident Scenes. FCHIRT Directors, FCHIRT Officers and FCHIRT Technicians will not act on behalf of FCHIRT at the scene of any incident. If an FCHIRT Director, FCHIRT Officer or FCHIRT Technician responds to an incident, all of his or her actions and decisions shall be taken solely in his or her capacity as an agent or employee of the Municipality by whom he or she is employed or the Participating Fire Department for whom he or she volunteers.
- c. Requests for Assistance. If an Officer-In-Charge determines that hazardous material control equipment or other emergency assistance is required beyond that which the Participating Fire Department can furnish with its own resources, the Officer-In-Charge may make a Request for Assistance. If the Requesting OIC happens to be an FCHIRT Director, FCHIRT Officer or FCHIRT Technician, the Requesting OIC shall make the Request for Assistance in his or her capacity as Officer-In-Charge.
- d. Responses to Requests for Assistance. Upon receipt of a Request for Assistance, the Responding OIC shall order that FCHIRT Technicians and Equipment be deployed to the incident scene except to the extent that the personnel or equipment are unavailable. An FCHIRT Technician will be considered unavailable if the Responding OIC determines that the FCHIRT Technician is required at the scene of another incident, if the FCHIRT Technician is on leave or otherwise too far away to respond. Equipment will be considered unavailable if the Responding OIC determines that it is required at the scene of another incident or if the Equipment is not operational. If the Responding OIC determines that an FCHIRT Technician or Equipment is unavailable, the Responding OIC shall immediately inform the Requesting OIC. No FCHIRT Director, FCHIRT Officer or FCHIRT Technician, will, acting in his or her capacity as FCHIRT Director, FCHIRT Officer or FCHIRT Technician, initiate a response or deploy FCHIRT Technicians or Equipment to the scene of any incident, a Request for Assistance by an Officer-In-Charge being an essential precondition to each response or deployment of FCHIRT Technicians and Equipment.
- e. Incident Command. At each incident scene, the Requesting OIC shall be in command of operations. If the Requesting OIC requests that a senior officer of a Responding Department assume command, then the Requesting OIC shall not be relieved of responsibility for operations at the scene. FCHIRT Technicians and Equipment of Responding Departments shall be under the immediate supervision and responsibility of their respective Responding OICs who shall, in turn, be under the supervision of the Requesting OIC.
- f. Incident Reports and Analysis. FCHIRT shall receive, collect and analyze reports from officers of Requesting Departments and Responding Departments and shall

disseminate to the Participating Fire Departments analysis and recommendations for tactical and logistical improvements.

- g. Equipment Inspections and Replacement. FCHIRT officers shall coordinate with Participating Fire Departments the inspection of Equipment and shall remove Equipment from the Equipment Roster as Equipment is taken out of service. FCHIRT Officers shall consult with Participating Fire Departments regarding equipment replacement schedules and the need to replace damaged, worn out or obsolete Equipment.
6. Term. This Agreement shall remain in effect until terminated by action of the legislative bodies of a majority of the Municipalities.
7. Incorporation of FCHIRT. FCHIRT shall be incorporated as a non-stock corporation under the Connecticut Revised Nonstock Corporation Act. The legal corporate name of FCHIRT shall be Fairfield County Hazardous Incident Response Team, Inc.
8. Corporate Governance. Each Municipality shall be considered a member of the corporation and shall be entitled to one seat on the board of directors of the corporation. The board of directors of FCHIRT shall be comprised of the Chiefs of the Participating Fire Departments, except that, if a Municipality has: (a) more than one volunteer fire department and no career fire departments, then only one of the Chiefs of the volunteer fire departments shall be a director at any time; or (b) one or more volunteer fire departments in addition to a career fire department, then only the Chief of the career fire department shall be a director. If a Municipality has no career fire departments and more than one volunteer fire department then the Chiefs of volunteer fire departments shall rotate membership on the board of directors of FCHIRT annually in the order in which the volunteer fire departments were organized, from oldest department to newest department. Decisions within the purview of the members and directors of FCHIRT shall be made by majority vote of the members or directors, as applicable.
9. Tax Exempt Organization. FCHIRT shall apply to the Internal Revenue Service for recognition as a tax exempt organization under Section 501(c) of the Internal Revenue Code. FCHIRT may solicit and accept gifts, donations, grants and charitable contributions.
10. Ownership of Property. FCHIRT shall not own any real estate, registered or non-registered motor vehicles, apparatus or operational equipment of any kind. Title to each piece of Equipment shall be held at all times by one of the Municipalities. FCHIRT may place a label or mark upon equipment listed on the Equipment Roster for purposes of identification. Any such label or mark shall not be construed as indicia of ownership. Tangible property owned by FCHIRT shall be limited to office equipment, office furniture and supplies.
11. Office Space. The Participating Fire Department in which the president of FCHIRT serves shall provide incidental office space to FCHIRT without charge. FCHIRT shall initially maintain its office at the Nichols Fire Department.

12. Fiscal Year and Budgets. FCHIRT will have a fiscal year beginning July 1 and ending June 30. The board of directors of FCHIRT shall establish a budget for each fiscal year.
13. Fees. Each Municipality shall pay an annual membership fee or provide services or equipment to FCHIRT of equivalent value. As of the date of the Effective Date, the membership fee is \$3,000 (the "Membership Fee"). The board of directors of FCHIRT shall have the authority to determine the value of services or equipment provided by a Municipality in lieu of paying the Membership Fee. FCHIRT shall have the right to settle and collect insurance claims from insured spillers with respect to incidents.
14. Adjustments in Fees. The Membership Fee may be adjusted from time to time by majority vote of FCHIRT's directors.
15. Grants. FCHIRT shall have the authority to apply for and receive grants for the purchase of operational equipment and training and educational programs. If FCHIRT receives grant funds for the purchase of operational equipment, FCHIRT shall, by majority vote of FCHIRT's board of directors, either transfer the grant funds to a Municipality for procurement of the equipment or procure the equipment and assign title to a Municipality.
16. Training and Certification Programs. FCHIRT may schedule and coordinate training, drills and certification programs ("TDC Programs"). Each individual participating in a TDC Program must have authorization from the Chief of his or her Participating Fire Department and will be deemed to be acting in his or her capacity as an employee or agent of his or her Municipality or Participating Fire Department, as applicable, for the duration of each TDC Program. Personnel of Participating Fire Departments making presentations or acting as instructors at TDC Programs will be acting as employees or agents of their respective Municipalities or Participating Fire Departments, as applicable, when making presentations or acting as instructors. FCHIRT may reimburse Municipalities and Participating Fire Departments for the cost of personnel, materials and facilities provided for TDC Programs. FCHIRT may retain the services of outside trainers or instructors for TDC Programs upon receipt of confirmation that the trainer or instructor is covered under a satisfactory insurance policy.
17. Employees. Career firefighters and other agents of municipal public safety agencies appearing on the Personnel Roster shall remain employees of their respective Municipalities or Participating Fire Departments, as applicable. Except in the context of a response to an emergency and then only pursuant to the Emergency Response Procedures, no official of any Municipality or Participating Fire Department shall have the right or authority to direct the performance of services by an employee of another Municipality or Participating Fire Department. No official of any Municipality or Participating Fire Department shall have the right to modify the terms or conditions of employment of an employee of another Municipality or Participating Fire Department. The Municipalities or Participating Fire Departments, as applicable, shall be responsible for all compensation and benefits of their respective firefighters and other agents, including, without limitation, wages, overtime, health insurance, pension and retirement plan contributions, family and

medical leave, vacation time and sick time. This Agreement shall not be construed as granting rights to employees, agents or volunteers of any Municipality or Participating Fire Department to participate in any collective bargaining agreement to which any other Municipality or Participating Fire Department is a party or to participate in any health care or retirement benefit plan sponsored by another Municipality or Participating Fire Department.

18. Mutual Aid Agreements With Non-Municipal Entities. FCHIRT may enter into mutual aid agreements with non-municipal entities such as airports and private industrial facilities that employ specially trained personnel or specially designed equipment.
19. Withdrawal. A Municipality may withdraw from this Agreement for any reason upon delivery of Notice to the other Municipalities.
20. Insurance. The Municipalities will maintain their customary insurance coverages with respect to their respective FCHIRT Technicians and Equipment. FCHIRT will maintain directors and officers liability insurance and fidelity/crime insurance coverage.
21. Cross Indemnification. To the extent permitted by law, the Municipalities shall indemnify and hold each other harmless from any and all claims, causes of action and lawsuits arising out of the negligent or willful misconduct of their respective employees, agents and volunteers. The cross indemnification covenants under this Section shall survive the termination of this Agreement or withdrawal of a Municipality.
22. No Advisory Board. The Municipalities find that no interlocal advisory board, as permitted by CGS Section 7-339b(a)(2), is required to accomplish the purposes of this Agreement.
23. Amendment. This Agreement may not be amended except by written agreement signed by the chief elected officers of at least a majority of the Municipalities. Any Municipality may propose an amendment to the other Municipalities.
24. Additional Jurisdictions. Additional towns and cities may be added as parties to this Agreement upon majority vote of the board of directors of FCHIRT and written acceptance of the terms of this Agreement.
25. Assignment. The rights and obligations of the Municipalities under this Agreement are not assignable.
26. Dispute Resolution. Except with respect to the institution of legal proceedings which seek equitable relief, appeal or judgment enforcement, disputes arising under this Agreement shall be resolved as follows.
 - a. Negotiation. The chief elected officers of the Municipalities involved in the dispute shall meet either alone or together with their respective advisors, in the spirit of good faith, to attempt to negotiate a resolution of the dispute by mutual agreement in writing. If a dispute is between one or more Municipalities and

FCHIRT, then the duly elected president of FCHIRT shall participate in the negotiations.

- b. Mediation. If the chief elected officers of the involved Municipalities (and the president of FCHIRT, if applicable) are unable to resolve the dispute by mutual agreement under Section 26(a) within two (2) weeks following the initiation of negotiations, then the dispute shall be submitted to non-binding mediation between the parties and a mediator to be jointly selected by the involved Municipalities (and FCHIRT, if applicable) (each a “Party” and collectively, the “Parties”). A Party seeking to resolve a dispute hereunder shall give Notice to the other Parties that it wishes to begin the mediation process. Upon receipt of such Notice, the Parties shall meet to mutually select a mediator. The mediation process shall be deemed initiated upon the receipt of the aforementioned Notice by the receiving Party.
 - c. Arbitration. If the dispute is not resolved by mediation under Section 26(b) within a period of three (3) weeks following the initiation of mediation as set forth above, then a Party may demand that the dispute be submitted to binding arbitration in accordance with the Commercial Arbitration Rules of the American Arbitration Association (the “Commercial Arbitration Rules”) and upon such demand, the dispute shall be submitted to arbitration in Fairfield County, Connecticut. Arbitration shall be before a single arbitrator appointed in accordance with the Commercial Arbitration Rules. All arbitration hearings conducted hereunder, and all judicial proceedings to enforce any of the provisions of this Agreement, shall take place in Fairfield County, Connecticut. The Parties hereby expressly consent to such venue and to the personal and subject matter jurisdiction of such courts and such proceedings. Notice shall be given and the hearing conducted in accordance with the provisions of the Commercial Arbitration Rules. The arbitrator shall hear and determine the matter and shall execute and acknowledge its award in writing and deliver a copy thereof to each Party by registered or certified mail. A judgment confirming the award of the arbitrator may be rendered in any court having jurisdiction. Costs and expenses of arbitration, including, but not limited to, the fees of the arbitrator, shall be borne by the non-prevailing Party or in such proportion as the arbitrator shall determine.
27. Authorization. Each individual signing this Agreement on behalf of a Municipality represents that he or she is the chief elected officer of his or her Municipality and that he or she has obtained all requisite authority to bind the Municipality he or she serves to the provisions of this Agreement. Each individual signing on behalf of a Participating Fire Department represents that he or she is the Chief of the Participating Fire Department.
28. No Waiver. No failure on the part of any Party to exercise and no delay in exercising, and no course of dealing with respect to, any right, remedy, power or privilege under this Agreement shall operate as a waiver of such right, remedy, power or privilege, nor shall any single or partial exercise of any right, remedy, power or privilege under this Agreement preclude any other or further exercise of any such right, remedy, power or privilege or the exercise of any other right, remedy, power or privilege. The rights, remedies, powers and

privileges provided in this Agreement are cumulative and not exclusive of any rights, remedies, powers and privileges provided by law.

29. Governing Law. This Agreement shall be governed by and construed in accordance with the laws of the State of Connecticut.
30. Counterparts. This Agreement may be executed in any number of counterparts, each of which when so executed shall be deemed to be an original, and all of which when taken together shall constitute one and the same Agreement. The Municipalities agree that this Agreement may be transmitted among them by electronic mail and, upon evidence of receipt of same, shall constitute delivery of this Agreement. The Municipalities intend that electronic signatures constitute original signatures and that an Agreement containing the signature (original or electronic) of the chief elected officer of a Municipality is binding on the Municipality once sent via electronic mail.
31. Captions. The captions and section headings appearing in this Agreement are included solely for convenience of reference and are not intended to affect the interpretation of any provision of this Agreement.
32. Defined Terms. Capitalized words phrases and acronyms appearing in this Agreement shall have the meanings ascribed to them below.
- a. “CGS” means the Connecticut General Statutes, as amended.
 - b. “Equipment” means and includes a registered or non-registered motor vehicle, apparatus or other operational equipment identified on the Equipment Roster.
 - c. “FCHIRT Director” means an individual serving on the board of directors of FCHIRT.
 - d. “FCHIRT Officer” means an individual serving as the president, vice president, corresponding secretary, recording secretary, treasurer or assistant treasurer of FCHIRT.
 - e. “FCHIRT Technician” means an individual whose name appears on the Personnel Roster.
 - f. “Municipality” shall have the meaning ascribed to it under CGS Section 7-148cc, notwithstanding the definition indicated on Page 1. Specifically, “Municipality” means any municipality, as defined in CGS Section 7-187, any district, as defined in CGS Section 7-324, any metropolitan district or any municipal district created under CGS Section 7-330 and located within the State of Connecticut.
 - g. “Notice” means only written notification given by one Municipality to another Municipality or to FCHIRT. Notice may be given only by: a form of US Mail in which the recipient is required to sign a receipt (such as certified, return receipt); a

nationally recognized courier service which requires the recipient to sign a receipt (such as Federal Express or UPS Next Day). All Notices will be effective on receipt. Notices must be given to a Municipality at its Notice Address.

- h. "Notice Address" for each Municipality means the address indicated in Schedule A. The Notice address for FCHIRT is Fairfield County Hazardous Incident Response Team, Inc., 100 Shelton Road, Trumbull, CT 06611, Attention Andrew Kingsbury.
- i. "Officer-In-Charge" means, in the context of an emergency response incident, the officer in charge of the Participating Fire Department within the territory of which the incident occurs.
- j. "Request for Assistance" means a request made by an Officer-In-Charge that one or more FCHIRT Technicians or Equipment be deployed to the scene of an emergency response incident.
- k. "Requesting Department" means a Participating Fire Department the Officer-In-Charge of which makes a Request for Assistance.
- l. "Requesting OIC" means an Officer-In-Charge that makes a Request for Assistance.
- m. "Responding Department" means a Participating Fire Department that deploys one or more FCHIRT Technicians or Equipment in response to a Request for Assistance.
- n. "Responding OIC" means the Officer-In-Charge of a Participating Fire Department that deploys one or more FCHIRT Technicians or Equipment in response to a Request for Assistance.

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IN WITNESS WHEREOF, the undersigned have executed this Agreement on the dates indicated below.

CITY OF BRIDGEPORT

Signature _____

Name _____

Title _____

Date _____

BRIDGEPORT FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

TOWN OF DARIEN

Signature _____

Name _____

Title _____

Date _____

THE DARIEN FIRE DEPARTMENT INCORPORATED

Signature _____

Name _____

Title _____

Date _____

**THE NOROTON FIRE DEPARTMENT,
INCORPORATED**

Signature _____

Name _____

Title _____

Date _____

**THE NOROTON HEIGHTS FIRE DEPARTMENT,
INCORPORATED**

Signature _____

Name _____

Title _____

Date _____

TOWN OF EASTON

Signature _____

Name _____

Title _____

Date _____

EASTON VOLUNTEER FIRE CO INCORPORATED

Signature _____

Name _____

Title _____

Date _____

TOWN OF FAIRFIELD

Signature _____

Name _____

Title _____

Date _____

FAIRFIELD FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

TOWN OF GREENWICH

Signature _____

Name _____

Title _____

Date _____

GREENWICH FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

TOWN OF MONROE

Signature _____

Name _____

Title _____

Date _____

MONROE VOLUNTEER FIRE DEPARTMENT NO. 1,
INC.

Signature _____

Name _____

Title _____

Date _____

THE STEPNEY VOLUNTEER FIRE COMPANY, NO. 1,
INC.

Signature _____

Name _____

Title _____

Date _____

STEVENSON VOLUNTEER FIRE COMPANY,
INCORPORATED

Signature _____

Name _____

Title _____

Date _____

TOWN OF NEW CANAAN

Signature _____

Name _____

Title _____

Date _____

NEW CANAAN FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

CITY OF NORWALK

Signature _____

Name _____

Title _____

Date _____

NORWALK FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

**THE ROWAYTON HOSE COMPANY NO. 1,
INCORPORATED**

Signature _____

Name _____

Title _____

Date _____

CITY OF STAMFORD

Signature _____

Name _____

Title _____

Date _____

STAMFORD FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

TOWN OF STRATFORD

Signature _____

Name _____

Title _____

Date _____

STRATFORD FIRE DEPARTMENT

Signature _____

Name _____

Title _____

Date _____

TOWN OF TRUMBULL

LONG HILL FIRE DISTRICT

LONG HILL FIRE DISTRICT

Signature:

Signature:

Signature:

Name:

Name:

Name:

Title: First Selectwoman

Title: Chief of Department

Title: Commissioner

Date:

Date:

Date:

TRUMBULL CENTER FIRE DISTRICT

TRUMBULL CENTER FIRE DISTRICT

Signature:

Signature:

Name:

Name:

Title: Chief of Department

Title: Commissioner

Date:

Date:

NICHOLS FIRE DISTRICT

NICHOLS FIRE DISTRICT

Signature:

Signature:

Name:

Name:

Title: Chief of Department

Title: Commissioner

Date:

Date:

TOWN OF WESTON

THE WESTON VOLUNTEER FIRE DEPARTMENT,
INCORPORATED

Signature _____

Signature _____

Name _____

Name _____

Title _____

Title _____

Date _____

Date _____

TOWN OF WESTPORT

WESTPORT FIRE DEPARTMENT

Signature _____

Signature _____

Name _____

Name _____

Title _____

Title _____

Date _____

Date _____

TOWN OF WILTON

WILTON FIRE DEPARTMENT

Signature _____

Signature _____

Name _____

Name _____

Title _____

Title _____

Date _____

Date _____

{End of signature pages. The next page is Schedule A.}

SCHEDULE A
NOTICE ADDRESSES

City of Bridgeport
45 Lyon Terrace
Bridgeport, CT 06604
Attention: Mayor

Town of Darien
2 Renshaw Road
Darien, CT 06820
Attention: First Selectman

Town of Easton
225 Center Road
Easton, CT 06612
Attention: First Selectman

Town of Fairfield
611 Old Post Road
Fairfield, CT 06824
Attention: First Selectman

Town of Greenwich
101 Field Point Road
Greenwich, CT 06830
Attention: First Selectman

Town of Monroe
7 Fan Hill Road
Monroe, CT 06468
Attention: First Selectman

Town of New Canaan
77 Main Street
New Canaan, CT 06840
Attention: First Selectman

City of Norwalk
125 East Avenue
Norwalk, CT 06856
Attention: Mayor

City of Stamford
888 Washington Boulevard
Stamford, CT 06901
Attention: Mayor

Town of Stratford
2725 Main Street
Stratford, CT 06615
Attention: Mayor

Town of Trumbull
5866 Main Street
Trumbull, CT 06611
Attention: First Selectman

Town of Weston
56 Norfield Road
Weston, CT 06883
Attention: First Selectman

Town of Westport
110 Myrtle Avenue
Westport, CT 06880
Attention: First Selectman

Town of Wilton
238 Danbury Road
Wilton, CT 06897
Attention: First Selectman



BERCHEM MOSES.COM

DOUGLAS E. LOMONTE, ESQ.
BERCHEM MOSES P.C.
1221 POST ROAD EAST, SUITE 301
WESTPORT, CT 06880
Tel: (203) 571-1714
dlomonte@berchemmoses.com

June 16, 2023

Honorable Joseph Ganim
Mayor
City of Bridgeport
999 Broad Street
Bridgeport, CT 06604

Dear Mayor Ganim:

In 1999, the City of Bridgeport adopted an interlocal agreement for Hazardous Materials Response Mutual Aid (the "1999 Agreement"). Under the 1999 Agreement, the Chiefs of the participating Fire Departments (the "Fire Chiefs") created a group known as the Fairfield County Hazardous Incident Response Team ("FCHIRT"). At the request of the Fire Chiefs, I am submitting for your consideration an Amended and Restated Interlocal Agreement ("Amendment and Restatement").

The principal deficiency in the 1999 Agreement identified by the Fire Chiefs is that the 1999 Agreement provides no legal entity structure for FCHIRT. Lack of legal entity structure means that FCHIRT is unable to obtain a federal employer identification number (EIN), open a bank account, accept donations, apply for grants and enter into mutual aid agreements with non-municipal entities, such as airports and industrial concerns. FCHIRT has carried on to date by using the EIN of the Town of Westport and keeping its funds in a bank account in the name of the Town of Westport.

The Amendment and Restatement addresses the deficiency in the 1999 Agreement by authorizing the incorporation of FCHIRT as a non-stock corporation and application to the IRS for recognition as a tax exempt organization under Section 501(c). Each of the fourteen participating municipalities will be a member of FCHIRT and have one seat on FCHIRT's board of directors. FCHIRT's board of directors will consist of the Fire Chiefs. If a town has more than one volunteer fire department, then the chiefs of the volunteer fire departments will serve on the board of directors on a rotating basis.

The Fire Chiefs gave careful consideration to the issues of insurance and employee benefits. The Amendment and Restatement makes it clear that the status quo with respect to

Page 2 of 2

ownership of equipment and employment of personnel will continue. Specifically, FCHIRT will not own any operational equipment and will have no employees. All operational equipment will continue to be titled and insured by the municipality in which it is housed. All personnel will continue to be compensated and insured by the municipalities or departments that employ them or for which they volunteer.

The initiative to amend and restate the 1999 Agreement comes without cost to the Bridgeport Fire Department. Legal and accounting fees associated with this initiative will be covered by FCHIRT from existing funds.

The Amendment and Restatement is intended to apply only to incidents at which the assistance of the specially trained personnel or equipment on FCHIRT's roster are required (i. e., HAZMAT spills, natural disaster response and other regional emergencies requiring specialized field communications). The Amendment and Restatement is not intended to affect any existing mutual aid agreements between Bridgeport and its neighboring municipalities.

Statutory authority for the Amendment and Restatement is derived from CGS Sections 7-339a through 7-339l, sometimes referred to as the *interlocal agreement statutes*. CGS Section 7-339c provides for approval of interlocal agreements by the "legislative body" of a municipality. I respectfully request that you submit the Amendment and Restatement to the Trumbull Center Fire District for approval.

If you have any comments or questions about the 1999 Agreement or the Amendment and Restatement, please contact me.

Sincerely,

Douglas E. LoMonte

enclosure



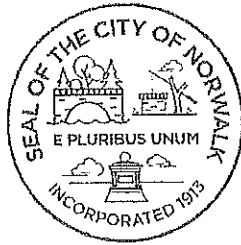
MEMO

TO: COMMON COUNCIL, PUBLIC SAFETY & GENERAL GOVERNMENT COMMITTEE
FROM: DEPUTY CHIEF JOSEPH COPPOLA
RE: COMMON COUNCIL AUTHORIZATIONS
DATE: OCTOBER 14, 2024

1. Authorize Mayor Harry W. Rilling to sign a 4-year agreement for the iNet Exchange Program with Industrial Scientific Corporation for replacement of gas detection equipment (meters) for all apparatus citywide. The subscription program will allow us to own the equipment once the 48-month term has concluded. We will be billed monthly in the amount of \$793.95 by Industrial Scientific Corporation for a total 4-year term cost not to exceed \$38,109.60 from Account # 0131-20-5262.

Background:

The Fire Department is replacing our aging 4-gas detection equipment that is used for all incidents dealing with gas odors and carbon monoxide alarm investigations as well as initial response to hazardous materials incidents. Part of this program is also the replacement of Hydrogen Cyanide meters which are used after structure fires are extinguished and entering the overhaul phase to ensure that the atmosphere is clear of this highly toxic and carcinogenic by-product of combustion for suppression personnel as well as investigative personnel. This program is unique in that the meters are consistently monitored for potential problems through the use of calibration and charging stations that are able to communicate with the technical support group at Industrial Scientific to deal with any immediate issues as well as hit off possible issues before they become larger problems. The new technology will also provide compatibility with surrounding agencies as well as The Fairfield County Hazardous Materials Response Team.



DEPT OF FINANCE - Purchasing Department

NONCOMPETITIVE PROCUREMENT JUSTIFICATION FORM

DATE: 9/5/2024

DEPARTMENT: Fire

Procurement by non-competitive proposals may be used only when the award of a contract is infeasible under informal competitive Quotations (§3-204), Informal Competitive Request for Proposals (§3-205), seal bids, or competitive proposals and at least one of the following circumstances applies:

Check One:

☒	1	The item is available only from a single source (justification is attached). The provisions of this regulation apply to all sole source procurements unless emergency conditions exist as defined by Purchasing Guideline on Emergency Procurements
☐	2	After solicitation of several sources, competition is determined inadequate (record of source contacts and/or attempts to obtain pricing is attached)
☐	3	The compatibility of equipment, accessories, or replacement parts is of paramount consideration
☐	4	The item/service is available on a Cooperative Purchasing Agreement (please provide the organization name, quote, and the contract/agreement number)
☐	5	The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation (documented emergency contingency is attached). Please forward this form and supporting documentation within 48 hours of the Emergency
☐	6	Other, please explain:

TOTAL COST: \$38,109.60 MUNIS Account: 01-301-031-31200-0-5262

VENDOR: Industrial Scientific

Purchasing Agent Signature	The Purchasing Agent		Department Head Signature
Sharon Conners Digitally signed by Sharon Conners Date: 2024.10.04 16:02:04 -04'00	☒	Supports	<i>Gino Gatto</i>
	☐	Does Not Support	Department Head Name
	☒	Single Source Requires Common Council Authorization (in excess of \$20,000.00)?	Gino Gatto
Date			Date 9/9/2024

JUSTIFICATION:

Sole source letter attached.

IT approval attached.

This is a subscription service for gas meters called iNet. It is a program that will allow us to own the hardware once the 48 month term is over. We will be billed monthly (\$793.95) by Industrial Scientific for the equipment for a total cost of \$38,109.60.

ANY OTHER VENDORS CONTACTED FOR PRICING? (Please attach quotes): N/A

Vendor 1: _____

Vendor 2: _____

EMERGENCY: Explain in detail the nature of the emergency

--	--

**INDUSTRIAL
SCIENTIFIC**One Life Way | Pittsburgh, PA | 15205-7500, USA
+1 412-788-4353 | 1-800-DETECTS (338-3287)
info@indsci.com | www.indsci.com**CUSTOMER**Norwalk Fire Department:
Joseph Coppola:
(203) 854-0200:
jcoppola@norwalkct.gov:
121 Connecticut Ave
norwalk, ct 06854Case #: 20240605-4570000
Date: July 16, 2024
Delivery: 6 Weeks ARO
Expiration: 60 days
iNet Account #:**ISC CONTACT**Name: Jon McKenzie
Title: Deal Desk Representative
Phone: (412) 395-8124
Email: jmckenzie@indsci.com

Payment Terms: Net 30 days

**iNet® Exchange Order Form
Customer Owned Equipment**

Customer will own like equipment and quantities of equipment below at end of agreement.
Customer will purchase all equipment up front for the duration of the agreement and will be charged monthly for iNet service to cover equipment. Please reference purchase quote case 20240529-4559033 when processing this iNet Launch

**Please ship only, calibration gas and filters.*

iNet Equipment		
Qty	Part Number	Description
4	VP5-JJB32110111	Ventis Pro5 Personal Gas Monitor, LEL (Methane), CO/H2S, HCN, O2, Li-ion Extended Run Time Battery, Desktop Charger, Pump, Black, UL/CSA, LENS Wireless, English
5	VTS-J.1232111101	Venüs MX4, LEL (CH4), CO, H2S, O2, Li-ion Ext Range, Desktop Charger, Pump, Orange, UL/CSA, English
3	18109327-131	DSXi Cloud-Connected Docking Station for Ventis, 3 Inlet Ports, North American Power Cord
4	18109244	Regulator, Demand Flow iGas, 250 PSI Pressure Switch, CGA-C10 for 58L, 103L, 116L Cylinders
Calibration Gas – AutoReplenish Plus™ Program includes calibration gas for the term of the iNet Program.		
3	18109158	Cylinder, Calibration Gas, 25 ppm Hydrogen Sulfide, 100 ppm Carbon Monoxide, 2.5% Methane (50% LEL), 18% Oxygen, Aluminum, 116L
1	18109085	Cylinder, Calibration Gas, 10 ppm Hydrogen Cyanide, Aluminum, 116L
Consumable Items – Initial Supply of items below only. Replacement consumable items must be purchased by customer.		
45	17058157	Internal Dust Filter/Water Stop for Aspirated Monitors

Training		
Qty	Part Number	Description
1	18000151	Day of On-Site Technician Services / Docking Station Commissioning

PROGRAM INITIAL TERM (months)	48
CURRENCY	USD
TRADE-IN ALLOWANCE APPLIED	\$2,000.00
MONTHLY USAGE FEE	\$793.95
48 MONTH TOTAL USAGE FEE	\$38,109.60

**INDUSTRIAL
SCIENTIFIC**

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+1 412-788-4353 | 1-800-DETECTS (338-3287)
info@indsci.com | www.indsci.com

CUSTOMER

Norwalk Fire Department:
Joseph Coppola:
(203) 854-0200:
jcoppola@norwalkct.gov:
121 Connecticut Ave
Norwalk, CT 06854

Case #: 20240605-4570000
Date: July 16, 2024
Delivery: 6 Weeks ARO
Expiration: 60 days
iNet Account #:

ISC CONTACT

Name: Jon McKenzie
Title: Deal Desk Representative
Phone: (412) 395-8124
Email: jmckenzie@indsci.com

Payment Terms: Net 30 days

iNet® Exchange Order Form **Customer Owned Equipment**

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5	VTS-I.1232111101	Ventis MX4, LEL (CH4), CO, H2S, O2, Li-ion Ext Range, Desktop Charger, Pump, Orange, UL/CSA, English
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info@indsci.com | www.indsci.com

- Prices valid for sixty (60) days from the Date above.
- **Customer-Owned Equipment:** Customer has or will purchase the equipment listed above prior to the start of the Program. Customer will own that equipment or like equipment (with different serial numbers) at the end of the Term. Monthly Usage Fees cover: (a) repair and replacement of the Customer-owned hardware listed above, replacement parts, labor, shipping and handling, training, and access to the iNet® Control SaaS platform and (b) Self installation.
- Monthly Usage Fee includes AutoReplenish Plus calibration gas for the duration of the Term.
- Monthly Usage Fee is for 48 months—early termination fees apply.

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CUSTOMER

DSXi cloud-connected docking stations ("Docks") require Internet access to upload data using the connection provided by Customer. By default, Docks will utilize dynamic host configuration protocol ("DHCP") from Customer's network, if available. If Customer requires pre-defined static IP addresses for Docks, Customer must alert ISC at the time of order and provide the required IP information.

Static IP Required: ☐ Yes Provide the IP information on the form located at [2023.08.22_piaf.pdf \(indsci.com\)](#).

Customer PO#: _____
(Please provide a copy of your PO, along with any tax-exempt information)

Equipment is typically delivered within thirty (30) of signature. If you would like ISC to consider an earlier delivery, please provide your requested date here: _____

Customer accepts the Order terms above and the Program Terms of Use available at <https://www.indsci.com/hubfs/PTOU.pdf>, intending to be legally bound:

Sign
Here



Authorized Customer Signature

Title

Date

ISC

Agreed and Accepted by Industrial Scientific Corporation (ISC):

Authorized ISC Signature

Title

Date

No contract will be formed until this Order is countersigned by ISC. This Order will automatically expire and be void if it is not executed by Customer and received by ISC prior to the Expiration Date; provided, however, that ISC may elect to accept such Order, in its sole discretion, after such Expiration Date by countersignature.

For completion by ISC:

Initial Subscription Term:

Start Date: _____

End Date: _____

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+1 412-788-4353 | 1-800-DETECTS (338-3287)
info@indsci.com | www.indsci.com

LOCATION BREAKDOWN

Location 1:

Site Name: _____
Ship To Address: _____
City: _____
State: _____ Postal/Zip Code: _____

Location Contact Information: _____
Phone: _____
Email: _____

iNet Equipment		
Qty	Part Number	Description
4	VP5-JJB32110111	Ventis Pro5 Personal Gas Monitor, J.B.I. (Methane), CO/H2S, HCN, O2, Li-ion Extended Run Time Battery, Desktop Charger, Pump, Black, UL/CSA, LENS Wireless, English
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Qty	Part Number	Description
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INDUSTRIAL SCIENTIFIC

Industrial Scientific Corporation
1 Life Way
Pittsburgh, PA 15205-7500, USA
Phone: 412-788-4353
1-800-DETECTS (338-3287)
Fax: 412-788-8353
www.indsci.com

7/27/2024

Norwalk Fire Department
Joseph Coppola
121 Connecticut Ave
Norwalk, CT 06854
US

Dear Joseph Coppola

RE: iNet Instrument Network™

This letter serves to confirm that Industrial Scientific Corporation is the sole source provider of the proprietary iNet® Instrument Network.

Industrial Scientific remotely monitors the condition of your Industrial Scientific instrument fleet and automatically handles any necessary service requirements based on the Exchange plan that you have selected. In addition, the program also includes iNet® Control which provides visibility into your gas detection program via the web. By logging onto a secure website, you can review equipment usage, maintenance, and alarm events. iNet Control tells you when your gas detectors were last calibrated, whether a sensor is about to fail, and which gas detectors went into alarm that day. You can use detailed views to identify the source of potential problems, take action, and save lives.

Additional features if iNet include:

- **LENS™ Wireless:** LENS peer-to-peer monitoring allows personal monitors and area monitors to share gas readings and alarms with one another. When a gas hazard, man-down, or panic situation causes an instrument to alarm, all peers in the connected group will instantly be notified of the hazard and the person in danger.
- **iNet® Now:** iNet Now is live monitoring software that provides real-time text and email alerts for gas hazards, panic, and man-down situations allowing you to see and respond to incidents as they happen. A map helps you to identify the location of workers and instruments. With iNet Now, you can have confidence that workers are visible even when you're miles away.
- **Auto Replenishment Plus:** Our Auto Replenishment Plus program provides iNet® Exchange customers with the option to have the cost of calibration gas included in the monthly price of their iNet contract. Having calibration gas included in your iNet contract allows the monthly price to reflect the true total cost of ownership of the equipment, making iNet a complete one-stop shop for gas detection.

There is no other comparable all-inclusive gas detection program like iNet in existence today.

Please contact us if we can be of further assistance.

Sincerely yours,

Cheryl McCalmon
Account Executive – Northeast and Mid-Atlantic
412-779-7220
cmccalmon@indsci.com

Case: 20240605-4570000

City of Norwalk Vendor Questionnaire

IT Information Security

Rev 8.4.22

1. **Third-Party Contact Information** (please provide the POC for follow-up questions to this questionnaire):
Vendor Name, Address, Point-of-Contact Name, Phone Number and Email

Industrial Scientific, 1 Life Way, Pittsburgh, PA 15205
Information Security, Mike Conley, (412) 490-1979, mconley@indsci.com

2. **Description of Services/Products:** Please provide a detailed description of services/products your organization aims to provide to the City?

Industrial Scientific provides lifesaving hardware, hardware-enabled software and services that improve the safety outcomes of industrial workers in hazardous working environments and for the communities where they operate. Primarily, for the city, this will be air-quality monitors for gas detection and a cloud-based software-as-a-service application known as iNet Control that will provide asset management & alerting.

3. **System and Equipment Access:** Will your organization use your own systems and equipment to perform the services, or will your organization need access to the City's systems, equipment and network? (Yes or No, If Yes, please explain)

YES ☒ NO ☐

We provide equipment. The docking station equipment for the gas monitors will need an ethernet port and an outbound only port 443 connection to <https://inetupload.indsci.com> to transfer data to iNet Control.

4. **Description of Data:** Are you using data from the City in order provide the services/product to the City (Yes or No, if Yes proceed to 3.1)

a. What data is needed to provide the services/products to the City?

Example: Name, Social Security Number, Trade Information, Source Code, Payroll or Accounts Payable data, student or patient data, Law Enforcement data, any Personally Identifiable Information (PII), etc.

YES ☒ NO ☐

Name and email address of the safety and industrial hygiene professionals are commonly stored in iNet Control for authentication and audit purposes.

If your answers to Questions 3 and 4 are BOTH "NO", thank you for completing the IT Information Security Questionnaire.

If one or both questions are "YES", please complete the remaining questions.

5. **Office Locations:** How many office locations does your organization have? *Please include the locations of your organization.*

We have 13 office locations and these are always available at the Contact page of our website at <https://www.indsci.com>.

6. **Data Center Locations:** How many data centers does your organization utilize to provide services/products to the City? *Please include the locations of the data centers utilized by your organization.*

The primary data center is Amazon Web Services, Ashburn, Virginia, USA. The disaster recovery data center is Amazon Web Services, Boardman, Oregon, USA.

7. **Business Entity:** What is your business entity type?

**Example: Sole Proprietorship, Partnership, C Corporation, S Corporation, Limited Liability Corporation (LLC), Limited Liability Partnership (LLP)*

8. **How many employees and contingent workers do you have in your organization?**

1-10 ☐ 10-50 ☐ 50-100 ☐ 100-500 ☒ 500-1000 ☐ 1000 or more ☐

9. **Physical Access:** Does your organization need to be onsite or offsite to provide services/products to the City?

YES ☐ NO ☒

Offsite

10. **Access to Data:** How is your organization accessing City data?

**Example: Is the data supposed to be sent to your organization via email or will the data need to be uploaded to an application?*

**Note: For third-parties that are providing an application to perform the services, please specify whether the application will be an internally hosted solution, cloud-based solution (i.e. SaaS, IaaS, PaaS), or a traditional web-based application (i.e. eBay, WebEx, online banking application)*

Data generated by the gas-monitors will be collected in iNet Control. The Industrial Scientific employees who have access to this data for support purposes are in our customer service team (about 50 people) and the site-reliability engineers for maintaining the cloud infrastructure (about 5 people).

11. **Data Storage:** Does your organization outsource data storage or does your organization utilize its own databases to store data? Does your organization store data outside of the United States?

YES ☐ NO ☒

Data is stored in Amazon Web Services in RDS database. Encryption (AES-256) is controlled by Industrial Scientific, so Amazon Web Services does not have access.

12. **Segregation of Data:** Does your organization's database structure allow segregation of sensitive client data?

YES ☒ NO ☐

While sensitive client data is not gathered, data is logically segmented and enforced by the application for this multi-tenant SaaS application.

13. **Independent Attestations:** Does your organization have independent attestations such as (i.e. ISO 27001, SSAE-18 SOC-1, SOC-2, PCI-DSS, ISO 9001)?

Yes, SOC-2 and ISO 9001. Our policies are also ISO 27001 based.

14. Information Security

a. Does your organization have written information security policies and procedures (WISP)?

YES ☒ NO ☐

b. How often are the information security policies and procedures reviewed and updated?

Annually reviewed and updated as recorded in the SOC 2.

c. Who in the organization is responsible for reviewing and updating the information security policies and procedures?

Primarily the Information Security team, while other organizations have a part in reviewing and approving also.

d. Does your organization have privacy policies and procedures?

YES ☒ NO ☐

Yes, please find our external privacy policy listed on our website at <https://www.indsci.com>.

e. How often are the privacy policies and procedures updated?

Annually reviewed and updated as recorded in the SOC 2.

f. Who in the organization is responsible for reviewing and updating the privacy policies and procedures?

Primarily the Legal team (data privacy officer), while other organizations have a part in reviewing and approving also, such as Information Security.

g. What methods of encryption are utilized for data at rest and in transit?

Data at rest is encrypted with AES-256. Data in transit uses the TLS 1.2 protocol.

h. Are the encryption methods utilized FIPS 140-2 approved?

YES ☒ NO ☐

Yes

i. Does your organization utilize firewalls to filter incoming data and information from the internet into your company network?

YES ☒ NO ☐

Yes, we utilize firewalls from Palo Alto Networks, Amazon Web Services WAF, and Zscaler.

j. Does your organization perform penetration testing at least once per year to determine if unauthorized access to the computer network and malicious activity is possible externally?

YES ☒ NO ☐

Yes, as recorded in the SOC 2.

k. Does your organization perform vulnerability testing at least once per year in order to identify vulnerabilities within the internal network?

YES ☒ NO ☐

Yes, as recorded in the SOC 2.

l. Does your organization perform background checks on employees and contingent workers prior to onboarding them? Describe the nature of these background checks (i.e., criminal, credit, international, etc.).

YES ☒ NO ☐

Criminal and credit checks.

m. Does your organization utilize multi-factor authentication?

YES ☒ NO ☐

Both product and employee networks use multi-factor authentication as standard.

n. Does your organization utilize scan cards or biometric scans to grant employees and contingent workers access to the building and data centers where data is stored?

YES ☒ NO ☐

Data is not stored on our premises, but these controls are performed for Amazon Web Services. We do use scan cards for our corporate offices as well, however.

o. If offering a technology product, does the organization utilize software development life cycle (SDLC) or Agile to build and maintain technological product?

YES ☒ NO ☐

Yes, we use a SDLC/Agile and model the security aspects of it from the Microsoft Security Lifecycle.

p. Does the technological product undergo information security testing and quality assurance testing prior to deployment?

YES ☒ NO ☐

Yes, we have tools such as Veracode and SNYK embedded in the code pipeline to address vulnerabilities prior to release.

q. Does the Vendor provide annual Cybersecurity Awareness training to their employee?

YES ☒ NO ☐

Yes, Cybersecurity Awareness training is provided on a bi-monthly basis.

r. Does the Vendor provide annual phishing simulations for their employee?

YES ☒ NO ☐

Yes, monthly phishing simulations are provided for employees.

s. Have users been educated on how to report suspected security violations or vulnerabilities?

YES ☒ NO ☐

Yes, monthly contacts are made on this subject.

t. Does the Vendor have an employee identified as the Chief Information Security Officer?

YES ☒ NO ☐

Yes, a CISO is in place since 2015.

u. Are all the Vendor laptops encrypted?

YES ☒ NO ☐

Yes, this is a security control that is enforced.

v. Are all Vendor computers (workstations, notebooks) required to join the Company's domain and receive Group Policies?

YES ☒ NO ☐

Yes, this is a security control that is enforced.

w. Does the Vendor meet the NIST 800-63 password guidelines?

YES ☒ NO ☐

Yes. We do include complexity and perform password changes on a regular basis due to customer contractual requirements.

15. Risk Management

- a. Does your organization have an enterprise risk management framework implemented at your organization?
YES ☒ NO ☐

Yes, we track risks and eliminate or mitigate these with our risk management framework.

- b. Does your organization have documented enterprise risk management policies and procedures?
YES ☒ NO ☐

Yes, this is linked with the Legal organization that facilitates the program across the company.

- c. Who in the organization is responsible for reviewing the enterprise risk management policies and procedures?

The Legal organization.

- d. Does your organization utilize an outside third-party to provide services/products to the client?
YES ☒ NO ☐

Amazon Web Services for hosting. More details are available in the SOC 2.

- e. Does your organization have a third-party risk management program (TPRM)?
YES ☒ NO ☐

Yes, we manage software and cloud services vendors regularly and have processes in place for intake and review.

f. Does your organization include right-to audit clauses in contracts with third parties?

YES ☐ NO ☒

Not across the board. We review SOC 2 reports (i.e., Amazon Web Services). We do not have many third party relationships associated with this solution.

g. Does your organization have a certificate of insurance (COI)? *Please attach a copy of your COI.*

YES ☒ NO ☐

Business Continuity/Disaster Recovery

a. Does your organization have a business continuity plan?

YES ☒ NO ☐

We have a business impact assessment and risk analysis for most areas of the organization. We have a Sr. Manager of Business Continuity & Resilience staffed on the Information Security Team.

b. How often is the business continuity plan updated?

The plan is updated with changes that occur to the people, processes, and technology within the organization.

c. Does your organization conduct business continuity tests once per year?

YES ☒ NO ☐

We conduct communication tests with our Alert Media notification tool.

d. Does your organization have a disaster recovery plan?

YES ☒ NO ☐

--	--

e. How often is the disaster recovery plan updated?

On an annual basis after lessons learned or changes to the people, processes, and technology within the organization.

f. Does your organization conduct disaster recovery tests once per year?

YES ☒ NO ☐

--	--

g. Does your organization have business continuity and/or disaster recovery sites?

YES ☒ NO ☐

--	--

h. Are the business continuity/disaster recovery sites located in the United States or outside the United States? *Please include the locations of business continuity/disaster recovery sites?*

YES ☒ NO ☐

--	--

IT Ticket#:33964 Updated - Request IT Questionnaire Review for INet

City of Norwalk <noreply@norwalkct.gov>

Tue 9/3/2024 2:42 PM

To:Coppola, Joseph <JCoppola@norwalkct.gov>

---Automated Email, Do not reply---

Hi Joe,

Hi Joe,

Joe,

We have finished the review back in 8/19. The answers provided by Industrial Scientific on this IT Questionnaire form indicate that the vendor maintains a cybersecurity posture that satisfies the City of Norwalk's risk appetite.

Joyce

[View Ticket](#)

IT Ticket#:33964 Updated - Request IT Questionnaire Review for INet

City of Norwalk <noreply@norwalkct.gov>

Tue 9/3/2024 2:42 PM

To:Coppola, Joseph <JCoppola@norwalkct.gov>

---Automated Email, Do not reply---

Hi Joe,

We have finished the review back in 8/19. The answers provided by Industrial Scientific on this IT Questionnaire form indicate that the vendor maintains a cybersecurity posture that satisfies the City of Norwalk's risk appetite.

Joyce

[IT Help Desk](#)

MEMO



To: Common Council, Public Safety and General Government Committee

From: Assistant Chief Edward McCabe

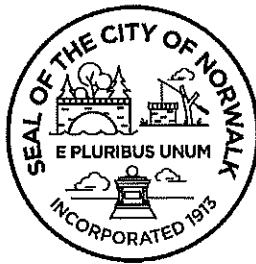
RE: Common Council Authorizations

DATE: October 16, 2024

1. Authorize the Mayor Harry W. Rilling, to execute a contract with Delta Level Defense for a total not to exceed \$26,684.22 for the purchase of 19 sets of tactical body armor. (Munis Acct. 0133120-5341)

Background:

The Fire Department is in the process of a mandated upgrade of its firefighter's tactical body armor. This armor is worn when working with NPD at any active threat response. The replacement has been split over two years, with this purchase rounding out the second of two orders. This will complete the upgrade and provide necessary protection to all fire companies in the city.



DEPT OF FINANCE - Purchasing Department

NONCOMPETITIVE PROCUREMENT JUSTIFICATION FORM

DATE: 10/16/2024

DEPARTMENT: Fire Department

Procurement by non-competitive proposals may be used only when the award of a contract is infeasible under informal competitive Quotations (§3-204), Informal Competitive Request for Proposals (§3-205), seal bids, or competitive proposals and at least one of the following circumstances applies:

Check One:

☒	1	The item is available only from a single source (justification is attached). The provisions of this regulation apply to all sole source procurements unless emergency conditions exist as defined by Purchasing Guideline on Emergency Procurements
☐	2	After solicitation of several sources, competition is determined inadequate (record of source contacts and/or attempts to obtain pricing is attached)
☒	3	The compatibility of equipment, accessories, or replacement parts is of paramount consideration
☐	4	The item/service is available on a Cooperative Purchasing Agreement (please provide the organization name, quote, and the contract/agreement number)
☐	5	The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation (documented emergency contingency is attached). Please forward this form and supporting documentation within 48 hours of the Emergency
☐	6	Other, please explain:

TOTAL COST: \$26,684.22 MUNIS Account: 0131205341

VENDOR: Delta Level Defense

Purchasing Agent Signature	The Purchasing Agent		Department Head Signature
Sharon Connors Digitally signed by Sharon Connors Date: 2024.10.16 15:27:42 -04'00'	☒	Supports	Gino Gatto
	☐	Does Not Support	Department Head Name
	☒	Single Source Requires Common Council Authorization (in excess of \$20,000.00)?	Gino Gatto
			Date <u>10/16/2024</u>

JUSTIFICATION:

The Fire Department is purchasing the second order of a two-part replacement of firefighter tactical body armor. It is critical that the equipment in this purchase exactly matches the equipment that was purchased last year. Therefore, the tactical body armor will be purchased from the same local vendor.

PURCHASING AGENT COMMENTS: NFD did request a quote from Chase Tactical. They are the manufacturer and on a GSA contract. Chase Tactical didn't want to quote on the exact product NFD is currently using.

ANY OTHER VENDORS CONTACTED FOR PRICING? (Please attach quotes): _____

Vendor 1: _____

Vendor 2: _____

EMERGENCY: Explain in detail the nature of the emergency



40 Embree Street
Stratford, CT 06615
Attn: Ryan J. Gisolfi
ryan@deltaleveldefense.com
www.deltaleveldefense.com
2039191514
Tax Reg N°: 46-4815923
Ryan@deltaleveldefense.com
1-203-919-1514
www.deltaleveldefense.com
Instagram: DL_DEFENSE

Estimate

Delta Level Defense

For: Norwalk Fire Department - Municipal PO# TBD
EMcCABE@norwalkct.gov, ed.mccabe@ymail.com,
criccio@norwalkct.gov
Norwalk Fire Department
c/o Assistant Chief Edward McCabe
121 CT Avenue
Norwalk, CT 06854
(203) 854 0231

Estimate No: 816
Date: 09/20/2024

Ship To: Norwalk Fire Department
c/o Assistant Chief Edward McCabe
121 CT Avenue
Norwalk, CT 06854
(203) 854 0231

Tracking No
Ship Via UPS Insured
FOB

Code	Description	Quantity	Rate	Amount
QRC-CT-ArmorKit-10YR	Quick Response Armor Kit - Coyote Tan w/ MOLLE/ 2x Reflective "Norwalk Fire" ID Placards / 2x NIJ 0101.06 Certified Level IV Special Rifle Threat Armor Plates - 10"x12" Single Curve, Shooter's Cut (10 Year Warranty) / Coyote Tan Striker PASGT NIJ Certified Level IIIA Ballistic Helmet (5 Year Warranty) with Dial Ratchet Suspension Liner / Heavy Equipment Bag with Velcro 4"x8" Reflective "Norwalk Fire" ID Placard / 2x NAR Orange CAT7 Tourniquet / 2x Coyote Tan MOLLE CAT7 Tourniquet Pouches	19	\$1,383.38	\$26,284.22
Parts Subtotal				\$26,284.22

Delta Level Defense - Estimate 816 - 09/20/2024

Subtotal	\$26,284.22
Shipping	\$400.00
Total	\$26,684.22

Total	\$26,684.22
-------	-------------



QUOTE

2220 County Road 210 West
Suite 108 Unit 340
Jacksonville, FL 32259 USA

DATE

EXPIRES

QUOTE#

10/14/2024

11/13/2024

QTE-24-1224

Bill To

Norwalk Fire Dept
121 Connecticut Ave.
Norwalk CT 06854
United States

Ship To

Norwalk Fire Dept
121 Connecticut Ave.
Norwalk CT 06854
United States

TOTAL

\$23,957.39

Terms

Net 30

Sales Rep

Ship Via

UPS® Ground

FOB

Item

Quantity

Rate

Amount

CT-10QRC1-CT

Chase Tactical Quick Response Carrier (QRC), Coyote

19

\$83.96

\$1,595.24

CT-001-0408-CT

4"X8" NORWALK FIRE ID Placard - Reflective Lettering / Coyote with Velcro

38

\$16.11

\$612.18

CT-4517-10x12-SC-SH

Chase Tactical 4s17 Rifle Armor, Level IV Stand Alone, NIJ 0101.06 Certified, DEA Compliant, 10x12, Single Curve, Shooter Cut, 0.95", 7.2 Lbs. - 10 YEAR WARRANTY

38

\$183.16

\$6,960.08

CT-STRIKER-048

Chase Tactical Striker ACH- Advanced Combat Helmet- Standard Cut- Level IIIA NIJ 0106.01- Coyote Tan- Large

19

\$434.21

\$8,249.99

CT-ACH-ASH-LGXL

Chase Tactical ACH Adjustable Suspension Harness, Size: LG/XL, Black (This is a 4 point UPGRADE option for all STRIKER ACH style/cut of combat helmets, not for use on PASGT)

19

\$111.16

\$2,112.04

CT-SA-BAG-RAK-HE

Chase Tactical RAK HE Bag, Includes: MOLLE & Plate Pockets, BLACK (Bag fits a Plate Carrier, (2) plates, and a Helmet)

19

\$75.61

\$1,436.59

CT-001-0408-BLK

4"X8" NORWALK FIRE ID Placard - Reflective Lettering / Black Fabric with Velcro

38

\$16.11

\$612.18

30-0023

North American Rescue Combat Application Tourniquet (C-A-T) - Tactical Orange GEN 7

38

\$27.16

\$1,032.08

CT-40TP01-CT

Chase Tactical Tourniquet Pouch (MOLLE) - Coyote

38

\$23.96

\$910.48

Subtotal

\$23,520.86

Shipping Cost

\$436.53

Tax Total (0%)

\$0.00

Total

\$23,957.39



QTE-24-1224

MEMO



To: Common Council, Public Safety and General Government Committee

From: Assistant Chief Edward McCabe

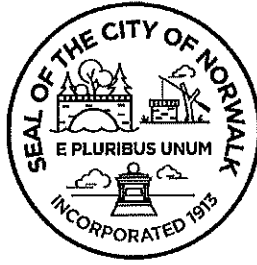
RE: Common Council Authorizations

DATE: October 16, 2024

1. Authorize the Mayor, Harry W. Rilling, to execute a contract with MES Shipman's Fire Equipment for a total not to exceed \$279,591.25 for new Fire Department SCBA air bottles, compliant with the latest NFPA standard. (Munis Acct. 0131205269)

Background:

The Fire Department is in the process of a mandated upgrade of its firefighter's airpacks. This upgrade will put the Department in compliance with NFPA 1981, Revision 2024 for Self-Contained Breathing Apparatus. Each SCBA consists of four main components: The air bottle, harness, regulator, and facepiece. This purchase of the air bottles, with the allotted ARPA funds, will eliminate the need to make it a capital request for 2025-2026.



DEPT OF FINANCE - Purchasing Department

NONCOMPETITIVE PROCUREMENT JUSTIFICATION FORM

DATE: 10/16/2024

DEPARTMENT: Fire Department

Procurement by non-competitive proposals may be used only when the award of a contract is infeasible under informal competitive Quotations (§3-204), Informal Competitive Request for Proposals (§3-205), seal bids, or competitive proposals and at least one of the following circumstances applies:

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☐	5	The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation (documented emergency contingency is attached). Please forward this form and supporting documentation within 48 hours of the Emergency
☐	6	Other, please explain:

TOTAL COST: \$279,591.25 MUNIS Account: 0131205269

VENDOR: MES Shipman's Fire Equipment

Purchasing Agent Signature	The Purchasing Agent		Department Head Signature
Sharon Digitally signed by Sharon Purchasing Agent Name Date: 2024.10.16 14:52:59 -04'00' rs	☒	Supports	Gino Gatto
	☐	Does Not Support	Department Head Name
	☐	Single Source Requires Common Council Authorization (in excess of \$20,000.00)?	Gino Gatto
			Date 10/16/2024

Quote



(860) 442-0678

Quote # QT1824641
Date 10/16/2024
Expires 10/31/2024
Sales Rep Vendetto, Mark
Shipping Method FedEx Ground
Customer Norwalk Fire Maintenance (CT)
Customer # C255272

Bill To

Chief Maggio
Norwalk Fire Department
121 Connecticut Ave
Norwalk CT 06854
United States

Ship To

Norwalk Fire Maintenance (CT)
100 Fairfield Ave
Norwalk CT 06854
United States

Item	Alt. Item #	Units	Description	QTY	Unit Price	Amount
200969-01			CYL&VALV,CGA,CARB,45/5500 ASSY	140	\$1,599.28	\$223,899.20
200972-01			CYL&VALV,CGA,CARB,60/5500 ASSY	10	\$1,775.48	\$17,754.80
200954-15			RIT-PAK III,5.5,LG,AV,RECTUS	9	\$4,215.25	\$37,937.25

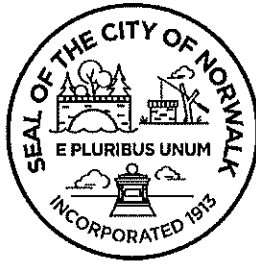
SOURCEWELL CONTRACT PRICING
THANK YOU
MARK

Subtotal \$279,591.25
Shipping Cost \$0.00
Tax Total \$0.00
Total \$279,591.25

This Quotation is subject to any applicable sales tax and shipping and handling charges that may apply. Tax and shipping charges are considered estimated and will be recalculated at the time of shipment to ensure they take into account the most current information.

All returns must be processed within 30 days of receipt and require a return authorization number and are subject to a restocking fee.

Custom orders are not returnable. Effective tax rate will be applicable at the time of invoice.



DEPT OF FINANCE - Purchasing Department

NONCOMPETITIVE PROCUREMENT JUSTIFICATION FORM

DATE: 10/16/2024

DEPARTMENT: Fire Department

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TOTAL COST: \$279,591.25 MUNIS Account: 0131205269

VENDOR: MES Shipman's Fire Equipment

Purchasing Agent Signature		The Purchasing Agent		Department Head Signature	
 Digitally signed by Sharon Conners Date: 2024.10.16 14:52:59 -04'00'		☒	Supports	Gino Gatto	
		☐	Does Not Support	Department Head Name	
		☐	Single Source Requires Common Council Authorization (in excess of \$20,000.00)?	Gino Gatto	
Date				Date 10/16/2024	

JUSTIFICATION:

The SCBA bottles being purchased are one component of a mandated update of firefighter's airpacks. MES Shipman's is Norwalk FD's SCBA supplier and maintainer and will be providing the other components (mask, regulator, airpack frame) in a different order, at a later date. Using ARPA funds for this purchase will eliminate the SCBA bottles from being requested in the 2025-2026 Capital Budget.

PURCHASING AGENT COMMENTS: Sourcewell Contract #011824

ANY OTHER VENDORS CONTACTED FOR PRICING? (Please attach quotes): _____

Vendor 1: _____

Vendor 2: _____

EMERGENCY: Explain in detail the nature of the emergency



Quote

(860) 442-0678

Quote # QT1824641
Date 10/16/2024
Expires 10/31/2024
Sales Rep Vendetto, Mark
Shipping Method FedEx Ground
Customer Norwalk Fire Maintenance (CT)
Customer # C255272

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SOURCEWELL CONTRACT PRICING
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Shipping Cost \$0.00
Tax Total \$0.00
Total \$279,591.25

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Custom orders are not returnable. Effective tax rate will be applicable at the time of invoice.

Norwalk Department of Police Service

Memo

To:	Common Council and Public Safety and General Government Committee
From:	Deputy Chief Melissa Lepore
CC:	
Re:	Connecticut Department of Transportation Highway Safety Office, Drug Recognition Enforcement Instructor Grant Acceptance Authorization
Date:	October 17, 2024

The Connecticut Department of Transportation (CTDOT) Highway Safety Office, has approved the application submitted by the City of Norwalk Police Department for funding under the Drug Recognition Enforcement (DRE) Instructor Grant project. The grant award is approved for \$44,659.38. The funding start date is October 09, 2024 and the funding end date is September 30, 2025.

The Norwalk Police Department proposed funding to combat the large increase in the number of drivers using marijuana or other illegal drugs. Between 2018 and 2022 over 50% of drivers involved in fatal crashes tested positive for drugs. The Connecticut's 2025 Highway Safety Plan calls for high visibility enforcement of impaired driving laws, public information, and education on the risks, dangers, and consequences of driving while impaired. This plan also calls for the training of law enforcement officers in the latest methods of drug evaluation and classification and to certify law enforcement officers as Drug Recognition Experts (DRE's).

The DRE Instructor Grant will provide training to law enforcement officers in recognizing the signs of impaired drivers under the influence of illegal or legal drugs or medications by providing statewide coordination of standard field sobriety testing and advanced roadside impaired driving enforcement (ARIDE). The grant will also be utilized for training to facilitate convictions in court proceedings of various types of impaired driving cases, beyond alcohol impairment.

We are requesting the following authorization:

1. Authorize Mayor, Harry W. Rilling, to execute any and all documents and agreements necessary to accept grant funding under the Connecticut Department of Transportation Highway Safety Office, Drug Recognition Enforcement Instructor Grant.
2. Authorize Chief of Police, James Walsh, to execute any and all documents and agreements as may be necessary to implement the Connecticut Department of Transportation Highway Safety Office, Drug Recognition Enforcement Instructor Grant.

**CONNECTICUT DEPARTMENT OF TRANSPORTATION
HIGHWAY SAFETY OFFICE**



GRANT APPROVAL CONFIRMATION

DELIVERED BY EMAIL TO: Harry Rilling

APPROVED PROJECT PERIOD:	October 09, 2024 - September 30, 2025
STATE PROJECT NUMBER:	0205-0724-2-AO
PROJECT NAME:	DRE Instructor Grant Reimbursement
GOVERNMENTAL UNIT:	City of Norwalk
APPLICANT:	Norwalk Police Department
FEDERAL FUNDS:	\$44,659.38
STRAIGHT TIME FRINGE RATE PERCENTAGE:	1.45%
OVER TIME FRINGE RATE PERCENTAGE:	1.45%
CFDA:	20.607

The Department of Transportation would like to notify you of the approval of the Norwalk Police Department's Highway Safety project application entitled DRE Instructor Grant Reimbursement effective October 09, 2024 - September 30, 2025.

Federal funds in the amount of \$44,659.38 are allocated to this project in accordance with the approved 2025 Fiscal Year Connecticut Highway Safety Plan. The total project cost may not exceed this amount for the approved project period.

All grants greater than or equal to \$30,000.00 are subject to FFATA (Federal Funding Accountability and Transparency Act) sub-award reporting requirements. For more information go to <https://www.fsrs.gov/#a-faqs>.

All costs incurred under this project must be in full compliance with both federal and State regulations, policies and procedures that govern the use of highway safety funds. Costs are subject to review by both Internal and External Auditors.

Please note that deviations from the specifics of the approved budget must be reviewed and approved by the Highway Safety Office prior to their implementation in order for related costs to be eligible for reimbursement.

The NONENF-APP reimbursement package will be sent to your agency point of contact. All final claims against this project, together with all supporting financial documentation, must be submitted to the Highway Safety Office no later than thirty (30) days after the project period ending date.

If you have any additional questions or concerns regarding this program, please contact me at Joseph.Cristalli@ct.gov or 860-594-2412.

cc'd by email to: clam@norwalkct.gov
cwasilewski@norwalkct.gov

Joseph T. Cristalli, Jr.
Transportation Assistant Planning Director

Application Signatures

Subgrantee Signatures

Authorizing Official

* **Name:** *Rita Nigri*
* **Title:** *Grant Administrator*

* **Signature:** *Rita Nigri*
* **Signature Date:** *10/08/2024*

Financial Officer

* **Name:** *Chitsamay Lam*
* **Title:** *Comptroller*

* **Signature:** *Chitsamay lam*
* **Signature Date:** *10/04/2024*

Project Director

* **Name:** *Christopher Wasilewski*
* **Title:** *Officer*

* **Signature:** *Christopher Wasilewski*
* **Signature Date:** *09/30/2024*

CTHSO Signatures

Program Manager

* **Name:** *Robert Klin*
* **Title:** *Program Manager*

* **Signature:** *Robert Klin*
* **Signature Date:** *10/09/2024*

Supervisor

* **Name:** *Phyllis DiFiore*
* **Title:** *Transportation Supervising Planner*

* **Signature:** *Phyllis DiFiore*
* **Signature Date:** *10/09/2024*

Fiscal

* **Name:** *Anila Hafeez*
* **Title:** *Associate Accountant*

* **Signature:** *Anila Hafeez*
* **Signature Date:** *10/09/2024*

Program Coordinator

* **Name:** *Joseph Cristalli*
* **Title:** *Transportation Assistant Planning Director*

* **Signature:** *Joseph Cristalli*
* **Signature Date:** *10/09/2024*

Governor's Representative

* **Name:** *Garrett Eucalitto*
* **Title:** *HSO Governor's Representative*

* **Signature:** *Garrett Eucalitto*
* **Signature Date:** *10/09/2024*

Application General Information Form

ACCEPTANCE -- IT IS UNDERSTOOD AND AGREED BY THE UNDERSIGNED THAT FUNDS RECEIVED AS A RESULT OF THIS APPLICATION IS SUBJECT TO THE REGULATIONS GOVERNING HIGHWAY SAFETY PROJECTS. THIS AGREEMENT MAY BE TERMINATED BY EITHER PARTY IN ACCORDANCE WITH TRANSPORTATION SAFETY SECTION POLICY. COPY OF POLICY OBTAINED UPON REQUEST.

Applicable Organizations: * Option 1
Option 2
Project Title: * DRE Instructor Grant Reimbursement
Governmental Unit/Agency: * City of Norwalk

Check here if the remittance address is different than the Applicant/Organization address.

Governmental Unit/Agency Information

Governmental Unit/Agency: City of Norwalk

Address * 125 East Avenue
City * Norwalk

State * Connecticut
Zip * 06851

FEIN **UEI Number**

Applicant Information

Applicant Name: Norwalk Police Department

Address * 1 Monroe Street
City * Norwalk

State * Connecticut
Zip * 06854

E-mail * dom@norwalkct.gov
Phone * (203) 854-3007

Fax

FEIN * 06-6011881
UEI Number * V7ZTXNBKJM9

Project Director Information

Designated Project Director for this grant: *Christopher Wasilewski **

First Name * <i>Christopher</i>	Last Name * <i>Wasilewski</i>	Title * <i>Officer</i>
Email * <i>cwasilewski@norwalkct.gov</i>	Phone * <i>(203) 854-3035</i>	

Financial Officer Information

Designated Financial Officer for this grant: *Chitsamay Lam **

First Name * <i>Chitsamay</i>	Last Name * <i>Lam</i>	Title * <i>Comptroller</i>
Email * <i>clam@norwalkct.gov</i>	Phone * <i>(203) 854-7711</i>	

Authorizing Official Information

Designated Authorizing Official for this grant: *Harry Rilling **

First Name * <i>Harry</i>	Last Name * <i>Rilling</i>	Title * <i>Mayor</i>
Email * <i>hrilling@norwalkct.gov</i>	Phone * <i>(203) 854-7701</i>	

Problem ID

Applicant: Norwalk Police Department
Project Title: DRE Instructor Grant Reimbursement

Describe in detail the specific problem to be corrected or impacted.

Indicate the reason your current program or activity is not adequate and explain past efforts to resolve the problem.

Provide supporting data, facts, or statistics that will substantiate the need for requested project.

STATEMENT OF THE PROBLEM AND BACKGROUND INFORMATION

Alcohol and drug impaired driving is a major contributing factor in traffic crashes, injuries, and fatalities on Connecticut's roadways. NHTSA data for Connecticut indicates that 127 of Connecticut's 359 fatalities (35%) in 2022 were alcohol-impaired driving fatalities. Additionally, crashes related to drugged driving have become more prevalent in recent years. Connecticut studies have found a large increase in the number of drivers using marijuana or other illegal drugs. Over the 2018-2022 period, about 53.4% of drivers involved in fatal crashes tested positive for drugs, with rates fluctuating from year to year. The impaired driving problem identification section of Connecticut's 2025 Highway Safety Plan calls for high visibility enforcement of the impaired driving laws, public information, and education on the risks, dangers, and consequences of driving while impaired, prosecution of first time and repeat offenders and the passage of strong legislation. Networking, monitoring, and evaluation are also addressed in the plan. The successful implementation of the impaired driving enforcement plan is a vital component to the overall highway safety program in Connecticut

Connecticut's 2025 Highway Safety Plan also calls for the training of law enforcement officials in the latest methods of drug evaluation and classification and to certify law enforcement officials as Drug Recognition Experts (DREs).

Successful implementation of this impaired driving enforcement plan through this project scope is vital to the overall highway safety program in Connecticut.

This project will be closely monitored. In addition, the Highway Safety Office's Fiscal Officer will ensure that the appropriate financial documentation supports all claims against this project.

Additional Documentation

Objectives

Applicant: Norwalk Police Department
Project Title: DRE Instructor Grant Reimbursement

Describe the objectives to be accomplished during this project.

The objectives should be specific, clearly written, measurable, and time-framed.

To decrease drug related crashes, injuries and fatalities through high visibility enforcement and prosecution of DUI offenders by:

**Increasing the number of law enforcement officers trained to recognize the signs of an impaired driver under the influence of illegal or legal drugs or medications by providing statewide coordination of Standard Field Sobriety Testing (SFST) and Advanced Roadside Impaired Driving Enforcement (ARIDE) training to law enforcement.*

**Increasing the number of certified Drug Recognition Experts, instructors, and practitioners by providing statewide coordination of Drug Recognition Expert (DRE) training to law enforcement.*

**Increasing law enforcement recognition and conviction of various types of impaired driving, beyond alcohol impairment, by providing coordination to establish a DRE training program.*

**To reimburse DRE instructors for expenses incurred in facilitating the DRE practitioner class and subsequent impaired driving enforcement trainings.*

**To reimburse DRE instructors for court costs incurred while testifying as DRE reconstructionist's and/or DRE subject matter experts in Connecticut, and related DRE callout requests.*

DRE training for police officers will be offered for the purpose of increasing the number of DRE practitioners and to ensure that in-service law enforcement practitioners making alcohol and/or drug arrests are properly trained in the detection and apprehension of impaired drivers. It also will reinforce that trained police officers follow the standardized and systematic arrest procedures that will hold up in court.

Assist in the following activities:

Provide Standardized Field Sobriety Testing (SFST) and Advanced Roadside Impaired Driving Enforcement (ARIDE) classes to law enforcement within Federal Fiscal Year (FFY) 2025

Provide Drug Recognition Expert (DRE) classes to law enforcement within FFY 2025

Provide DRE Instructor classes within FFY 2025

Reimbursement will be made for both straight time and overtime expenses as required

Funding for this project will be used to assist in the administration of the Drug Evaluation and Classification Program (DECP) project. Duties will primarily involve the Drug Recognition Expert (DRE) component of the DECP. Anticipated duties include the coordination of DRE training activities, ensuring compliance with DRE recertification requirements, overseeing the collection and transmission of electronic data collected through DRE evaluations and providing support to all current Connecticut DREs throughout the state.

Activities

Applicant:

Norwalk Police Department

Describe activities and procedures you will undertake to achieve each objective. *

Identify project personnel and responsibilities. Include activity timelines.

All activities will be performed by a certified DRE Instructor:

- Evaluate and assess status of program*
- Establish tracking procedures to fulfill and document objectives*
- Provide support to the CT DRE program and all CT DREs*
- Assist in training at DRE School*
- Assist in training at DRE field certifications*
- Assist in training at SFST and ARIDE classes*
- Attend the National DRE Conference (IDTS)*
- Attend drug impaired driving and DRE related trainings*
- Assist in training at SFST and ARIDE classes*
- Prepare quarterly progress report regarding activities*

Budget to include the following:

Personnel expenses (Salaries, Overtime)

Travel costs (Instructors, Students, Conferences, Trainings, Meetings)

Fringe

Applicant: *Norwalk Police Department*

Project Title: *DRE Instructor Grant Reimbursement*

Do you plan on submitting a Fringe Rate? * ☒ Yes ☐ No

Fringe Benefits

NOTES:

- If fringe rate is being charged/reimbursed, this page should be completed and signed.
- Fringe benefit charges should NOT be included in the hourly rate.
- No hourly rate should be inflated—all hourly rates should be reported as actuals.

I hereby certify that the information below is the true and accurate and authorized by "*Norwalk Police Department*" for hours worked by personnel for the following time period:

FROM: *10/01/2024 **

TO: *09/30/2025 **

Actual Cost Category	Straight Time %	Overtime %
<i>FICA-Medicare</i>	<i>1.45000</i>	<i>1.45000</i>
Other Cost Category		
Total Fringe Rate	<i>1.45000%</i>	<i>1.45000%</i>

City/Town/Agency's Chief Financial Officer or Authorizing Official

I further certify that this statement is correct in all respects and that the fringe benefit rate(s) identified above accurately represents the fringe benefit costs to the city/town/agency for the individuals employed under or working on this project.

*** Name:** *Rita Nigri*
*** Title:** *Grant Administrator*

*** Signature:** *Rita Nigri*
Signature Date: *10/08/2024*

Personnel

Applicant: Norwalk Police Department
Project Title: DRE Instructor Grant Reimbursement

Salaries

* Hours worked on grant activities

Position Title	Hourly Rate	Pay Period Scheduled Hours	* Hours Allotted To This Grant	Number of Pay Periods	Salaries Sub-Total	Fringe Rate %	Fringe Sub-Total	Salaries & Fringe Total
Position 1	\$45.00000	40	3.00	52.00	\$7,020.00	1.45	\$101.79	\$7,121.79
Overtime	\$72.00000	10	7.25	52.00	\$27,144.00	1.45	\$393.59	\$27,537.59

Salaries Total

\$34,164.00

Fringe Total

\$495.38

Personnel Cost Total

\$34,659.38

Match (if Applicable)

Position Title	Hourly Rate	Pay Period Scheduled Hours	* Match Hours Allotted To This Grant	Number of Pay Periods	Match Salaries Sub-Total	Match Fringe Rate %	Match Fringe Sub-Total	Match Salaries & Fringe Sub-Total
	\$				\$00.00		\$00.00	\$00.00
	\$				\$00.00		\$00.00	\$00.00

Match Salaries Total

\$00.00

Match Fringe Total

\$00.00

Match Personnel Cost Total

\$00.00

Personnel Notes

Travel

Travel requires pre-approval from the CT Highway Safety Office.

Applicant: Norwalk Police Department
Project Title: DRE Instructor Grant Reimbursement
Travel Costs Total: \$10,000.00

Mileage

If you are able, please indicate the funding breakdown that will be used by this grant to support Travel.

Person Name	Person Title	Purpose of Travel <i>Indicate the purpose of each trip or type of trip (training, advisory group meeting, etc.)</i>	Estimated Budget Total
			\$
TOTAL			\$00.00

Please provide a description of any anticipated Travel costs and any conferences you may want to attend.

Instructors, Students, Conferences, Trainings, Meetings

Contractual Services

Applicant: *Norwalk Police Department*
Project Title: *DRE Instructor Grant Reimbursement*

Contractual Services

Indicate the amount that will be used by this grant to support Contractual Services.

Contractual services are services of individual consultants or consulting firms engaged in performing special services pertinent to highway safety. The HSO must approve any contract for services before the contract is finalized. A copy of the signed contract and/or agreement should be included with the grant application.

Description of Item	Cost	Quantity	Total
<i>N/a</i>	<i>\$00.00</i>	<i>0</i>	<i>\$00.00</i>
TOTAL			\$00.00

Contractual Notes

Contractual Services Match (If Applicable)

* If you are using Contractual Services for Match, enter the match amounts here.

Description of Match Item	Match Cost	Quantity	Match Total
	\$		<i>\$00.00</i>
TOTAL			\$00.00

Contractual Match Notes

Documentation

Supporting Documentation

Operating Supplies

Applicant: *Norwalk Police Department*

Project Title: *DRE Instructor Grant Reimbursement*

Operating Supplies Costs Total: * *\$00.00*

Operating Supplies Costs Match Total: * *\$00.00*

Would you like to provide an itemized breakdown of all Operating/Supplies costs? * *Yes*

☒ *No*

Equipment Costs

Notes:

- Any items with serial numbers will need to be reported during future reimbursement.

Applicant: Norwalk Police Department

Project DRE Instructor Grant Reimbursement

Title:

Equipment Costs

Indicate the amount that will be used by this grant to support Equipment by cost, amount, or percentage.

Click the + icon to **add** a new row

Click the - icon to **delete** an existing row

Item Description	Cost Per Item	Quantity	Total Cost	Buy America Supporting Documentation (If any item's Cost Per Item >= \$10,000, Buy America Documentation is Required)
	\$		\$00.00	
Total Equipment Costs:				\$00.00

Equipment Costs Match (If Applicable)

* If you are using Equipment for Match, enter the match amounts here.

Item Description	Cost Per Item	Quantity	Total Cost	Buy America Supporting Documentation (If any item's Cost Per Item >= \$10,000, Buy America Documentation is Required)
	\$		\$00.00	
Total Equipment Match Costs:				\$00.00

Documentation

Copy of Equipment Quote (*If Equipment Costs are provided)

Supported file types: .doc, .docx, and .pdf

Other Supporting Documentation

Supported file types: .doc, .docx, and .pdf

Indirect Costs

Applicant: *Norwalk Police Department*
Project Title: *DRE Instructor Grant Reimbursement*

Budget Costs

Category	Cost	Match	Total Estimated Cost
Personnel - Salaries	\$34,164.00	\$00.00	\$34,164.00
Personnel - Fringe	\$495.38	\$00.00	\$495.38
Travel	\$10,000.00	\$00.00	\$10,000.00
Contractual Services	\$00.00	\$00.00	\$00.00
Operating Supplies	\$00.00	\$00.00	\$00.00
Equipment Costs	\$00.00	\$00.00	\$00.00
Total Estimated Cost:	\$44,659.38	\$00.00	\$44,659.38

Indirect Costs

Approved Indirect Cost Rate: * 00.00 %
Total Indirect Costs: \$00.00
City/Town/Agency's Chief Financial Officer or Authorizing Official

I further certify that this statement is correct in all respects and that the Indirect Costs Rate identified above accurately identifies what is allowable.

Click **Save** to populate the Signature Date and Title of the selected Authorizing Official.

Name: *Rita Nigri **
Title: *Grant Administrator **

Signature: *Rita Nigri **
Signature Date: *10/08/2024 **

Budget Summary

Total Federal Budget \$44,659.38
Total Match Budget \$00.00

Federal Share
Non-Federal Share

Cost Category	Amount	Budget Summary Approval (For HSO Staff Only)		
Personnel - Salaries	\$34,164.00	[X]Approved	Conditions Apply *	N/A
Personnel - Fringe Benefits @ 1.45000% (Straight-Time)	\$495.38	[X]Approved	Conditions Apply *	N/A
Personnel - Fringe Benefits @ 1.45000% (Overtime)				
Travel	\$10,000.00	[X]Approved	Conditions Apply *	N/A
Contractual Services	\$00.00	Approved	Conditions Apply *	[X]N/A
Operating Supplies	\$00.00	Approved	Conditions Apply *	[X]N/A
Equipment Costs	\$00.00	Approved	Conditions Apply *	[X]N/A
Indirect Costs	\$00.00	Approved	Conditions Apply *	[X]N/A
Total Grant Budget	\$44,659.38	* Conditionally Approved amounts will only be reimbursed upon satisfying the condition mentioned below		
Match Cost Category	Amount	Match Budget Summary Approval (For HSO Staff Only)		
Personnel	\$00.00	Approved	Conditions Apply *	[X]N/A
Personnel - Fringe Benefits @ 1.45000% (Straight-Time)	\$00.00	Approved	Conditions Apply *	[X]N/A
Personnel - Fringe Benefits @ 1.45000% (Overtime)				
Travel	\$00.00	Approved	Conditions Apply *	[X]N/A
Contractual Services	\$00.00	Approved	Conditions Apply *	[X]N/A
Operating Supplies	\$00.00	Approved	Conditions Apply *	[X]N/A
Equipment Costs	\$00.00	Approved	Conditions Apply *	[X]N/A
Indirect Costs	\$00.00	Approved	Conditions Apply *	[X]N/A

Total Match Budget	\$00.00	* Conditionally Approved amounts will only be reimbursed upon satisfying the condition mentioned below
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Notes

Reimbursement Requirements

Requested Project Start Date *
10/01/2024

The HSO-Approved Project Start Date will populate here once the submitted grant has been reviewed by HSO staff.

Approved Project Start Date	Project End Date	Reimbursement Deadline
10/09/2024	September 30, 2025	October 30, 2025

- All reimbursements must be signed and dated by the sub-grantee's authorizing official.
- Reimbursements should be submitted on a quarterly/monthly basis, per program, per program manager, during the term of the approved grant.
- Under the terms and conditions of this project application, ALL SUPPORTING DOCUMENTATION must be submitted to the Highway Safety Office no later than thirty (30) days after the project's ending date. Please verify the project start date, project ending date, and reimbursement deadline prior to any project activity.
- All reimbursements must include the invoice as well as proof of payment (examples: for airfare or hotel; a billing statement showing a zero balance, a screen shot from system showing vendor and payment amount with voucher number, copy of front and back of canceled check, or notarized letter which includes check number and date when expenditure was paid).
- Deadline for all federal reimbursements for salary positions must be invoiced to the CT Highway Safety Office (HSO) no later than October 30th. Failure to do so may jeopardize your reimbursement.
- All salary reimbursements must be accompanied by signed timesheets and/or reports. Signature of both the employee and authorizing Supervisor is required.
- Deadline for all federal reimbursements for commodity purchases and other pre-approved grant items should be submitted to the HSO no later than October 30th.
- Photocopies of any media coverage (if applicable) or supportive documentation can be included. Grant category budgets should be adhere to, funding is not fluid between budget categories. Only expenses contained in the approved Highway Safety Project application may be claimed for reimbursement.

FAILURE TO MEET THE REIMBURSEMENT REQUIREMENTS SET FORTH MAY RESULT IN YOUR CLAIM BEING DENIED.

Certifications & Assurances

NONDISCRIMINATION

(applies to subrecipients as well as States)

The State highway safety agency will comply with all Federal statutes and implementing regulations relating to nondiscrimination ("Federal Nondiscrimination Authorities"). These include but are not limited to:

- **Title VI of the Civil Rights Act of 1964** (42 U.S.C. 2000d et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin) and 49 CFR part 21;
- **The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970**, (42 U.S.C. 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- **Federal-Aid Highway Act of 1973**, (23 U.S.C. 324 et seq.), and **Title IX of the Education Amendments of 1972**, as amended (20 U.S.C. 1681-1683 and 1685-1686) (prohibit discrimination on the basis of sex);
- **Section 504 of the Rehabilitation Act of 1973**, (29 U.S.C. 794 et seq.), as amended, (prohibits discrimination on the basis of disability) and 49 CFR part 27;
- **The Age Discrimination Act of 1975**, as amended, (42 U.S.C. 6101 et seq.), (prohibits discrimination on the basis of age);
- **The Civil Rights Restoration Act of 1987**, (Pub. L. 100-209), (broadens scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal aid recipients, subrecipients and contractors, whether such programs or activities are Federally-funded or not);
- **Titles II and III of the Americans with Disabilities Act** (42 U.S.C. 12131-12189) (prohibits discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing) and 49 CFR parts 37 and 38;
- **Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations** (prevents discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations); and
- **Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency** (guards against Title VI national origin discrimination/discrimination because of limited English proficiency (LEP) by ensuring that funding recipients take reasonable steps to ensure that LEP persons have meaningful access to programs (70 FR 74087-74100).

The State highway safety agency—

- Will take all measures necessary to ensure that no person in the United States shall, on the grounds of race, color, national origin, disability, sex, age, limited English proficiency, or membership in any other class protected by Federal Nondiscrimination Authorities, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any of its programs or activities, so long as any portion of the program is Federally-assisted;
- Will administer the program in a manner that reasonably ensures that any of its subrecipients, contractors, subcontractors, and consultants receiving Federal financial assistance under this program will comply with all requirements of the NonDiscrimination Authorities identified in this Assurance;
- Agrees to comply (and require its subrecipients, contractors, subcontractors, and consultants to comply) with all applicable provisions of law or regulation governing US DOT's or NHTSA's access to records, accounts, documents, information, facilities, and staff, and to cooperate and comply with any program or compliance reviews, and/or complaint investigations conducted by US DOT or NHTSA under any Federal Nondiscrimination Authority;
- Acknowledges that the United States has a right to seek judicial enforcement with regard to any matter arising under these Non-Discrimination Authorities and this Assurance;
- Agrees to insert in all contracts and funding agreements with other State or private entities the following clause:

"During the performance of this contract/funding agreement, the contractor/funding recipient agrees—

- a. To comply with all Federal nondiscrimination laws and regulations, as may be amended from time to time;
- b. Not to participate directly or indirectly in the discrimination prohibited by any Federal non-discrimination law or regulation, as set forth in appendix B of 49 CFR part 21 and herein;
- c. To permit access to its books, records, accounts, other sources of information, and its facilities as required by the State highway safety office, US DOT or NHTSA;
- d. That, in event a contractor/funding recipient fails to comply with any nondiscrimination provisions in this contract/funding agreement, the State highway safety agency will have the right to impose such contract/agreement sanctions as it or NHTSA determine are appropriate, including but not limited to withholding payments to the contractor/funding recipient under the contract/agreement until the contractor/funding recipient complies; and/or cancelling, terminating, or suspending a contract or funding agreement, in whole or in part; and
- e. To insert this clause, including paragraphs (a) through (e), in every subcontract and subagreement and in every solicitation for a subcontract or sub-agreement, that receives Federal funds under this program.

POLITICAL ACTIVITY (HATCH ACT)

(applies to subrecipients as well as States)

The State will comply with provisions of the Hatch Act (5 U.S.C. 1501-1508), which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

CERTIFICATION REGARDING FEDERAL LOBBYING

(applies to subrecipients as well as States)

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-award at all tiers (including subcontracts, subgrants, and contracts under grant, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

RESTRICTION ON STATE LOBBYING

(applies to subrecipients as well as States)

None of the funds under this program will be used for any activity specifically designed to urge or influence a State or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., "grassroots") lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds from engaging in direct communications with State or local legislative officials, in accordance with customary State practice, even if such communications urge legislative officials to favor or oppose the adoption of a specific pending legislative proposal.

CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

(applies to subrecipients as well as States)

Instructions for Primary Tier Participant Certification (States)

1. By signing and submitting this proposal, the prospective primary tier participant is providing the certification set out below and agrees to comply with the requirements of 2 CFR parts 180 and 1200.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective primary tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary tier participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default or may pursue suspension or debarment.
4. The prospective primary tier participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary tier participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. *The terms covered transaction, civil judgment, debarment, suspension, ineligible, participant, person, principal, and voluntarily excluded*, as used in this clause, are defined in 2 CFR parts 180 and 1200. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary tier participant further agrees by submitting this proposal that it will include the clause titled "Instructions for Lower Tier Participant Certification including the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction, provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions and will require lower tier participants to comply with 2 CFR parts 180 and 1200.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any prospective lower tier participants, each participant may, but is not required to, check the System for Award Management Exclusions website (<https://www.sam.gov/>).
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency may terminate the transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Tier Covered Transactions

- (1) The prospective primary tier participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them 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 contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

- (2) Where the prospective primary tier participant is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Lower Tier Participant Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below and agrees to comply with the requirements of 2 CFR parts 180 and 1200.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant

knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances

4. The terms covered transaction, civil judgment, debarment, suspension, ineligible, participant, person, principal, and voluntarily excluded, as used in this clause, are defined in 2 CFR parts 180 and 1200. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Instructions for Lower Tier Participant Certification including the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions and will require lower tier participants to comply with 2 CFR parts 180 and 1200.

7. The participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any prospective lower tier participants, each participant may, but is not required to, check the System for Award Management Exclusions website (<https://www.sam.gov/>).

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction

knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, department the or agency with which this transaction originated may pursue available remedies, including suspension or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions:

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions 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.

BUY AMERICA ACT

(applies to subrecipients as well as States)

The State and each subrecipient will comply with the Buy America requirement (23 U.S.C. 313) when purchasing items using Federal funds. Buy America requires a State, or subrecipient, to purchase with Federal funds only steel, iron and manufactured products produced in the United States, unless the Secretary of Transportation determines that such domestically produced items would be inconsistent with the public interest, that such materials are not reasonably available and of a satisfactory quality, or that inclusion of domestic materials will increase the cost of the overall project contract by more than 25 percent. In order to use Federal funds to purchase foreign produced items, the State must submit a waiver request that provides an adequate basis and justification for approval by the Secretary of Transportation.

PROHIBITION ON USING GRANT FUNDS TO CHECK FOR HELMET USAGE

(applies to subrecipients as well as States)

The State and each subrecipient will not use 23 U.S.C. Chapter 4 grant funds for programs to check helmet usage or to create checkpoints that specifically target motorcyclists.

Signature

This section must be completed by an Authorizing Official or Financial Officer belonging to the applicant's organization.

I understand that my statements in support of the State's application for Federal grant funds are statements upon which the Federal Government will rely in determining qualification for grant funds, and that knowing misstatements may be subject to civil or criminal penalties under 18 U.S.C. 1001. I sign these Certifications and Assurances based on personal knowledge, and after appropriate inquiry.

Name: Rita Nigri *
Title: Grant Administrator *

Signature: Rita Nigri *
Signature Date: 10/08/2024

Audit Requirements

This page must be completed by an Authorizing Official or Financial Officer belonging to the applicant's organization.

NOTE: PLEASE DO NOT SIGN FOR BOTH STATEMENTS

Attachment A

SINGLE AGENCY AUDITING REQUIREMENTS AND PROCEDURES EFFECTIVE OCTOBER 1, 2024

AUDIT REQUIREMENT STATEMENT:

The town/city/agency of *Norwalk Police Department*

declares that for the fiscal year ending September 30, 2025, the sum total of Federal funds awarded to local government agencies from all sources DOES exceed \$750,000 and that it will conduct an audit report as required under 2 CFR part 200 subpart F (REVISED) AUDITS OF STATES, LOCAL GOVERNMENTS, AND NON-PROFIT ORGANIZATIONS AND 49 CFR UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS PART 18.26.

Name: *Chitsamay Lam*

Signature: *Chitsamay Lam*

Title: *Comptroller*

Date: *10/08/2024*

(NOTE: PLEASE DO NOT SIGN FOR BOTH STATEMENTS)

AUDIT EXEMPTION STATEMENT:

The town/city/agency of *Norwalk Police Department*

declares that for the fiscal year ending September 30, 2025, the sum total of Federal funds awarded to local government agencies from all sources DOES NOT exceed \$750,000 and that an independent audit is not required under 2 CFR part 200 subpart F (REVISED) AUDITS OF STATES, LOCAL GOVERNMENTS, AND NON-PROFIT ORGANIZATIONS AND 49 CFR UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS PART 18.26.

Name:

Signature:

Title:

Date:

The following sanctions policy will be in effect for sub grantees who do not submit Audit Reports or who do not correct findings in those reports:

- a. Any sub grantee receiving \$750,000 or more in Federal funds from all sources who fails to submit an audit report two or more sequential fiscal years will not be eligible for highway safety grants until all audit reporting requirements are met.
- b. Any sub grantee who has not taken corrective action on an audit finding within six months of the submission of an audit report will have funds automatically deducted from any pending claims. If there are no pending claims with the HSO, the sub grantee will not be eligible for highway safety grants until a corrective action has been negotiated with the HSO.

Norwalk Department of Police Service

Memo

To:	Common Council and Public Safety and General Government Committee
From:	Deputy Chief Melissa Lepore
CC:	
Re:	State of Connecticut Department of Emergency Services and Public Protection, ARPA-ATV-2023-NWK-2A Grant Acceptance Authorization
Date:	October 17, 2024

The State of Connecticut Department of Emergency Services and Public Protection has awarded the Norwalk Police Department additional funding and extended the expiration date for the American Rescue Plan Act (ARPA)-ATV-2023-NWK-2A grant. The grant, Amendment 2A, award is approved for \$35,000.00. The funding start date is October 01, 2023 and the end date is December 31, 2026.

The Norwalk Police Department has experienced a surge in individuals committing auto theft and other crimes related to auto theft within the City of Norwalk and surrounding municipalities. Funding will pay for increased police patrols to help deter auto thefts, violent crimes, and criminal acts from taking place. The Amendment 2A of ARPA grant allows for an increase of proactive marked and unmarked patrols, criminal investigations into the suspects, or the purchase of approved auto theft and violence related equipment.

We are requesting the following authorization:

1. Authorize Mayor, Harry W. Rilling, to execute any and all documents and agreements necessary to accept grant funding under State of Connecticut Department of Emergency Services and Public Protection ARPA-ATV-2023-NWK-2A grant.
2. Authorize Chief of Police, James Walsh, to execute any and all documents and agreements as may be necessary to implement the State of Connecticut Department of Emergency Services and Public Protection ARPA-ATV-2023-NWK-2A grant.

STATE OF CONNECTICUT GRANT AGREEMENT FOR SLFRF

COVER PAGE

State Agency State of Connecticut Department of Emergency Services and Public Protection	Agreement Number ARPA-ATV-2023-NWK-2A Federal Grant No. SLFRP0128
Grantee: Town of Norwalk UEI/SAMS Number: FEIN: 06-6011881	Agreement Effective Date 6/1/2023 Agreement Expiration Date 6/30/2025
Agreement Maximum Amount \$70,000	Fund Expenditure End Date 12/31/2026
State Fiscal Year 2024- 2025 \$35,000*	Agreement Authority Be it enacted by the State of Connecticut's Senate and House of Representatives in General Assembly Connecticut General Statutes §§ PA- 22-118 Sec. 10, Section 41 of special act 21-15, as amended by section 306 of public act 21-2 of the June special session and section 3 of special act 22- 2, is amended to read as follows (Effective from passage): The following sums are allocated, in accordance with the provisions of special act 21-1, from the federal funds designated for the state pursuant to the provisions of section 602 of Subtitle M of Title IX of the American Rescue Plan Act of 2021, P.L. 117-2, as amended from time to time, for the annual periods indicated for the purposes described.
* Funds may not be available through the Federal Award End Date subject to the provisions in § 2 (Terms and Agreement Effective Date) and § 5 (Payments to Grantee) below.	
Exhibits and Order of Precedence The following Exhibits and attachments are included with this Agreement: 1. Exhibit A, Statement of Work. 2. Exhibit B, Payment Terms and Provisions and Budget. 3. Exhibit C, Federal Provisions. 4. Exhibit D, Agreement with Subrecipient of Federal Recovery Funds 5. Exhibit E, SLFRF Subrecipient Quarterly Report 6. Exhibit F, Contractor Terms 7. Exhibit G, Beneficiary Terms	
In the event of a conflict or inconsistency between this Agreement and any Exhibit or attachment, such conflict or inconsistency shall be resolved by reference to the documents in the following order of priority: 1. Exhibit C, Federal Provisions. 2. Exhibit D, Agreement with Subrecipient of Federal Recovery Funds. 3. Connecticut Special Provisions in §17 of the main body of this Agreement. 4. The provisions of the other sections of the main body of this Agreement. 5. Exhibit A, Statement of Work. 6. Exhibit B, Payment Terms and Provisions and Budget. 7. Exhibit E, SLFRF Subrecipient Quarterly Report.	

Federal Awarding Office	US Department of the Treasury
Grant Program	Coronavirus State and Local Fiscal Recovery Funds
Assistance Listing Number	21.027
Federal Award Number	<i>SLFRP0128</i>
Federal Award Date	5/14/2021
Federal Award End Date*	December 31, 2026
Federal Statutory Authority	Section 602(b) of the Social Security Act (the "SSA"), as added by section 9901 of the American Rescue Plan Act ("ARPA"), Pub. L. No. 117-2 (March 11, 2021)
Total Amount of Federal Award (this is <u>not</u> the amount of this grant agreement)	\$5,200,000

* Funds may not be available through the Federal Award End Date subject to the provisions in § 2 (Terms and Agreement Effective Date) and § 5 (Payments to Grantee) below.

For Grantor/DAS Use Only

AMOUNT	FUND	DEPT	SID	PROGRAM	ACCT	BR YR	PROJECT
\$							

SIGNATURE PAGE

THE PARTIES HERETO HAVE EXECUTED THIS AGREEMENT

Each person signing this Agreement represents and warrants that the signer is duly authorized to execute this Agreement and to bind the Party authorizing such.

GRANTEE _____ By: Name & Title Date: _____	GRANTOR: STATE OF CONNECTICUT _____ By: Ronnell A. Higgins, Commissioner Date: _____
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EXHIBIT B
PAYMENT TERMS AND PROVISIONS
AND BUDGET

[illegible]

Budget Total:	\$35,000.00	\$35,000 max
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EXHIBIT C FEDERAL PROVISIONS

1. APPLICABILITY OF PROVISIONS

- 1.1. The Agreement to which these Federal Provisions are attached has been funded, in whole or in part, with an Award of Federal funds. In the event of a conflict between the provisions of these Federal Provisions, the Special Provisions, the body of the Agreement, or any attachments or exhibits incorporated into and made a part of the Agreement, the provisions of these Federal Provisions shall control.
- 1.2. The State of Connecticut is accountable to Treasury for oversight of their subrecipients, including ensuring their subrecipients comply with the SLFRF statute, SLFRF Award Terms and Conditions, Treasury's Final Rule, and reporting requirements, as applicable.
- 1.3. Additionally, any subrecipient that issues a subaward to another entity (2nd tier subrecipient), must hold the 2nd tier subrecipient accountable to these provisions and adhere to reporting requirements.
- 1.4. These Federal Provisions are subject to the Award as defined in § 2 of these Federal Provisions, as may be revised pursuant to ongoing guidance from the relevant Federal or State of Connecticut agency or institutions of higher education.

2. DEFINITIONS

- 2.1. For the purposes of these Federal Provisions, the following terms shall have the meanings ascribed to them below.
 - 2.1.1. "Award" means an award of Federal financial assistance, and the Agreement setting forth the terms and conditions of that financial assistance, that a non-Federal Entity receives or administers.
 - 2.1.2. "Entity" means:
 - 2.1.2.1. a Non-Federal Entity;
 - 2.1.2.2. a foreign public entity;
 - 2.1.2.3. a foreign organization;
 - 2.1.2.4. a non-profit organization;
 - 2.1.2.5. a domestic for-profit organization (for 2 CFR parts 25 and 170 only);
 - 2.1.2.6. a foreign non-profit organization (only for 2 CFR part 170) only);
 - 2.1.2.7. a Federal agency, but only as a Subrecipient under an Award or Subaward to a non-Federal entity (or 2 CFR § 200.1); or
 - 2.1.2.8. a foreign for-profit organization (for 2 CFR part 170 only).
 - 2.1.3. "Executive" means an officer, managing partner or any other employee in a management position.
 - 2.1.4. "Expenditure Category (EC)" means the category of eligible uses as defined by the US Department of Treasury in "Appendix 1 of the Compliance and Reporting Guidance, State and Local Fiscal Recovery Funds" report available www.treasury.gov
 - 2.1.5. "Federal Awarding Agency" means a Federal agency providing a Federal Award to a Recipient as described in 2 CFR § 200.1
 - 2.1.6. "Grant" means the Agreement or Grant to which these Federal Provisions are attached.
 - 2.1.7. "Grantee" means the party or parties identified as such in the Grant to which these Federal Provisions are attached.
 - 2.1.8. "Non-Federal Entity means a State, local government, Indian tribe, institution of higher education, or nonprofit organization that carries out a Federal Award as a Recipient or a Subrecipient.

- 2.1.9. "Nonprofit Organization" means any corporation, trust, association, cooperative, or other organization, not including IHEs, that:
- 2.1.9.1. Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest;
 - 2.1.9.2. Is not organized primarily for profit; and
 - 2.1.9.3. Uses net proceeds to maintain, improve, or expand the operations of the organization.
- 2.1.10. "OMB" means the Executive Office of the President, Office of Management and Budget.
- 2.1.11. "Pass-through Entity" means a non-Federal Entity that provides a Subaward to a Subrecipient to carry out part of a Federal program.
- 2.1.12. "Prime Recipient" means the Connecticut State agency or institution of higher education identified as the Grantor in the Grant to which these Federal Provisions are attached.
- 2.1.13. "Subaward" means an award by a Prime Recipient to a Subrecipient funded in whole or in part by a Federal Award. The terms and conditions of the Federal Award flow down to the Subaward unless the terms and conditions of the Federal Award specifically indicate otherwise in accordance with 2 CFR § 200.101. The term does not include payments to a Contractor or payments to an individual that is a beneficiary of a Federal program.
- 2.1.14. "Subrecipient" or "Subgrantee" means a non-Federal Entity (or a Federal agency under an Award or Subaward to a non-Federal Entity) receiving Federal funds through a Prime Recipient to support the performance of the Federal project or program for which the Federal funds were awarded. A Subrecipient is subject to the terms and conditions of the Federal Award to the Prime Recipient, including program compliance requirements. The term does not include an individual who is a beneficiary of a federal program.
- 2.1.15. "System for Award Management (SAM)" means the Federal repository into which an Entity must enter the information required under the Transparency Act, which may be found at <http://www.sam.gov>. "Total Compensation" means the cash and noncash dollar value earned by an Executive during the Prime Recipient's or Subrecipient's preceding fiscal year (see 48 CFR § 52.204-10, as prescribed in 48 CFR § 4.1403(a)) and includes the following:
- 2.1.15.1. Salary and bonus;
 - 2.1.15.2. Awards of stock, stock options, and stock appreciation rights, using the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2005) (FAS 123R), Shared Based Payments;
 - 2.1.15.3. Earnings for services under non-equity incentive plans, not including group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of Executives and are available generally to all salaried employees;
 - 2.1.15.4. Change in present value of defined benefit and actuarial pension plans;
 - 2.1.15.5. Above-market earnings on deferred compensation which is not tax-qualified;
 - 2.1.15.6. Other compensation, if the aggregate value of all such other compensation (e.g., severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the Executive exceeds \$10,000.
- 2.1.16. "Transparency Act" means the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by § 6202 of Public Law 110-252.

2.1.17. "Uniform Guidance" means the Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The terms and conditions of the Uniform Guidance flow down to Awards to Subrecipients unless the Uniform Guidance or the terms and conditions of the Federal Award specifically indicate otherwise.

2.1.18. "Unique Entity ID Number" means the twelve-character alphanumeric ID assigned to an entity by SAM.gov to uniquely identify a business entity. Information on UEIs can be found at: sam.gov/content/duns-uei.

3. COMPLIANCE

3.1. Grantee shall comply with all applicable provisions of the Transparency Act and the regulations issued pursuant thereto, all applicable provisions of the Uniform Guidance, and all applicable Federal Laws and regulations required by this Federal Award. Any revisions to such provisions or regulations shall automatically become a part of these Federal Provisions, without the necessity of either party executing any further instrument. The State of Connecticut, at its discretion, may provide written notification to Grantee of such revisions, but such notice shall not be a condition precedent to the effectiveness of such revisions.

3.2. Per US Treasury Final Award requirements, grantee programs or services must not include terms or conditions that undermine efforts to stop COVID-19 or discourage compliance with recommendations and CDC guidelines.

4. SYSTEM FOR AWARD MANAGEMENT (SAM) AND UNIQUE ENTITY IDENTIFIER (UEI) REQUIREMENTS

4.1. SAM. Grantee shall maintain the currency of its information in SAM until the Grantee submits the final financial report required under the Award or receives final payment, whichever is later. Grantee shall review and update SAM information at least annually after the initial registration, and more frequently if required by changes in its information.

4.2. UEI. Grantee shall provide its UEI number to its Prime Recipient, and shall update Grantee's information in SAM at least annually after the initial registration, and more frequently if required by changes in Grantee's information.

5. TOTAL COMPENSATION

5.1. Grantee shall include Total Compensation in SAM for each of its five most highly compensated Executives for the preceding fiscal year if:

5.1.1. The total Federal funding authorized to date under the Award is \$30,000 or more; and

5.1.2. In the preceding fiscal year, Grantee received:

5.1.2.1. 80% or more of its annual gross revenues from Federal procurement Agreements and Subcontractors and/or Federal financial assistance Awards or Subawards subject to the Transparency Act; and

5.1.2.2. \$30,000,000 or more in annual gross revenues from Federal procurement Agreements and Subcontractors and/or Federal financial assistance Awards or Subawards subject to the Transparency Act; and

5.1.2.3. 5.1.2.3 The public does not have access to information about the compensation of such Executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d) or § 6104 of the Internal Revenue Code of 1986.

6. REPORTING

6.1. If Grantee is a Subrecipient of the Award pursuant to the Transparency Act, Grantee shall report data elements to SAM and to the Prime Recipient as required in this Exhibit. No direct payment shall be made to Grantee for providing any reports required under these Federal Provisions and the cost of producing such reports shall be included in the Grant price. The reporting requirements in this Exhibit are based on guidance from the OMB, and as such are subject to change at any time by OMB. Any such changes shall be automatically incorporated into this Grant and shall become part of Grantee's obligations under this Grant.

7. EFFECTIVE DATE AND DOLLAR THRESHOLD FOR FEDERAL REPORTING

- 7.1. Reporting requirements in § 8 below apply to all awards made under SLFRF. If the total award is \$50,000 and above, the award is subject to FFATA reporting which will be completed by UST.
- 7.2. The procurement standards in §9 below are applicable to new Awards made by Prime Recipient as of December 26, 2015. The standards set forth in §11 below are applicable to audits of fiscal years beginning on or after December 26, 2014.

8. SUBRECIPIENT REPORTING REQUIREMENTS

- 8.1. Grantee shall report as set forth below. Reports are expected to align with a single expenditure category (e.g., EC 2.34).
 - 8.1.1. Grantee shall use the SLFRF Subrecipient Quarterly Report Workbook as referenced in Exhibit E to report to the Grantor. Additional information on specific requirements are detailed in the SLFRF Subrecipient Quarterly Report Workbooks and "Compliance and Reporting Guidance, State and Local Fiscal Recovery Funds" report available at www.treasury.gov.

EC 1 – Public Health

All Public Health Projects (1.1 through 1.14)

- a) Description of structure and objectives
- b) Description of relation to COVID-19
- c) Identification of impacted and/or disproportionately impacted communities
- d) Capital Expenditures
 - i. Presence of capital expenditure in project
 - ii. Total projected capital expenditure
 - iii. Type of capital expenditure (from list of enumerated uses in Treasury guidance)
 - iv. Written justification (Required when total project cost is \$1 million or more)
 - v. Labor reporting (Required when total project cost is \$10 million or more)

COVID-19 Interventions and Mental Health (1.4, 1.11, 1.12, 1.13)

- a) Amount of total project used for evidence-based programs
- b) Evaluation plan description

COVID-19 Small Business Economic Assistance (1.8)

- a) Number of small businesses served

COVID-19 Assistance to Non-Profits (1.9)

- a) Number of non-profits served

COVID-19 Aid to Travel, Tourism, and Hospitality or Other Impacted Industries (1.10)

- a) Sector of employer
- b) Purpose of funds

EC 2 – Negative Economic Impacts

All Negative Economic Impacts Projects (2.1 through 2.37)

- a) Description of project structure and objectives
- b) Description of project's response to COVID-19
- c) Identification of impacted and/or disproportionately impacted communities
- d) Amount of total project used for evidence-based programs and description of evaluation plan (*not required for 2.5, 2.8, 2.21-2.24, 2.27-2.29, 2.31, 2.34-2.36*)
- e) Capital Expenditures
 - i. Presence of capital expenditure in project
 - ii. Total projected capital expenditure
 - iii. Type of capital expenditure (from list of enumerated uses in the Treasury guidance)

- iv. Written justification (Required when total project cost is \$1 million or more)
- v. Labor reporting (Required when total project cost is \$10 million or more)

Household Assistance (2.1, 2.3-2.8)

- a) Number of households served

Assistance to Unemployed or Underemployed Workers (2.10)

- a) Number of workers enrolled in sectoral job training programs
- b) Number of workers completing sectoral job training programs
- c) Number of people participating in summer youth employment programs

Healthy Childhood Environments (2.11-2.13)

- a) Number of children served by childcare and early learning (*Federal guidance may change this requirement in July 2022*)
- b) Number of families served by home visiting (*Federal guidance may change this requirement in July 2022*)

Education Assistance (2.14, 2.24-2.27)

- a) National Center for Education Statistics (“NCES”) School ID or NCES District ID
- b) Number of students participating in evidence-based programs (*Federal guidance may change this requirement in July 2022*)

Housing Support (2.2, 2.15-2.18)

- a) Number of people or households receiving eviction prevention services (*Federal guidance may change this requirement in July 2022*)
- b) Number of affordable housing units preserved or developed (*Federal guidance may change this requirement in July 2022*)

Small Business Economic Assistance (2.29-2.33)

- a) Number of small businesses served

Assistance to Non-Profits (2.34)

- a) Number of non-profits served

Aid to Travel, Tourism, and Hospitality or Other Impacted Industries (2.35-2.36)

- a) Sector of employer
- b) Purpose of funds
- c) If other than travel, tourism and hospitality (2.36) – description of hardship

EC 3 – Public Health – Negative Economic Impact: Public Sector Capacity

Payroll for Public Health and Safety Employees (EC 3.1)

- a) Number of government FTEs responding to COVID-19

Rehiring Public Sector Staff (EC 3.2)

- a) Number of FTEs rehired by governments

EC 4 – Premium Pay

All Premium Pay Projects

- a) List of sectors designated as critical by the chief executive of the jurisdiction, if beyond those listed in the final rule
- b) Numbers of workers served
- c) Employer sector for all subawards to third-party employers
- d) Written narrative justification of how premium pay is responsive to essential work during the public health emergency for non-exempt workers or those making over 150 percent of the state/county’s average annual wage
- e) Number of workers to be served with premium pay in K-12 schools

EC 5 – Infrastructure Projects

All Infrastructure Projects

- a) Projected/actual construction start date (month/year)
- b) Projected/actual initiation of operations date (month/year)
- c) Location (for broadband, geospatial data of locations to be served)
- d) Projects over \$10 million
 - i. Prevailing wage certification or detailed project employment and local impact report
 - ii. Project labor agreement certification or project workforce continuity plan
 - iii. Prioritization of local hires
 - iv. Community benefit agreement description, if applicable

Water and sewer projects (EC 5.1-5.18)

- a) National Pollutant Discharge Elimination System (NPDES) Permit Number (if applicable; for projects aligned with the Clean Water State Revolving Fund)
- b) Public Water System (PWS) ID number (if applicable; for projects aligned with the Drinking Water State Revolving Fund)
- c) Median Household Income of service area
- d) Lowest Quintile Income of the service area

Broadband projects (EC 5.19-5.21)

- a) Confirm that the project is designed to, upon completion, reliably meet or exceed symmetrical 100 Mbps download and upload speeds.
 - i. If the project is not designed to reliably meet or exceed symmetrical 100 Mbps download and upload speeds, explain why not, and
 - ii. Confirm that the project is designed to, upon completion, meet or exceed 100 Mbps download speed and between at least 20 Mbps and 100 Mbps upload speed, and be scalable to a minimum of 100 Mbps download speed and 100 Mbps upload speed.
- b) Additional programmatic data will be required for broadband projects and will be defined in a subsequent version of the US Treasury Reporting Guidance, including, but not limited to (*Federal guidance may change this requirement in July 2022*):
 - i. Number of households (broken out by households on Tribal lands and those not on Tribal lands) that have gained increased access to broadband meeting the minimum speed standards in areas that previously lacked access to service of at least 25 Mbps download and 3 Mbps upload, with the number of households with access to minimum speed standard of reliable 100 Mbps symmetrical upload and download and number of households with access to minimum speed standard of reliable 100 Mbps download and 20 Mbps upload
 - ii. Number of institutions and businesses (broken out by institutions on Tribal lands and those not on Tribal lands) that have projected increased access to broadband meeting the minimum speed standards in areas that previously lacked access to service of at least 25 Mbps download and 3 Mbps upload, in each of the following categories: business, small business, elementary school, secondary school, higher education institution, library, healthcare facility, and public safety organization, with the number of each type of institution with access to the minimum speed standard of reliable 100 Mbps symmetrical upload and download; and number of each type of institution with access to the minimum speed standard of reliable 100 Mbps download and 20 Mbps upload.
 - iii. Narrative identifying speeds/pricing tiers to be offered, including the speed/pricing of its affordability offering, technology to be deployed, miles of fiber, cost per mile, cost per passing, number of households (broken out by households on Tribal lands and those not on Tribal lands) projected to have increased access to broadband meeting the minimum speed standards in areas

that previously lacked access to service of at least 25 Mbps download and 3 Mbps upload, number of households with access to minimum speed standard of reliable 100 Mbps symmetrical upload and download, number of households with access to minimum speed standard of reliable 100 Mbps download and 20 Mbps upload, and number of institutions and businesses (broken out by institutions on Tribal lands and those not on Tribal lands) projected to have increased access to broadband meeting the minimum speed standards in areas that previously lacked access to service of at least 25 Mbps download and 3 Mbps upload, in each of the following categories: business, small business, elementary school, secondary school, higher education institution, library, healthcare facility, and public safety organization. Specify the number of each type of institution with access to the minimum speed standard of reliable 100 Mbps symmetrical upload and download; and the number of each type of institution with access to the minimum speed standard of reliable 100 Mbps download and 20 Mbps upload.

All Expenditure Categories

a) Program income earned and expended to cover eligible project costs

8.1.2. A Subrecipient shall report the following data elements to Prime Recipient no later than five calendar days after the end of the month following the month in which the Subaward was made.

- 8.1.2.1. Subrecipient UEI Number;
- 8.1.2.2. Subrecipient UEI Number if more than one electronic funds transfer (EFT) account;
- 8.1.2.3. Subrecipient parent's organization UEI Number;
- 8.1.2.4. Subrecipient's address, including: Street Address, City, State, Country, Zip + 4, and Congressional District;
- 8.1.2.5. Subrecipient's top 5 most highly compensated Executives if the criteria in §4 above are met; and
- 8.1.2.6. Subrecipient's Total Compensation of top 5 most highly compensated Executives if the criteria in §4 above met.

8.1.3. To Prime Recipient. A Subrecipient shall report to its Prime Recipient, the following data elements:

- 8.1.3.1. Subrecipient's UEI Number as registered in SAM.
- 8.1.3.2. Primary Place of Performance Information, including: Street Address, City, State, Country, Zip code + 4, and Congressional District.
- 8.1.3.3. Narrative identifying methodology for serving disadvantaged communities. See the "Project Demographic Distribution" section in the "Compliance and Reporting Guidance, State and Local Fiscal Recovery Funds" report available at www.treasury.gov. This requirement is applicable to all projects in Expenditure Categories 1 and 2.
- 8.1.3.4. Narrative identifying funds allocated towards evidenced-based interventions and the evidence base. See the "Use of Evidence" section in the "Compliance and Reporting Guidance, State and Local Fiscal Recovery Funds" report available at www.treasury.gov. See section 8.1.1 for relevant Expenditure Categories.
- 8.1.3.5. Narrative describing the structure and objectives of the assistance program and in what manner the aid responds to the public health and negative economic impacts of COVID-19. This requirement is applicable to Expenditure Categories 1 and 2. For aid to travel, tourism, and hospitality or other impacted industries (EC 2.11-2.12), also provide the sector of employer, purpose of funds, and if not travel, tourism and hospitality a description of the pandemic impact on the industry.

- 8.1.3.6. Narrative identifying the sector served and designated as critical to the health and well-being of residents by the chief executive of the jurisdiction and the number of workers expected to be served. For groups of workers (e.g., an operating unit, a classification of worker, etc.) or, to the extent applicable, individual workers, other than those where the eligible worker receiving premium pay is earning (with the premium pay included) below 150 percent of their residing state or county's average annual wage for all occupations, as defined by the Bureau of Labor Statistics Occupational Employment and Wage Statistics, whichever is higher, OR the eligible worker receiving premium pay is not exempt from the Fair Labor Standards Act overtime provisions, include justification of how the premium pay or grant is responsive to workers performing essential work during the public health emergency. This could include a description of the essential workers' duties, health or financial risks faced due to COVID-19 but should not include personally identifiable information. This requirement applies to EC 4.1, and 4.2.
- 8.1.3.7. For infrastructure projects (EC 5) or capital expenditures in any expenditure category, narrative identifying the projected construction start date (month/year), projected initiation of operations date (month/year), and location (for broadband, geospatial location data).
- 8.1.3.7.1. For projects over \$10 million:
- 8.1.3.7.1.1. Certification that all laborers and mechanics employed by Contractors and Subcontractors in the performance of such project are paid wages at rates not less than those prevailing, as determined by the U.S. Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code (commonly known as the "Davis-Bacon Act"), for the corresponding classes of laborers and mechanics employed on projects of a character similar to the Agreement work in the civil subdivision of the State (or the District of Columbia) in which the work is to be performed, or by the appropriate State entity pursuant to a corollary State prevailing-wage-in-construction law (commonly known as "baby Davis-Bacon Act"). If such certification is not provided, a recipient must provide a project employment and local impact report detailing (1) the number of employees of Contractors and sub-contractors working on the project; (2) the number of employees on the project hired directly and hired through a third party; (3) the wages and benefits of workers on the project by classification; and (4) whether those wages are at rates less than those prevailing. Recipients must maintain sufficient records to substantiate this information upon request.
- 8.1.3.7.1.2. A Subrecipient may provide a certification that a project includes a project labor agreement, meaning a pre-hire collective bargaining agreement consistent with section 8(f) of the National Labor Relations Act (29 U.S.C. § 158(f)). If the recipient does not provide such certification, the recipient must provide a project workforce continuity plan, detailing: (1) how the Subrecipient will ensure the project has ready access to a sufficient supply of appropriately skilled and unskilled labor to ensure high-quality construction throughout the life of the project; (2) how the Subrecipient will minimize risks of labor disputes and disruptions that would jeopardize timeliness and cost-effectiveness of the project; and (3) how the Subrecipient will provide a safe and healthy workplace that avoids delays and costs associated with workplace illnesses, injuries, and fatalities; (4) whether workers on the project will receive wages and benefits that will secure an appropriately skilled workforce in the context of the local or regional labor market; and (5) whether the project has completed a project labor agreement.
- 8.1.3.7.1.3. Whether the project prioritizes local hires.
- 8.1.3.7.1.4. Whether the project has a Community Benefit Agreement, with a description of any such agreement.

- 8.1.4. Subrecipient also agrees to comply with any reporting requirements established by the US Treasury, and the State of Connecticut Office of Policy and Management. The State of Connecticut may need additional reporting requirements after this agreement is executed. If there are additional reporting requirements, the State will provide notice of such additional reporting requirements via an amendment.

9. PROCUREMENT STANDARDS

- 9.1. Procurement Procedures. A Subrecipient shall use its own documented procurement procedures which reflect applicable State, local, and Tribal laws and applicable regulations, provided that the procurements conform to applicable Federal law and the standards identified in the Uniform Guidance, including without limitation, 2 CFR §§ 200.318 through 200.327 thereof.
- 9.2. Domestic preference for procurements (2 CFR § 200.322). As appropriate and to the extent consistent with law, the non-Federal entity should, to the greatest extent practicable under a Federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products). The requirements of this section must be included in all subawards including all Agreements and purchase orders for work or products under this award.
- 9.3. Procurement of Recovered Materials. If a Subrecipient is a State Agency or an agency of a political subdivision of the State, its Contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency ("EPA") at 40 CFR part 247, that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

10. ACCESS TO RECORDS

- 10.1. A Subrecipient shall permit Prime Recipient and its auditors to have access to Subrecipient's records and financial statements as necessary for Recipient to meet the requirements of 2 CFR § 200.332 (Requirements for pass-through entities), 2 CFR 200.300 (Statutory and national policy requirements) through 2 CFR § 200.309 (Period of performance), and Subpart F-Audit Requirements of the Uniform Guidance.

11. SINGLE AUDIT REQUIREMENTS

- 11.1. If a Subrecipient expends \$750,000 or more in Federal Awards during the Subrecipient's fiscal year, the Subrecipient shall procure or arrange for a single or program-specific audit conducted for that year in accordance with the provisions of Subpart F-Audit Requirements of the Uniform Guidance, issued pursuant to the federal Single Audit Act Amendments of 1996, (31 U.S.C. 7501-7507). 2 CFR § 200.501.
- 11.1.1. Election. A Subrecipient shall have a Single Audit conducted in accordance with Uniform Guidance 2 CFR § 200.514 (Scope of audit), except when it elects to have a program-specific audit conducted in accordance with 2 CFR § 200.507 (Program-specific audits). The Subrecipient may elect to have a program-specific audit if Subrecipient expends Federal Awards under only one Federal program (excluding research and development) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of Prime Recipient. A program-specific audit may not be elected for research and development unless all of the Federal Awards expended were received from Recipient and Recipient approves in advance a program-specific audit.
- 11.1.2. Exemption. If a Subrecipient expends less than \$750,000 in Federal Awards during its fiscal year, the Subrecipient shall be exempt from Federal audit requirements for that year, except as noted in 2 CFR § 200.503 (Relation to other audit requirements), but records shall be available for review or audit by appropriate officials of the Federal agency, the State, and the Government Accountability Office.

- 11.1.3. Subrecipient Compliance Responsibility. A Subrecipient shall procure or otherwise arrange for the audit required by Subpart F of the Uniform Guidance and ensure it is properly performed and submitted when due in accordance with the Uniform Guidance. Subrecipient shall prepare appropriate financial statements, including the schedule of expenditures of Federal awards in accordance with 2 CFR § 200.510 (Financial statements) and provide the auditor with access to personnel, accounts, books, records, supporting documentation, and other information as needed for the auditor to perform the audit required by Uniform Guidance Subpart F-Audit Requirements.

12. GRANT PROVISIONS FOR SUBRECIPIENT AGREEMENTS

- 12.1. In addition to other provisions required by the Federal Awarding Agency or the Prime Recipient, Grantees that are Subrecipients shall comply with the following provisions. Subrecipients shall include all of the following applicable provisions in all subcontracts entered into by it pursuant to this Grant.
- 12.1.1. [Applicable to federally assisted construction Agreements.] Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all Agreements that meet the definition of "federally assisted construction Agreement" in 41 CFR Part 60-1.3 shall include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, Office of Federal Agreement Compliance Programs, Equal Employment Opportunity, Department of Labor.
- 12.1.2. [Applicable to on-site employees working on government-funded construction, alteration and repair projects.] Davis-Bacon Act. Davis-Bacon Act, as amended (40 U.S.C. §§ 3141-3148).
- 12.1.3. Rights to Inventions Made Under a grant or agreement. If the Federal Award meets the definition of "funding agreement" under 37 CFR § 401.2 (a) and the Prime Recipient or Subrecipient wishes to enter into an Agreement with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the Prime Recipient or Subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Agreements and Cooperative Agreements," and any implementing regulations issued by the Federal Awarding Agency.
- 12.1.4. Clean Air Act (42 U.S.C. §§ 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. §§ 1251-1387), as amended. Agreements and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal awardees to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. §§ 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. §§ 1251-1387). Violations must be reported to the Federal Awarding Agency and the Regional Office of the Environmental Protection Agency (EPA).
- 12.1.5. Debarment and Suspension (Executive Orders 12549 and 12689). An award or contract (see 2 CFR § 180.220) must not be made to parties listed on the government wide exclusions in SAM, in accordance with the OMB guidelines at 2 CFR § 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), "Debarment and Suspension." SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- 12.1.6. Byrd Anti-Lobbying Amendment (31 U.S.C. § 1352). Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal Agreement, grant or any other award covered by 31 U.S.C. § 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

- 12.1.7. Never Agreement with the enemy (2 CFR § 200.215). Federal awarding agencies and recipients are subject to the regulations implementing “Never Agreement with the enemy” in 2 CFR part 183. The regulations in 2 CFR part 183 affect covered Agreements, grants and cooperative agreements that are expected to exceed \$50,000 within the period of performance, are performed outside the United States and its territories, and are in support of a contingency operation in which members of the Armed Forces are actively engaged in hostilities.
- 12.1.8. Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR § 200.216). Grantee is prohibited from obligating or expending loan or Grant Funds on certain telecommunications and video surveillance services or equipment pursuant to 2 CFR § 200.216.
- 12.1.9. Title VI of the Civil Rights Act. The Subgrantee, Contractor, Subcontractor, transferee, and assignee shall comply with Title VI of the Civil Rights Act of 1964, which prohibits recipients of federal financial assistance from excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d, *et seq.*), as implemented by the Department of Treasury’s Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this Agreement (or agreement). Title VI also includes protection to persons with “Limited English Proficiency” in any program or activity receiving federal financial assistance, 42 U.S.C. § 2000d *et seq.*, as implemented by the Department of the Treasury’s Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made part of this Agreement or agreement.

13. CERTIFICATIONS

- 13.1. Subrecipient Certification. Subrecipient shall sign a “State of Connecticut Agreement with Recipient of Federal Recovery Funds” Certification Form in **Exhibit D** and submit to State Agency with signed grant agreement.
- 13.2. Unless prohibited by Federal statutes or regulations, Prime Recipient may require Subrecipient to submit certifications and representations required by Federal statutes or regulations on an annual basis. 2 CFR § 200.208. Submission may be required more frequently if Subrecipient fails to meet a requirement of the Federal award. Subrecipient shall certify in writing to the State at the end of the Award that the project or activity was completed or the level of effort was expended. 2 CFR § 200.201(3). If the required level of activity or effort was not carried out, the amount of the Award must be adjusted.

14. EXEMPTIONS

- 14.1. These Federal Provisions do not apply to an individual who receives an Award as a natural person, unrelated to any business or non-profit organization he or she may own or operate in his or her name.
- 14.2. A Grantee with gross income from all sources of less than \$300,000 in the previous tax year is exempt from the requirements to report Subawards and the Total Compensation of its most highly compensated Executives.

15. EVENT OF DEFAULT AND TERMINATION

- 15.1. Failure to comply with these Federal Provisions shall constitute an event of default under the Grant and the State of Connecticut may terminate the Grant upon thirty (30) calendar days prior written notice if the default remains uncured five calendar days following the termination of the thirty (30) day notice period. This remedy will be in addition to any other remedy available to the State of Connecticut under the Grant, at law or in equity.
- 15.2. Termination (2 CFR § 200.340). The Federal Award may be terminated in whole or in part as follows:
 - 15.2.1. By the Federal Awarding Agency or Pass-through Entity, if a Non-Federal Entity fails to comply with the terms and conditions of a Federal Award;
 - 15.2.2. By the Federal awarding agency or Pass-through Entity, to the greatest extent authorized by law, if an award no longer effectuates the program goals or agency priorities;
 - 15.2.3. By the Federal awarding agency or Pass-through Entity with the consent of the Non-Federal Entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

- 15.2.4. By the Non-Federal Entity upon sending to the Federal Awarding Agency or Pass-through Entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal Awarding Agency or Pass-through Entity determines in the case of partial termination that the reduced or modified portion of the Federal Award or Subaward will not accomplish the purposes for which the Federal Award was made, the Federal Awarding Agency or Pass-through Entity may terminate the Federal Award in its entirety; or
- 15.2.5. By the Federal Awarding Agency or Pass-through Entity pursuant to termination provisions included in the Federal Award.

Exhibit D
AGREEMENT WITH SUBRECIPIENT OF FEDERAL RECOVERY FUNDS

Section 602(b) of the Social Security Act (the "SSA"), as added by section 9901 of the American Rescue Plan Act ("ARPA"), Pub. L. No. 117-2 (March 11, 2021), authorizes the Department of the Treasury ("Treasury") to make payments to certain Subrecipients from the Coronavirus State Fiscal Recovery Fund. The State of Connecticut has signed and certified a separate agreement with Treasury as a condition of receiving such payments from the Treasury. This agreement is between your organization and the State and your organization is signing and certifying the same terms and conditions included in the State's separate agreement with Treasury. Your organization is referred to as a Subrecipient.

As a condition of your organization receiving federal recovery funds from the State, the authorized representative below hereby (i) certifies that your organization will carry out the activities listed in section 602(c) of the SSA and (ii) agrees to the terms attached hereto. Your organization also agrees to use the federal recovery funds as specified in bills passed by the General Assembly and signed by the Governor.

Under penalty of perjury, the undersigned official certifies that the authorized representative has read and understood the organization's obligations in the Assurances of Compliance and Civil Rights Requirements, that any information submitted in conjunction with this assurances document is accurate and complete, and that the organization is in compliance with the nondiscrimination requirements.

Subrecipient Name _____

Authorized Representative: _____

Title: _____

Signature: _____

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

Printed Contractor Name

Printed Name of Authorized Official

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 20____.

Commissioner of the Superior Court (or Notary Public)

My Commission Expires

**AGREEMENT WITH SUBRECIPIENT OF FEDERAL RECOVERY FUNDS
TERMS AND CONDITIONS**

- 1) Use of Funds
 - a) Subrecipient understands and agrees that the funds disbursed under this award may only be used in compliance with section 602(c) of the Social Security Act (the "SSA"), as added by section 9901 of the American Rescue Plan Act ("ARPA"), Pub. L. No. 117-2 (March 11, 2021), and Treasury's regulations implementing that section and guidance.
 - b) Subrecipient will determine prior to engaging in any project using this assistance that it has the institutional, managerial, and financial capability to ensure proper planning, management, and completion of such project.
- 2) Period of Performance. The period of performance for this subaward is shown on page one of this Agreement. Subrecipient may use funds to cover eligible costs incurred, as set forth in Treasury's implementing regulations, during this period of performance.
- 3) Reporting. Subrecipient agrees to comply with any reporting obligations established by Treasury as they relate to this award. Subrecipient also agrees to comply with any reporting requirements established by the State of Connecticut Office of Policy and Management. The State will provide notice of such additional reporting requirements via an amendment
- 4) Maintenance of and Access to Records
 - a) Subrecipient shall maintain records and financial documents sufficient to evidence compliance with section 602(c) of the SSA, Treasury's regulations implementing that section, and guidance issued by Treasury regarding the foregoing.
 - b) The Treasury Office of Inspector General and the Government Accountability Office, or their authorized representatives, shall have the right of access to records (electronic and otherwise) of Subrecipient in order to conduct audits or other investigations.
 - c) Records shall be maintained by Subrecipient for a period of five (5) years after all funds have been expended or returned to Treasury, whichever is later.
- 5) Pre-award Costs. Pre-award costs, as defined in 2 C.F.R. § 200.458, may not be paid with funding from this award.
- 6) Administrative Costs. Subrecipient may use funds provided under this award to cover both direct and indirect costs. Subrecipient shall follow guidance on administrative costs issued by the UST and the State of Connecticut Office of Policy and Management.
- 7) Cost Sharing. Cost sharing or matching funds are not required to be provided by Subrecipient.
- 8) Conflicts of Interest. The State of Connecticut understands and agrees it must maintain a conflict of interest policy consistent with 2 C.F.R. § 200.318(c) and that such conflict of interest policy is applicable to each activity funded under this award. Subrecipient and Contractors must disclose in writing to the Office of Policy and Management or the pass-through entity, as appropriate, any potential conflict of interest affecting the awarded funds in accordance with 2 C.F.R. § 200.112. The Office of Policy and Management shall disclose such conflict to Treasury.

9) Compliance with Applicable Law and Regulations.

- a) Subrecipient agrees to comply with the requirements of section 602 of the SSA, regulations adopted by Treasury pursuant to section 602(f) of the SSA, and guidance issued by Treasury regarding the foregoing. Subrecipient also agrees to comply with all other applicable federal statutes, regulations, and executive orders, and Subrecipient shall provide for such compliance by other parties in any agreements it enters into with other parties relating to this award.
- b) Federal regulations applicable to this award include, without limitation, the following:
 - i) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. Part 200, other than such provisions as Treasury may determine are inapplicable to this Award and subject to such exceptions as may be otherwise provided by Treasury. Subpart F – Audit Requirements of the Uniform Guidance, implementing the federal Single Audit Act, shall apply to this award.
 - ii) Universal Identifier and System for Award Management (SAM), 2 C.F.R. Part 25, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 25 is hereby incorporated by reference.
 - iii) Reporting Subaward and Executive Compensation Information, 2 C.F.R. Part 170, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 170 is hereby incorporated by reference.
 - iv) OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement), 2 C.F.R. Part 180, including the requirement to include a term or condition in all lower tier covered transactions (Agreements and Subcontractors described in 2 C.F.R. Part 180, subpart B) that the award is subject to 2 C.F.R. Part 180 and Treasury's implementing regulation at 31 C.F.R. Part 19.
 - v) Subrecipient Integrity and Performance Matters, pursuant to which the award term set forth in 2 C.F.R. Part 200, Appendix XII to Part 200 is hereby incorporated by reference.
 - vi) Government wide Requirements for Drug-Free Workplace, 31 C.F.R. Part 20.
 - vii) New Restrictions on Lobbying, 31 C.F.R. Part 21.
 - viii) Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655) and implementing regulations.
 - ix) Generally applicable federal environmental laws and regulations.
- c) Statutes and regulations prohibiting discrimination applicable to this award include, without limitation, the following:
 - i) Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§ 2000d et seq.) and Treasury's implementing regulations at 31 C.F.R. Part 22, which prohibit discrimination on the basis of race, color, or national origin under programs or activities receiving federal financial assistance;
 - ii) The Fair Housing Act, Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), which prohibits discrimination in housing on the basis of race, color, religion, national origin, sex, familial status, or disability;
 - iii) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability under any program or activity receiving federal financial assistance;
The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101 et seq.), and Treasury's implementing regulations at 31 C.F.R. Part 23, which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance; and
 - iv) Title II of the Americans with Disabilities Act of 1990, as amended (42 U.S.C. §§ 12101 et seq.), which prohibits discrimination on the basis of disability under programs, activities, and services provided or made available by state and local governments or instrumentalities or agencies thereto.

10) Remedial Actions. In the event of Subrecipient's noncompliance with section 602 of the SSA, other applicable

laws, Treasury's implementing regulations, guidance, or any reporting or other program requirements, Treasury may impose additional conditions on the receipt of a subsequent tranche of future award funds, if any, or take other available remedies as set forth in 2 C.F.R. § 200.339. In the case of a violation of section 602(c) of the SSA regarding the use of funds, previous payments shall be subject to recoupment as provided in section 602(e) of the SSA and any additional payments may be subject to withholding as provided in sections 602(b)(6)(A)(ii)(III) of the SSA, as applicable.

- 11) Hatch Act. Subrecipient agrees to comply, as applicable, with requirements of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by this federal assistance.
- 12) False Statements. Subrecipient understands that making false statements or claims in connection with this award is a violation of federal law and may result in criminal, civil, or administrative sanctions, including fines, imprisonment, civil damages and penalties, debarment from participating in federal awards or Agreements, and/or any other remedy available by law
- 13) Publications. Any publications produced with funds from this award must display the following language: "This project [is being] [was] supported, in whole or in part, by federal award number SLFRP0128 awarded to the State of Connecticut by the U.S. Department of the Treasury."
- 14) Debts Owed the Federal Government
 - a) Any funds paid to the Subrecipient (1) in excess of the amount to which the Subrecipient is finally determined to be authorized to retain under the terms of this award; (2) that are determined by the Treasury Office of Inspector General to have been misused; or (3) that are determined by Treasury to be subject to a repayment obligation pursuant to sections 602(e) and 603(b)(2)(D) of the SSA and have not been repaid by the Subrecipient shall constitute a debt to the federal government.
 - b) Any debts determined to be owed to the federal government must be paid promptly by Subrecipient. A debt is delinquent if it has not been paid by the date specified in Treasury's initial written demand for payment, unless other satisfactory arrangements have been made or if the Subrecipient knowingly or improperly retains funds that are a debt as defined in paragraph 14(a). Treasury will take any actions available to it to collect such a debt.
- 15) Disclaimer.
 - a) The United States expressly disclaims any and all responsibility or liability to Subrecipient or third persons for the actions of Subrecipient or third persons resulting in death, bodily injury, property damages, or any other losses resulting in any way from the performance of this award or any other losses resulting in any way from the performance of this award or any Agreement, or Subcontractor under this award.
 - b) The acceptance of this award by Subrecipient does not in any way establish an agency relationship between the United States and Subrecipient
- 16) Protections for Whistleblowers.
 - a) In accordance with 41 U.S.C. § 4712, Subrecipient may not discharge, demote, or otherwise discriminate against an employee in reprisal for disclosing to any of the list of persons or entities provided below, information that the employee reasonably believes is evidence of gross mismanagement of a federal Agreement or grant, a gross waste of federal funds, an abuse of authority relating to a federal Agreement or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal Agreement (including the competition for or negotiation of an Agreement) or grant.

- b) The list of persons and entities referenced in the paragraph above includes the following:
 - i) A member of Congress or a representative of a committee of Congress;
 - ii) An Inspector General;
 - iii) The Government Accountability Office;
 - iv) A Treasury employee responsible for Agreement or grant oversight or management;
 - v) An authorized official of the Department of Justice or other law enforcement agency;
 - vi) A court or grand jury; or
 - vii) A management official or other employee of Subrecipient, Contractor, or Subcontractor who has the responsibility to investigate, discover, or address misconduct.
 - c) Subrecipient shall inform its employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.
- 17) Increasing Seat Belt Use in the United States. Pursuant to Executive Order 13043, 62 FR 19217 (Apr. 18, 1997), Subrecipient should encourage its Contractors to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented or personally owned vehicles.
- 18) Reducing Text Messaging While Driving. Pursuant to Executive Order 13513, 74 FR 51225 (Oct. 6, 2009), Subrecipient should encourage its employees, Subrecipients, and Contractors to adopt and enforce policies that ban text messaging while driving, and Subrecipient should establish workplace safety policies to decrease accidents caused by distracted drivers.

ASSURANCES OF COMPLIANCE WITH CIVIL RIGHTS REQUIREMENTS

ASSURANCES OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

As a condition of receipt of federal financial assistance from the Department of the Treasury, the Subrecipient provides the assurances stated herein. The federal financial assistance may include federal grants, loans and Agreements to provide assistance to the Subrecipient's beneficiaries, the use or rent of Federal land or property at below market value, Federal training, a loan of Federal personnel, subsidies, and other arrangements with the intention of providing assistance. Federal financial assistance does not encompass Agreements of guarantee or insurance, regulated programs, licenses, procurement Agreements by the Federal government at market value, or programs that provide direct benefits.

The assurances apply to all federal financial assistance from or funds made available through the Department of the Treasury, including any assistance that the Subrecipient may request in the future.

The Civil Rights Restoration Act of 1987 provides that the provisions of the assurances apply to all of the operations of the Subrecipient's program(s) and activity(ies), so long as any portion of the Subrecipient's program(s) or activity(ies) is federally assisted in the manner prescribed above.

1. Subrecipient ensures its current and future compliance with Title VI of the Civil Rights Act of 1964, as amended, which prohibits exclusion from participation, denial of the benefits of, or subjection to discrimination under programs and activities receiving federal financial assistance, of any person in the United States on the ground of race, color, or national origin (42 U.S.C. § 2000d *et seq.*), as implemented by the Department of the Treasury Title VI regulations at 31 CFR Part 22 and other pertinent executive orders such as Executive Order 13166, directives, circulars, policies, memoranda, and/or guidance documents.
2. Subrecipient acknowledges that Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency," seeks to improve access to federally assisted programs and activities for individuals who, because of national origin, have Limited English proficiency (LEP). Subrecipient understands that denying a person access to its programs, services, and activities because of LEP is a form of national origin discrimination prohibited under Title VI of the Civil Rights Act of 1964 and the Department of the Treasury's implementing regulations. Accordingly, Subrecipient shall initiate reasonable steps, or comply with the Department of the Treasury's directives, to ensure that LEP persons have meaningful access to its programs, services, and activities. Subrecipient understands and agrees that meaningful access may entail providing language assistance services, including oral interpretation and written translation where necessary, to ensure effective communication in the Subrecipient's programs, services, and activities.
3. Subrecipient agrees to consider the need for language services for LEP persons when Subrecipient develops applicable budgets and conducts programs, services, and activities. As a resource, the Department of the Treasury has published its LEP guidance at 70 FR 6067. For more information on taking reasonable steps to provide meaningful access for LEP persons, please visit <http://www.lep.gov>.
4. Subrecipient acknowledges and agrees that compliance with the assurances constitutes a condition of continued receipt of federal financial assistance and is binding upon Subrecipient and Subrecipient's successors, transferees, and assignees for the period in which such assistance is provided.
5. Subrecipient acknowledges and agrees that it must require any sub-grantees, contractors, subcontractors, successors, transferees, and assignees to comply with assurances 1-4 above, and agrees to incorporate the following language in every Agreement or agreement subject to Title VI and its regulations between the Subrecipient and the Subrecipient's sub-grantees, Contractors, Subcontractors, successors, transferees, and assignees:

The sub-grantee, Contractor, Subcontractor, successor, transferee, and assignee shall comply with Title VI

of the Civil Rights Act of 1964, which prohibits Subrecipients of federal financial assistance from excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d et seq.), as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this Agreement (or agreement). Title VI also includes protection to persons with "Limited English Proficiency" in any program or activity receiving federal financial assistance, 42 U.S.C. § 2000d et seq., as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made a part of this Agreement or agreement.

6. Subrecipient understands and agrees that if any real property or structure is provided or improved with the aid of federal financial assistance by the Department of the Treasury, this assurance obligates the Subrecipient, or in the case of a subsequent transfer, the transferee, for the period during which the real property or structure is used for a purpose for which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is provided, this assurance obligates the Subrecipient for the period during which it retains ownership or possession of the property.
7. Subrecipient shall cooperate in any enforcement or compliance review activities by the Department of the Treasury of the aforementioned obligations. Enforcement may include investigation, arbitration, mediation, litigation, and monitoring of any settlement agreements that may result from these actions. The Subrecipient shall comply with information requests, on-site compliance reviews and reporting requirements.
8. Subrecipient shall maintain a complaint log and inform the Department of the Treasury of any complaints of discrimination on the grounds of race, color, or national origin, and limited English proficiency covered by Title VI of the Civil Rights Act of 1964 and implementing regulations and provide, upon request, a list of all such reviews or proceedings based on the complaint, pending or completed, including outcome. Subrecipient also must inform the Department of the Treasury if Subrecipient has received no complaints under Title VI.
9. Subrecipient must provide documentation of an administrative agency's or court's findings of non-compliance of Title VI and efforts to address the non-compliance, including any voluntary compliance or other agreements between the Subrecipient and the administrative agency that made the finding. If the Subrecipient settles a case or matter alleging such discrimination, the Subrecipient must provide documentation of the settlement. If Subrecipient has not been the subject of any court or administrative agency finding of discrimination, please so state.
10. If the Subrecipient makes sub-awards to other agencies or other entities, the Subrecipient is responsible for ensuring that sub-Subrecipients also comply with Title VI and other applicable authorities covered in this document. State agencies that make sub-awards must have in place standard grant assurances and review procedures to demonstrate that they are effectively monitoring the civil rights compliance of sub-Subrecipients.

The United States of America has the right to seek judicial enforcement of the terms of this assurance document and nothing in this document alters or limits the federal enforcement measures that the United States may take in order to address violations of this document or applicable federal law.

EXHIBIT E
SLFRF SUBRECIPIENT REPORT

1. SLFRF SUBRECIPIENT FISCAL REPORT WORKBOOK

- 1.1 A fiscal reporting template shall be used to monitor payments and progress associated with designated line items and deliverables. This template is included as an attachment with the Grant Agreement.

EXHIBIT F
CONTRACTOR TERMS

- 1) Subrecipients shall include all of the following applicable provisions in all subcontracts entered into by it pursuant to this Grant:
 - a) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all Agreements that meet the definition of "federally assisted construction Agreement" in 41 CFR Part 60-1.3 shall include the equal opportunity clause provided under 41 CFR § 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, Office of Federal Agreement Compliance Programs, Equal Employment Opportunity, Department of Labor.
 - b) Davis-Bacon Act. Davis-Bacon Act, as amended (40 U.S.C. 3141-3148).
 - c) Rights to Inventions Made Under a grant or agreement. If the Federal Award meets the definition of "funding agreement" under 37 CFR § 401.2 (a) and the Prime Recipient or Subrecipient wishes to enter into an Agreement with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the Prime Recipient or Subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Agreements and Cooperative Agreements," and any implementing regulations issued by the Federal Awarding Agency.
 - d) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended. Agreements and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal awardees to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal Awarding Agency and the Regional Office of the Environmental Protection Agency (EPA).
 - e) Debarment and Suspension (Executive Orders 12549 and 12689). An award or contract (see 2 CFR § 180.220) must not be made to parties listed on the government wide exclusions in SAM, in accordance with the OMB guidelines at 2 CFR § 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), "Debarment and Suspension." SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
 - f) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352). Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal Agreement, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.
 - g) Never Agreement with the enemy (2 CFR § 200.215). Federal awarding agencies and recipients are subject to the regulations implementing "Never Agreement with the enemy" in 2 CFR part 183. The regulations in 2 CFR part 183 affect covered Agreements, grants and cooperative agreements that are expected to exceed \$50,000 within the period of performance, are performed outside the United States and its territories, and are in support of a contingency operation in which members of the Armed Forces are actively engaged in hostilities.
 - h) Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR § 200.216). Grantee is prohibited from obligating or expending loan or Grant Funds on certain telecommunications and video surveillance services or equipment pursuant to 2 CFR 200.216.
 - i) Title VI of the Civil Rights Act. The Subgrantee, Contractor, Subcontractor, transferee, and assignee shall comply with Title VI of the Civil Rights Act of 1964, which prohibits recipients of federal financial assistance from

excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d, *et seq.*), as implemented by the Department of Treasury's Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this Agreement (or agreement). Title VI also includes protection to persons with "Limited English Proficiency" in any program or activity receiving federal financial assistance, 42 U.S. C. § 2000d *et seq.*, as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made part of this Agreement or agreement.

EXHIBIT G
AMERICAN RESCUE PLAN ACT – STATE FISCAL RECOVERY FUNDS PROGRAM:
BENEFICIARY ATTESTATION FORM

The funding provided to you as an eligible beneficiary is supported, in whole or in part, by federal award number SLFRP0128 awarded to the State of Connecticut by the U.S. Department of the Treasury State and local Fiscal Recovery Funds Program as authorized by the American Rescue Plan Act.

THE STATE AND LOCAL FISCAL RECOVERY FUNDS PROGRAM AUTHORIZED BY THE AMERICAN RESCUE PLAN ACT PROVIDES FUNDING TO SUPPORT URGENT COVID-19 RESPONSE EFFORTS TO CONTINUE TO DECREASE SPREAD OF THE VIRUS AND BRING THE PANDEMIC UNDER CONTROL; REPLACE LOST REVENUE FOR ELIGIBLE STATE, LOCAL, TERRITORIAL, AND TRIBAL GOVERNMENTS TO STRENGTHEN SUPPORT FOR VITAL PUBLIC SERVICES AND HELP RETAIN JOBS; SUPPORT IMMEDIATE ECONOMIC STABILIZATION FOR HOUSEHOLDS AND BUSINESSES; TO MAKE NECESSARY INVESTMENTS IN WATER, SEWER, AND BROADBAND INFRASTRUCTURE; AND COVER THE COST OF OTHER ELIGIBLE ACTIVITIES.

Program Description: Sec. 78. (NEW) (Effective from passage) On and after July 1, 2022, the Department of Emergency Services and Public Protection shall, within available resources, administer a grant program to provide grants-in aid to eligible municipalities for Strategic deployment of traffic unit enforcement teams to conduct strict speed enforcement in designated areas that have demonstrated a statistical increase in the number or severity of roadway collisions. Any municipality that has a population of less than twenty-five thousand that has a law enforcement unit or resident state trooper may apply for such grants in such manner as the department prescribes. The department shall award grants of up to five thousand dollars to eligible municipalities and may award not more than a total of ten grants to any such municipality. The department shall continue to award grants until all resources dedicated to such grant program have been expended.

State Agency Contact information:

Department of Emergency Services & Public Protection

1111 Country Club Road

Middletown, CT 06457

Email: despp.autotheftgrant@ct.gov

[] Check here to certify: I have read this form and hereby attest, as an authorized representative of [insert entity legal name here], that [insert entity legal name here] meets the requirements for an eligible beneficiary. I understand that providing false or misleading information may subject [insert entity legal name here] to recoupment of funds up to the amount received.

Signature _____ Date _____

Print Name _____

Entity Legal Name _____

Address _____

EXHIBIT A

STATEMENT OF WORK

Grantee has experienced a surge of individuals committing auto theft and other crimes related to auto theft within the limits of grantee's municipality. The funds will be distributed to the cities and suburbs as a "hub and spoke" approach to reduce these types of crimes. The following municipalities are known as "Hubs": Bridgeport, Hartford, Meriden, New Britain, New Haven, New London, Stamford, and Waterbury. Surrounding these eight Hub municipalities will be "Spoke" towns that include a total of 50 cities and towns. Funding will pay for increased police patrols to help deter these criminal acts from taking place. The main goal of the auto theft and violence funding is to reduce auto theft and violent crimes associated with auto theft in Connecticut's communities. Specifically, the communities that have seen a large uptick in auto theft and violent crime since the start COVID-19 pandemic.

T. Software Piracy Prohibition

State or other public funds payable under this Agreement shall not be used for the acquisition, operation, or maintenance of computer software in violation of federal copyright laws or applicable licensing restrictions. Grantee hereby certifies and warrants that, during the term of this Agreement and any extensions, Grantee has and shall maintain in place appropriate systems and controls to prevent such improper use of public funds. If the State determines that Grantee is in violation of this provision, the State may exercise any remedy available at law or in equity or under this Agreement, including, without limitation, immediate termination of this Agreement and any remedy consistent with federal copyright laws or applicable licensing restrictions.

U. Vendor Offset and Erroneous Payments

[Not applicable to intergovernmental agreements] Subject to state statute, the State may withhold payment under the State's vendor offset intercept system for debts owed to State agencies for: (i) unpaid child support debts or child support arrearages; (ii) unpaid balances of tax, accrued interest, or other allowed charges; (iii) unpaid loans due to the Student Loan Division of the Department of Higher Education; (iv) amounts required to be paid to the Unemployment Compensation Fund; and (v) other unpaid debts owing to the State as a result of final agency determination or judicial action. The State may also recover, at the State's discretion, payments made to Grantee in error for any reason, including, but not limited to, overpayments or improper payments, and unexpended or excess funds received by Grantee by deduction from subsequent payments under this Agreement, deduction from any payment due under any other Agreements, grants or agreements between the State and Grantee, or by any other appropriate method for collecting debts owed to the State.

- i. Pursuant to 18 U.S.C. § 1913 and 31 U.S.C. § 1352, Grantee understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government without the express prior written approval of federal government.
- ii. The parties may change their respective addresses for notices under this paragraph upon prior written notification to the other.

O. Forum and Choice of Law

The parties deem the Agreement to have been made in the City of Hartford, State of Connecticut. Both parties agree that it is fair and reasonable for the validity and construction of the Agreement to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Grantee waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

P. Sovereign Immunity

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

Q. Requirements for Nonprofit Organizations

If the Grantee is a nonprofit organization, the Grantee agrees to maintain its 501(c)(3) status and to maintain up-to-date annual filings as follows: (1) Certificate of Legal Existence with the Connecticut Secretary of the State; (2) Charitable Organization Registration with the Connecticut Department of Consumer Protection, unless exempted by Connecticut General Statutes § 21a-190d; and (3) Return of Organization Exempt Form Income Tax (Form 990) with the Internal Revenue Service. At Grantor's request, the Grantee shall provide Grantor with documentation pertaining to Grantee's 501(c)(3) and or annual filings.

R. Independent Contractor

The Grantee shall act as an independent contractor in performing this agreement, maintaining complete control over its employees and all its subcontractors or subgrantees. Before hiring outside consultants or entering into contractual agreements with persons, partnerships or companies, the Grantee shall notify Grantor of the subgrantee or Subcontractor's identity.

S. Prohibited Terms

Any term included in this Agreement that requires the State to indemnify or hold Grantee harmless; requires the State to agree to binding arbitration; limits Grantee's liability for damages resulting from death, bodily injury, or damage to tangible property; or that conflicts with this provision in any way shall be void ab initio. Nothing in this Agreement shall be construed as a waiver of any provision of the state's sovereign immunity.

- z. Grantee either owns or has the authority to use all Title of and to all relevant software, and such Title is not the subject of any encumbrances, liens or claims of ownership by any third party;
- aa. Grantee's Platform does not (a) infringe or misappropriate any patent, trade secret or other intellectual property rights of a third party; or (b) violate any law, statute, ordinance or regulation;
- bb. Grantee has entered into license agreements which permit Grantee to use third-party software and any subcontractor's software, and to permit the Grantor and third parties to use such third-party software and any subcontractor's software, as expressly permitted under this Agreement; and;
- cc. Grantor's use of any software shall not infringe or misappropriate any patent, trade secret or other intellectual property rights of a third party.

L. Access to Contract and Data

The Grantee shall provide to the Grantor access to any data, as defined in C.G.S. § 4e-1, concerning the Agreement and Grantor that are in the possession or control of the Grantee upon demand and shall provide the data to Grantor in a format prescribed by Grantee and the State Auditors of Public Accounts at no additional cost.

M. State Single Audit

For purposes of this paragraph, the word "Grantee" shall be deemed to mean "nonstate entity," as that term is defined in Section 4-230 of the Connecticut General Statutes. The Grantee shall provide for an annual financial audit acceptable to the Grantor for any expenditure of state-awarded funds made by the Grantee. Such audit shall include management letters and audit recommendations. The State Auditors of Public Accounts shall have access to all records and accounts for the fiscal year(s) in which the award was made. The Grantee will comply with federal and state single audit standards as applicable.

If the Grantee meets the requirements of the State Single Audit Act, C.G.S. §§ 4-230 through 4-236, as amended, the Grantee's independent auditor is required to submit a State Single Audit Report to Grantor. C.G.S. § 4-231 requires those non-state entities which expended a total amount of State Financial Assistance equal to or in excess of \$300,000 in any fiscal year to have either a single audit or a program-specific audit conducted for such fiscal year. A program-specific audit may be conducted if the Grantee received State Financial Assistance from Grantor for this Agreement and it is the only State Financial Assistance that the Grantee has expended during its fiscal year. The State Single Audit Report or Program-Specific Audit Report, including the management letter and corrective action plan, if applicable, should be uploaded by the Grantee's independent auditor to the State of Connecticut Office of Policy and Management's Electronic Audit Reporting System (EARS) website no later than six months after the end of the audit period (Web address: <https://www.appsvcs.opm.ct.gov/Auditing/Home.aspx>) and a copy shall be given to the Grantor agency. The Grantee shall submit one hard copy of the State Single Audit Report or Program-Specific Audit Report, including the management letter and corrective action plan, if applicable, to the Office of Policy and Management / Office of Finance no later than six months after the end of the audit period. The Grantee shall also submit Form DE-2017 Supplement to the Audit Report, Detail of Grantor Expenditures to the Grantor Business Office by email no later than 3 months after the end of the audit period.

N. Additional Restrictions on Use of Federal Funds

- k. Grantee has not within the three (3) years preceding the Agreement had one or more contracts with any governmental entity terminated;
- l. Grantee has not employed an employee who has been determined to be a source for any security breach;
- m. Grantee has not employed or retained any entity or person, other than a bonafide employee working solely for it, to solicit or secure the Agreement and it has not paid or agreed to pay any entity or person, other than a bonafide employee working solely for it, any fee, commission, percentage, brokerage fee, gifts, or any other consideration contingent upon or resulting from the award or making of the Agreement or any assignments made in accordance with the Terms of the Agreement;
- n. To the best of its knowledge, there are no Claims involving Grantee or Grantee's Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Agreement;
- o. Grantee shall disclose, to the best of its knowledge, to the Grantor in writing any Claims involving it that might reasonably be expected to materially adversely affect its businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Agreement, no later than ten (10) calendar days after becoming aware or after it should have become aware of any such Claims. For purposes of the Grantee's obligation to disclose any Claims to the State, the ten (10) calendar days in the section of this Agreement concerning Disclosure of Grantee's Parties litigation shall run consecutively with the ten (10) calendar days provided for in this representation and warranty;
- p. There is no action, lawsuit, proceeding or investigation at law, in equity, or before any court, public board, arbitrator, or body, pending or, to Grantee's knowledge, threatened against or affecting it, which could or might materially adversely affect its obligations hereunder or any of the transactions contemplated hereunder;
- q. Grantee's participation in the procurement process, if applicable, or the Agreement Award is not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State's Code of Ethics or the applicable federal ethics code requirements;
- r. The Agreement was not made with collusion or fraud;
- s. Grantee shall obtain in a written acknowledgement all of the representations and warranties in this section from any Grantee's Parties and require that such representations and warranties be included in any contracts and purchase orders with such Grantee's Parties;
- t. Grantee has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
- u. Grantee has a record of compliance with Occupational Safety and Health Administration ("OSHA") regulations without any unabated, willful or serious violations;
- v. Grantee owes no unemployment compensation contributions;
- w. Grantee is not delinquent in the payment of any taxes owed or, it has filed a sales tax security bond, and it has, if and as applicable, filed for motor carrier road tax stickers and has paid all outstanding road taxes;
- x. All of Grantee's vehicles have current registrations and, unless such vehicles are no longer in service, it shall not allow any such registrations to lapse;
- y. Grantee has vested plenary authority to bind the Grantor's Parties to the full extent necessary or appropriate to ensure full compliance with and Performance in accordance with all of the terms and conditions of the Agreement and that all appropriate parties shall also provide, no later than fifteen (15) calendar days after receiving a request from the Grantor, such information as the Grantor may require to evidence, in the Grantor's sole determination, compliance with this section;

person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the Connecticut General Statutes.

K. Grantee's Representations and Warranties

- i. Grantee represents and warrants to the Grantor that:
 - a. The execution and delivery of this Agreement is within the power and authority of Grantee and is not in contravention of any law, organizational document, bylaw, agreement or undertaking to which Grantee is a party and no consent, license or approval is or will be necessary for the valid execution and delivery of this Agreement;
 - b. Grantee is duly and validly existing under the laws of its respective state of organization and authorized to conduct business in the State of Connecticut in the manner contemplated by the Agreement. Further, as appropriate, it has taken all necessary action to authorize the execution, delivery and performance of the bid and the Agreement and has the power and authority to execute, deliver and perform its obligations under the Agreement;
 - c. Grantee shall comply with all applicable State and Federal laws in satisfying its obligations to the Grantor under and pursuant to the Agreement, including, but not limited to (i) Connecticut General Statutes Title 1, Chapter 10, concerning the State's Codes of Ethics, (ii) all applicable federal ethics rules and requirements, (iii) Title 4a concerning State purchasing, and (iv) all information technology protocols;
 - d. The execution, delivery and performance of the Agreement will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) an Event of Default under any of the following, as applicable: (i) any provision of law; (ii) any order of any court or the State; or (iii) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
 - e. Grantee has all permits, licenses, franchises and other similar authorizations necessary for its Performance under this Agreement and is not aware of any state of facts that would make it impossible or impractical to obtain any similar authorization necessary for such performance. Grantee is not in violation, nor will the Agreement cause a violation of the terms or provisions of any such franchise, permit, license or similar authorization;
 - f. Grantee warrants that the deliverables will fully comply with the Agreement and will be performed with reasonable care in a diligent, workmanlike and competent manner that shall comply with all federal, state and local laws, regulations, mandates and/or requirements, and Grantee shall cure defects, if any, in a reasonable time;
 - g. Grantee is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental entity;
 - h. Grantee has no pending claims, actions, suits, proceedings pending against it for any security breaches, data breaches, commingling of data, improper or illegal use of client data or software licensing violations;
 - i. As applicable, Grantee has not, within the three (3) years preceding the Agreement, in any of its current or former jobs, been convicted of, or had a civil judgment rendered against it or against any person who would perform under the Agreement, for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract with any governmental entity. This includes, but is not limited to, violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records or property, making false statements, or receiving stolen property;
 - j. Grantee is not presently indicted for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above;

of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Grantee shall provide the summary to all subcontractors and consultants and each such contract entered into with a subcontractor or consultant on or after July 1, 2021, shall include a representation that each subcontractor or consultant and the key employees of such subcontractor or consultant have read and understood the summary and agree to comply with the provisions of state ethics law; (d) failure to include such representations in such contracts with subcontractors or consultants shall be cause for termination of the Contract; and (e) each contract with such contractor, subcontractor or consultant shall incorporate such summary by reference as a part of the contract terms.

I. Freedom of Information Act.

The Grantor is a "public agency" for purposes of FOIA. Accordingly, this Agreement and any correspondence, documents or other information delivered to the Grantor in connection therewith will be considered public records and will be subject to disclosure under FOIA. Under Connecticut General Statutes § 1-210(b), FOIA includes exemptions for "trade secrets" and "commercial or financial information given in confidence, not required by statute", but only the particular information falling within one of these exemptions can be withheld by the Grantor if the Grantor receives a FOIA request that encompasses such information. In particular, Grantee should be aware that:

- i. The State has no obligation to notify the Grantee of any FOIA request received by the State.
- ii. The State may disclose materials claimed to be exempt if in its judgment such materials do not appear to fall within a statutory exemption.
- iii. The State shall use all reasonable efforts to notify Grantee of FOIA requests and/or of complaints made to the Freedom of Information Commission concerning items for which an exemption has been claimed by Grantee, but the State has no obligation to initiate, prosecute or defend any legal proceeding or to seek to secure any protective order or other relief to prevent disclosure of any information pursuant to a FOIA request.
- iv. Grantee will have the burden of establishing the availability of any FOIA exemption in any such legal proceeding.
- v. In no event shall the State or any of its officers, directors, or employees have any liability for the disclosure of documents or information in the State's possession where the State, or such officer, director, or employee, in good faith believes the disclosure to be required under FOIA or other law.
- vi. If the Grantee receives any freedom of information request, subpoena, notice or other request for any of the Data, records, deliverables, or documentation relating to this Agreement, Grantee shall notify the Grantor of such requests within three (3) Business Days, but Grantee has no obligation to initiate, prosecute or defend any legal proceeding or to seek to secure any protective order or other relief to prevent disclosure of any information.
- vii. To the extent that any other provision or part of the Agreement conflicts or is in any way inconsistent with this section, this section controls and the conflicting provision or part shall not be given effect.

J. Disclosure of Records.

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

the State is an additional insured. The Grantee shall not begin Performance until the delivery of these 3 documents to Grantor. Grantee shall provide an annual electronic update of the 3 documents to Grantor or before each anniversary of the Agreement Effective Date during the Agreement term. State shall be entitled to recover under the insurance policy even if a body of competent jurisdiction determines that the State is contributorily negligent.

- vi. **This Section shall survive the Termination of the Agreement and shall not be limited by reason of any insurance coverage.**

E. Municipal Public Works Contracts and Quasi-Public Agency Projects Funded in Whole or Part by the State in Excess of \$50,000

Municipalities awarding municipal public works contracts and quasi-public agencies entering into contracts for quasi-public agency projects, funded in whole or part with Grant Funds awarded pursuant to this agreement, shall adhere to the requirements of Connecticut General Statutes §§ 4a-60, 4a-60a, 4a-60g, 46a-56, 46a-68c, 46a-68d, 46a-68g, and 46a-86 relating, but not limited to: nondiscrimination, affirmative action, and the set-aside program for small contractors and minority business enterprises. "Municipal Public Works Contract" is defined in accordance with Connecticut General Statutes § 4a-60g(a)(14) and "Quasi Public Agency Project" is defined in accordance with Connecticut General Statutes § 4a-60g(a)(15).

F. Whistleblowing & Retaliation

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

G. Campaign Contribution and Solicitation Prohibitions

For all State contracts, defined in section 9-612 of the Connecticut General Statutes as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Contract represents that they have received 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.

H. Large State Construction or Procurement Contract

Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the Grantor has provided to the Grantee the summary of State ethics laws developed by the Office of State Ethics pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of this Contract as if the summary had been fully set forth in this Contract; (b) the Grantee represents that the chief executive officer or authorized signatory of the Contract and all key employees of such officer or signatory have read and understood the summary and agree to comply with the provisions

Grantee is not relieved of its obligation to perform under this Agreement if it chooses to contest the applicability of the Enactments or Grantor's authority to require compliance with the Enactments.

- ii. This Agreement is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Agreement as if they had been fully set forth in it.
- iii. This Agreement may be subject to (1) Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services; (2) Executive Order No. 61 of Governor Dannel P. Malloy promulgated December 13, 2017 concerning the Policy for the Management of State Information Technology Projects, as issued by the Department of Administrative Services Policy ID IT-SDLC-17-04. If any of the Executive Orders referenced in this subsection is applicable, it is deemed to be incorporated into and made a part of this Agreement as if fully set forth in it.

C. HIPAA

- [☒] Grantor check box if the section is not applicable to the Agreement;
(Instructions – Grantor must add State HIPAA boilerplate if applicable to Agreement).

D. Indemnification

- i. The Grantee shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims arising, directly or indirectly, in connection with the Agreement, including the acts of commission or omission (collectively, the "Acts") of the Grantee or Grantee's Parties; and (2) liabilities, damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Agreement. The Grantee shall use counsel reasonably acceptable to the State in carrying out its obligations under this Section. The Grantee's obligations under this Section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the Grantor's bid, proposal or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the Performance.
- ii. The Grantee shall not be responsible for indemnifying or holding the State harmless from any liability arising due to the negligence of the State or any other person or entity acting under the direct control or supervision of the State.
- iii. The Grantee shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the Grantee or any Grantee Parties. The State shall give the Grantee reasonable notice of any such Claims.
- iv. The Grantee's duties under this Section shall remain fully in effect and binding in accordance with the terms of the Agreement, without being lessened or compromised in any way, even where the Grantee is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
- v. The Grantee shall carry and maintain at all times during the term of the Agreement, and during the time that any provisions survive the term of the Agreement, sufficient general liability insurance to satisfy its obligations under this Agreement. To the extent applicable, the Grantee shall cause the State to be named as an additional insured on the policy and shall provide (1) a certificate of insurance, (2) the declaration page and (3) the additional insured endorsement to the policy to Grantor all in an electronic format acceptable to Grantor prior to the Agreement Effective Date of the Agreement evidencing that

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

- vi. The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- vii. (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.
- viii. The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- ix. Pursuant to subsection (c) of section 4a-60 and subsection (b) of section 4a-60a of the Connecticut General Statutes, the Contractor, for itself and its authorized signatory of this Contract, affirms that it understands the obligations of this section and that it will maintain a policy for the duration of the Contract to assure that the Contract will be performed in compliance with the nondiscrimination requirements of such sections. The Contractor and its authorized signatory of this Contract demonstrate their understanding of this obligation by (A) having provided an affirmative response in the required online bid or response to a proposal question which asks if the contractor understands its obligations under such sections, (B) signing this Contract, or (C) initialing this nondiscrimination affirmation in the following box: ☐

B. Executive Orders and Other Enactments

- i. All references in this Agreement to any Federal, State, or local law, statute, public or special act, executive order, ordinance, regulation or code (collectively, "Enactments") shall mean Enactments that apply to the Agreement at any time during its term, or that may be made applicable to the Agreement during its term. This Agreement shall always be read and interpreted in accordance with the latest applicable wording and requirements of the Enactments. Unless otherwise provided by Enactments, the

- j. "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

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

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

Z. Licenses, Permits, and Other Authorizations

Grantee shall secure, prior to the Agreement Effective Date, and maintain at all times during the term of this Agreement, at its sole expense, all licenses, certifications, permits, and other authorizations required to perform its obligations under this Agreement, and shall ensure that all employees, agents and Subcontractors secure and maintain at all times during the term of their employment, agency or Subcontractor, all license, certifications, permits and other authorizations required to perform their obligations in relation to this Agreement.

AA. Indemnification

See § 17. D.

BB. Compliance with State and Federal Law, Regulations, and Executive Orders

Grantee shall comply with all State and Federal law, regulations, executive orders, State and Federal Awarding Agency policies, procedures, directives, and reporting requirements at all times during the term of this Agreement.

CC. Accessibility

Grantee shall comply with, and the Work Product provided under this Agreement shall be in compliance with all applicable provisions of the Accessibility Standards for Individuals with a Disability.

17. CONNECTICUT SPECIAL PROVISIONS

A. Nondiscrimination and Affirmative Action

i. Definitions

- a. "Commission" means the Commission on Human Rights and Opportunities;
- b. "Contract" and "contract" means this Agreement and includes any extension or modification of the Contract or contract;
- c. "Contractor" and "contractor" means Grantee and includes any successors or assigns of the Contractor or contractor;
- d. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose;
- e. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations
- f. "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;
- g. "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
- h. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- i. "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and

Q. Modification

Except as otherwise provided in this Agreement, any modification to this Agreement shall only be effective if agreed to in a formal amendment to this Agreement, properly executed and approved in accordance with applicable Connecticut State law and State fiscal rules, and, if applicable approved by the Connecticut Attorney General.

R. Statutes, Regulations, Fiscal Rules, and Other Authority

Any reference in this Agreement to a statute, regulation, State fiscal rule, fiscal policy or other authority shall be interpreted to refer to such authority then current, as may have been changed or amended since the Agreement Effective Date.

S. External Terms and Conditions

Notwithstanding anything to the contrary herein, the Grantor shall not be subject to any provision included in any terms, conditions, or agreements appearing on Grantee's or a Subcontractor's website or any provision incorporated into any click-through or online agreements related to the Work unless that provision is specifically referenced in this Agreement.

T. Severability

The invalidity or unenforceability of any provision of this Agreement shall not affect the validity or enforceability of any other provision of this Agreement, which shall remain in full force and effect, provided that the Parties can continue to perform their obligations under this Agreement in accordance with the intent of this Agreement.

U. Survival of Certain Agreement Terms

Any provision of this Agreement that imposes an obligation on a Party after termination or expiration of this Agreement shall survive the termination or expiration of this Agreement and shall be enforceable by the other Party.

V. Taxes

The State is exempt from federal excise taxes under I.R.C. Chapter 32 (26 U.S.C., Subtitle D, Ch. 32) (Federal Excise Tax Exemption Certificate of Registry No. 84-730123K) and from State sales and use taxes under C.G.S. § 12-412(1), (CERT -134 Exempt Purchases by Qualifying Governmental Agencies – Connecticut Department of Revenue Services Form). The State shall not be liable for the payment of any excise, sales, or use taxes, regardless of whether any political subdivision of the state imposes such taxes on Grantee. Grantee shall be solely responsible for any exemptions from the collection of excise, sales or use taxes that Grantee may wish to have in place in connection with this Agreement.

W. Third Party Beneficiaries

Except for the Parties' respective successors and assigns described in § 16.B (General Conditions), this Agreement does not and is not intended to confer any rights or remedies upon any person or entity other than the Parties. Enforcement of this Agreement and all rights and obligations hereunder are reserved solely to the Parties. Any services or benefits which third parties receive as a result of this Agreement are incidental to this Agreement, and do not create any rights for such third parties.

X. Waiver

A Party's failure or delay in exercising any right, power, or privilege under this Agreement, whether explicit or by lack of enforcement, shall not operate as a waiver, nor shall any single or partial exercise of any right, power, or privilege preclude any other or further exercise of such right, power, or privilege.

Y. Standard and Manner of Performance

Grantee shall perform its obligations under this Agreement in accordance with the highest standards of care, skill and diligence in Grantee's industry, trade, or profession.

H. Unexpended Funds and or Disallowed Costs

If project costs are less than the Agreement, and or any project costs have been disallowed, the Grantee shall return or forfeit the unexpended/disallowed funds to Grantor as provided in the Agreement.

I. Grant Extensions

No extensions to the end date of a grant shall be made if an Agreement's end date has already passed or an extension is prohibited by ARPA.

J. Subrecipients and Subcontractors

Grantee shall not enter into any subgrant or Subcontract in connection with its obligations under this Agreement without the prior, written approval of the Grantor. Grantee shall submit to the Grantor a copy of each such subgrant or Subcontract upon request by the Grantor. All subgrants and Subcontracts entered into by Grantee in connection with this Agreement shall comply with all applicable federal and state laws and regulations, shall provide that they are governed by the laws of the State of Connecticut, and shall be subject to all provisions of this Agreement. *If the entity with whom Grantee enters into a subgrant would also be considered a Subrecipient, then the subgrant entered into by Grantee shall also contain provisions set forth in Exhibits C and D permitting both Grantee and the Grantor to perform all monitoring of that subgrant in accordance with the UST Uniform Guidance.*

K. Binding Effect

Except as otherwise provided in § 16.B (General Conditions), all provisions of this Agreement, including the benefits and burdens, shall extend to and be binding upon the Parties' respective successors and assigns.

L. Authority

Each Party represents and warrants to the other that the execution and delivery of this Agreement and the performance of such Party's obligations have been duly authorized.

M. Captions and References

The captions and headings in this Agreement are for convenience of reference only, and shall not be used to interpret, define, or limit its provisions. All references in this Agreement to sections (whether spelled out or using the § symbol), subsections, exhibits or other attachments, are references to sections, subsections, exhibits or other attachments contained herein or incorporated as a part hereof, unless otherwise noted.

N. Counterparts

This Agreement may be executed in multiple, identical, original counterparts, each of which shall be deemed to be an original, but all of which, taken together, shall constitute one and the same agreement.

O. Entire Understanding

This Agreement represents the complete integration of all understandings between the Parties related to the Work, and all prior representations and understandings related to the Work, oral or written, are merged into this Agreement. Prior or contemporaneous additions, deletions, or other changes to this Agreement shall not have any force or effect whatsoever, unless embodied herein.

P. Digital Signatures

If any signatory signs this agreement using a digital signature in accordance with the Connecticut law, Grant and Purchase Order Policies regarding the use of digital signatures issued under the State Fiscal Rules, then any agreement or consent to use digital signatures within the electronic system through which that signatory signed shall be incorporated into this Agreement by reference.

Grantor shall give ten (10) Business Days notice to Grantee of the Grantor's desire for such reassignment. Grantee will then have five (5) Business Days to investigate the situation and attempt, if it so desires, to satisfy the Grantor that the employee should not be reassigned; however, the Grantor's decision in its sole discretion after such five (5) Business Day period shall be final. Should the Grantor still desire reassignment, then five (5) Business Days thereafter, or ten (10) Business Days from the date of the notice of reassignment, the employee shall be reassigned from the Grantor's account.

F. Revised Budget

As set forth in **Exhibit B** (Payment Terms and Provisions and Budget), the approved Budget may be modified at the request of the Grantee if such request is approved in writing by the Grantor. Approval by the Grantor of any modification to the Budget shall not constitute or imply a revision of the Agreement Maximum Amount. Cash requests will be withheld until the revision is received and approved.

G. Audits

- i. In accordance with the following conditions, the Grantee agrees to have conducted audits of each of the fiscal years included in the period of this Agreement and any amendments thereto.
- ii. If the Agreement meets the audit requirements of OMB Circular A-133, Audits of State and Local Governments and Non-Profit Organizations, the Grantee is required to submit an audit conducted in accordance with Auditing Standards Generally Accepted In the United States of America, Government Auditing Standards issued by the Comptroller General of the United States, as well as OMB Circular A-133 and 2 CFR Part 200, Subpart F Audit Requirements. This circular requires those state and local governments and non-profit organizations which expended a total amount of federal financial assistance equal to or in excess of \$750,000 in any fiscal year to have a federal single audit or a program-specific audit conducted for such fiscal year. A program-specific audit may be conducted if the Grantee expended Financial Assistance under only one federal program during its fiscal year. For audit purposes, State or Grantee match funds, as identified on the Notice of Grant Award, are subject to the same requirements as the federal monies. OMB Circular A-133 requires that the audit report be submitted to the Federal Audit Clearinghouse by the earlier of thirty (30) calendar days after the date of receipt of the auditor's report(s), or 9 months after the end of the audit period.
- iii. Any Grantee financial audit report or Single Audit report must be submitted electronically on OPM's Electronic Audit Reporting System (EARS) at the web address indicated below and also sent to the Grantor Agency as provided in § 14 (Notice) of this Agreement. Independent auditors are to electronically file the audit report packages of their clients on EARS and with the Grantor agency.

Web address: <https://www.appsvcs.opm.ct.gov/Auditing/Home.aspx>

B. Assignment

Grantee shall assign any necessary software licensing agreements or other related contracts to Grantor or its designee if Grantee ceases to do business or is dissolved, and shall work with Grantor to ensure a seamless transition for the management and administration of the Work and Deliverables.

16. **GENERAL PROVISIONS**

A. ARPA Federal Provisions & Requirements

Grantee shall comply with all the federal requirements set forth in **Exhibits C** (Federal Provisions) and **D** (Agreement with Subrecipient of Federal Recovery Funds).

If Grantee hires any subcontractor to assist or carry out part of the Agreement, Grantee shall incorporate **Exhibit F** (Contractor Terms) into the resulting contract.

If ARPA funding is to be made to an Eligible Beneficiary to carry out part of this Agreement, Grantee shall have the Eligible Beneficiary complete the form set forth in **Exhibit G** (Beneficiary Attestation Form) and maintain the record in accordance with § 7.A.

B. Assignment

Grantee's rights and obligations under this Agreement are personal and may not be transferred or assigned without the prior, written consent of the Grantor. Any attempt at assignment or transfer without such consent shall be void. Any assignment or transfer of Grantee's rights and obligations approved by the Grantor shall be subject to the provisions of this Agreement.

C. Non-Waiver

None of the conditions of this Agreement shall be considered waived by the Grantor or the Grantee unless given in writing. No such waiver shall be a waiver of any past or future default, breach, or modification of any of the conditions of this Agreement unless expressly stipulated in such waiver.

D. Fiscal Control

The Grantee shall maintain accounting records and establish policies and provide procedures to assure sound fiscal control, effective management, and efficient use of Grant Funds. The Grantee shall establish fiscal control and accounting procedures to assure proper disbursement of, and accounting for, Grant Funds. Accounting procedures must provide for the accurate and timely recording of receipt of funds by source, expenditures made from such funds, and unexpended balances. Controls must be adequate to ensure that expenditures charged to grant activities are made for allowable purposes only.

E. Labor and Personnel

- i. At all times, Grantee shall utilize approved, qualified personnel and any State approved subcontractors necessary to perform the services under this Agreement. Grantee shall advise the Grantor promptly, in writing, of any labor dispute or anticipated labor dispute or other labor related occurrence known to Grantee involving Grantee's employees or subcontractors or subrecipients which may reasonably be expected to affect Grantee's performance of services under this Agreement. The Grantor may then, at its option, ask Grantee to arrange for a temporary employee(s) or subcontractor(s) satisfactory to the Grantor to provide the services otherwise performable by Grantee hereunder. The Grantee will be responsible to the Grantor for any economic detriment caused the Grantor by such subcontract arrangement.
- ii. Grantee shall, if requested to do so by the Grantor, reassign from the Grantor's account any employee or authorized representatives whom the Grantor, in its sole discretion, determines is incompetent, dishonest, or uncooperative. In requesting the reassignment of an employee under this paragraph, the

accordance with the Grantor's directive, and the Grantor shall not be liable for costs incurred by Grantee after the suspension of performance.

ii. Withhold Payment

Withhold payment to Grantee until Grantee corrects its Work.

iii. Deny Payment

Deny payment for Work not performed, or that due to Grantee's actions or inactions, cannot be performed or if they were performed are reasonably of no value to the state; provided, that any denial of payment shall be equal to the value of the obligations not performed.

iv. Removal

Demand immediate removal of any of Grantee's employees, agents, or Subcontractors from the Work whom the Grantor deems incompetent, careless, insubordinate, unsuitable, or otherwise unacceptable or whose continued relation to this Agreement is deemed by the Grantor to be contrary to the public interest or the Grantor's best interest.

13. DISPUTE RESOLUTION

Except as herein specifically provided otherwise, disputes concerning the performance of this Agreement, which cannot be resolved by the designated Agreement representatives shall be referred in writing to a senior departmental management staff member designated by the Grantor and a senior manager designated by Grantee for resolution.

14. NOTICE

Unless otherwise expressly provided to the contrary, any other notice provided under this Grant shall be in writing and may be delivered personally or by certified mail, recognized overnight courier, or e-mail in the manner set forth in this section. All notices shall be effective if delivered to the following addresses:

Grantor:	Department of Emergency Services & Public Protection 1111 Country Club Road Middletown, CT 06457 Attention: Aimee P. Plourde, Chief of Fiscal Services Email: Aimee.Plourde@ct.gov Email: despp.autotheftgrant@ct.gov
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Grantee:	City or Town Address City, State, Zip Chief Elected Official Name Phone Number E-mail
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15. RIGHTS IN DATA AND OTHER INFORMATION

A. Data Exclusive Property of the State

Grantee shall not use, willingly allow, cause or permit Work Product, Data, Records or State materials to be used for any purpose other than the Performance of Grantee's obligations in this Agreement without the prior written consent of the Grantor. Upon termination of this Agreement for any reason, Grantee shall provide all Work Product, Data, Records and State materials to the Grantor in a form and manner as directed by the Grantor.

receipt requested, to the Grantor at the most current address which the Grantor has furnished to the Grantee for purposes of correspondence, or by hand delivery.

- C. The Grantor shall send the notice of Termination via certified mail, return receipt requested, to the Grantee at the most current address which the Grantee has furnished to the Grantor for purposes of correspondence, or by hand delivery. Upon receiving the notice from the Grantor, the Grantee shall immediately discontinue all services affected in accordance with the notice, undertake all commercially reasonable efforts to mitigate any losses or damages, and deliver to the Grantor all Records and Data. The Records are deemed to be the property of the Grantor and the Grantee shall deliver them to the Grantor no later than thirty (30) calendar days after the Termination of the Agreement or fifteen (15) calendar days after the Grantee receives a written request from the Agency for the Records and Data. The Grantor shall deliver those Records and Data that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT.
- D. Upon receipt of a written notice of Termination from the Grantor, the Grantee shall cease operations as the Grantor directs in the notice, and take all actions that are necessary or appropriate, or that the Grantor may reasonably direct, for the protection, and preservation of the Deliverable(s) and any other property. Except for any work which the Grantor directs the Grantee to Perform in the notice prior to the effective date of Termination, and except as otherwise provided in the notice, the Grantee shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further subcontracts, purchase orders or commitments.
- E. The Grantor shall, within forty-five (45) Business Days of the effective date of Termination, reimburse the Grantee for its Performance rendered and accepted by the Grantor in accordance with **Exhibits A** (Statement of Work) and **B** (Payment Terms and Provisions and Budget), in addition to all actual and reasonable costs incurred after Termination in completing those portions of the Performance which the notice required the Grantee to complete. However, the Grantee is not entitled to receive, and the Grantor is not obligated to tender to the Grantee any payments for anticipated or lost profits. Upon request by the Grantor, the Grantee shall assign to the Grantor, or any replacement contractor which the Grantor designates, all subcontracts, purchase orders and other commitments, deliver to the Grantor all Records and Data and other information pertaining to its Performance, and remove from State premises, whether leased or owned, all of Grantee's property, equipment, waste material and rubbish related to its Performance, all as the Grantor may request.
- F. For breach or violation of any of the provisions in the section concerning representations and warranties, the Grantor may Terminate the Agreement in accordance with its terms and revoke any consents to assignments given as if the assignments had never been requested or consented to, without liability to the Grantee or Grantee Parties or any third party.
- G. Upon Termination of the Agreement, all rights and obligations shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive Termination. All representations, warranties, agreements and rights of the parties under the Agreement shall survive such Termination to the extent not otherwise limited in the Agreement and without each one of them having to be specifically mentioned in the Agreement.
- H. Termination of the Agreement pursuant to this section shall not be deemed to be a breach of contract by the Grantor.
- I. Remedies Not Involving Termination. The Grantor, in its discretion, may exercise one or more of the following additional remedies:
 - i. Suspend Performance
Suspend Grantee's Performance with respect to all or any portion of the Work pending corrective action as specified by the Grantor without entitling Grantee to an adjustment in price or cost or an adjustment in the performance schedule. Grantee shall promptly cease performing Work and incurring costs in

- E. Grantee shall deliver Certificates of Insurance relating to all of the above referenced coverages to the Grantor at the time of the execution of this Agreement as evidence that policies providing such coverage and limits of insurance are in full force and effect, which Certificate shall provide that no less than thirty (30) calendar days advance notice will be given in writing to the Grantor prior to cancellation, termination or alteration of said policies of insurance.
- F. All commercial insurance policies shall include provisions preventing cancellation or non-renewal, except for cancellation based on non-payment of premiums, without at least thirty (30) calendar days prior notice to Grantee and Grantee shall forward such notice to the Grantor in accordance with § 14 (Notices) within seven calendar days of Grantee's receipt of such notice.

11. BREACH OF AGREEMENT & REMEDIES

- A. In the event of a Breach of Agreement, the aggrieved Party shall give written Notice of Breach of Agreement to the other Party. If the notified Party does not cure the breach, at its sole expense, within thirty (30) calendar days after the delivery of written notice, the Party may exercise any of the remedies as described in herein for that Party. Notwithstanding any provision of this Agreement to the contrary, the Grantor, in its discretion, need not provide notice or a cure period and may immediately terminate this Agreement in whole or in part or institute any other remedy in this Agreement in order to protect the public interest of the State; or if Grantee is debarred or suspended under C.G.S. §§ 4e-35 & 4e-38, the Grantor, in its discretion, need not provide notice or cure period and may terminate this Agreement in whole or in part or institute any other remedy in this Agreement as of the date that the debarment or suspension takes effect.
- B. Grantor's remedies. If Grantee is in breach under any provision of this Agreement and fails to cure such breach, Grantor, following the notice and cure period specified in this section, shall have all of the remedies listed in this section, below § 12 (Termination), and elsewhere in this Agreement, in addition to all other remedies set forth in this Agreement or at law. The Grantor may exercise any or all of the remedies available to it, in its discretion, concurrently or consecutively.
- C. Grantee's Remedies. If the Grantor is in breach of any provision of this Agreement and fails to cure such breach, Grantee, following the notice and cure period specified in this Section and the dispute resolution process in § 13 (Dispute Resolution) shall have the rights to terminate this Agreement and proceed under Chapter 53 of the C.G.S.
- D. Intellectual Property. If any Work infringes, or if the Grantor in its sole discretion determines that any Work is likely to infringe, a patent, copyright, trademark, trade secret or other intellectual property right, Grantee shall, as approved by the Grantor (i) secure that right to use such Work for the Grantor and Grantee; (ii) replace the Work with noninfringing Work or modify the Work so that it becomes noninfringing; or, (iii) remove any infringing Work and refund the amount paid for such Work to the Grantor.

12. TERMINATION

- A. Notwithstanding any provisions in this Agreement, the Grantor, through a duly authorized employee, may Terminate the Agreement whenever the Grantor makes a written determination that such Termination is in the best interests of the State. The Grantor shall notify the Grantee in writing of Termination pursuant to this section, which notice shall specify the effective date of Termination and the extent to which the Grantor must complete its Performance under the Agreement prior to such date.
- B. Notwithstanding any provisions in this Agreement, the Grantee, through a duly authorized employee, may, after making a written determination that the Grantor has breached the Agreement and following the dispute resolution process in § 13, Terminate the Agreement by providing written notice via certified mail, return

approved by the State Insurance Commissioner to do business in Connecticut. Grantee shall assume any and all deductibles in the described insurance policies. The Grantee's insurers shall have no right of recovery or subrogation against the State and the described Grantee's insurance shall be primary coverage. Any failure to comply with the claim reporting provisions of the policy shall not affect coverage provided to the State.

- i. Commercial General Liability: \$1,000,000 combined single limit per occurrence for bodily injury, personal injury, and property damage. Coverage shall include, Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Broad Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply separately to the project or the general aggregate limit shall be twice the occurrence limit.
- ii. Automobile Liability: \$1,000,000 combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the vendor/contractor does not own an automobile, but one is used in the execution of the Agreement, then only hired and non-owned coverage is required. If a vehicle is not used in the execution of the Agreement, then automobile coverage is not required.
- iii. Professional Liability: \$1,000,000 limit of liability.
- iv. ☒ Grantor check box if the section is not applicable to the Agreement. Errors and Omissions Insurance which covers any computer system or software architecture, engineering, design, accounting, legal or other professional services under or in connection with this Agreement, at such party's sole cost and expense, in an amount not less than \$2,000,000 per occurrence. In the case of any computer system or software engineer, architect or other design professional, each such policy must be kept in effect for a period of seven (7) years after substantial completion of the project on or for which any such services are rendered; otherwise, the professional involved shall maintain such coverage for a period of at least three (3) years following completion of its work hereunder. If coverage is procured by any professional on a claims made basis, the retroactive date must be the date prior to the professional's commencement of any work under or pursuant to this Agreement or the project to which it relates, whichever is earlier.
- v. Worker's Compensation and Employers Liability: Statutory coverage in compliance with the Compensation laws of the State of Connecticut. Coverage shall include Employer's Liability with minimum limits of \$100,000 each accident, \$500,000 Disease – Policy limit, \$100,000 each employee.
- vi. ☒ Grantor check box if the section is not applicable to the Agreement. Cyber/Network Security and Privacy Liability insurance covering civil, regulatory, and statutory damages, contractual damages, data breach management exposure, and any loss of income or extra expense as a result of actual or alleged breach, violation, or infringement of right to privacy, consumer data protection law, confidentiality or other legal protection for personal information, as well as State Confidential Information with minimum limits as follows:
 - a. \$1,000,000 each occurrence; and
 - b. \$2,000,000 general aggregate.
- vii. Crime Insurance including employee dishonesty coverage with minimum limits as follows:
 - a. \$1,000,000 each occurrence; and
 - b. \$1,000,000 general aggregate.
- C. Said policy or policies shall cover all of the Grantor's activities under this Agreement and shall state that it is primary insurance in regard to the State, its officers and employees. The Grantor shall be named as an additional insured.
- D. None of the requirements contained herein as to types, limits, and approval of insurance coverage to be maintained by Grantee are intended to and shall not in any way limit or qualify the liabilities and obligations assumed by Grantee under this Agreement.

- iv. The Grantee shall incorporate the requirements of this Section in all subcontracts requiring each of its Grantor Party to safeguard Confidential Information in the same manner as provided for in this Section.
- v. Nothing in this Section shall supersede in any manner Grantee's or its Grantee Party's obligations pursuant to the Health Insurance Portability and Accountability Act of 1996 or the provisions of this Agreement concerning the obligations of the Grantee as a Business Associate, as such term is defined in 45 C.F.R. §160.103, of the Grantor.

The provisions of this section shall survive the Expiration or earlier Termination of this Agreement.

9. CONFLICTS OF INTEREST

A. Actual Conflicts of Interest

Grantee shall not engage in any business or activities, or maintain any relationships that conflict in any way with the full performance of the obligations of Grantee under this Agreement. Such a conflict of interest would arise when a Grantee or Subcontractor's employee, officer or agent were to offer or provide any tangible personal benefit to an employee of the State, or any member of his or her immediate family or his or her partner, related to the award of, entry into or management or oversight of this Agreement.

B. Apparent Conflicts of Interest

Grantee acknowledges that, with respect to this Agreement, even the appearance of a conflict of interest shall be harmful to the State's interests. Absent the State's prior written approval, Grantee shall refrain from any practices, activities or relationships that reasonably appear to be in conflict with the full performance of Grantee's obligations under this Agreement.

C. Procurement conflicts

No person who is an officer, employee, consultant or review board member of the Grantee shall participate in the selection, award or administration of a contract, subcontract, or subgrant or in the selection and supervision of an employee if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when the officer, employee, consultant, review board member or any member of his/her immediate family, his/her partner, or an organization which employs, or is about to employ any of the above, has a financial in the entity or firm selected for the contract, subcontract, or subgrant or when the individual employee is related to any of the foregoing persons or other interest in or a tangible personal benefit from an entity considered for a contract (i.e., 2 C.F.R. § 200.318).

D. Disclosure to the State

If a conflict or the appearance of a conflict arises, or if Grantee is uncertain whether a conflict or the appearance of a conflict has arisen, Grantee shall submit to the Grantor a disclosure statement setting forth the relevant details for the State's consideration. Failure to promptly submit a disclosure statement or to follow the Grantor's direction in regard to the actual or apparent conflict constitutes a breach of this Agreement.

10. INSURANCE

- A. The Grantee agrees that while performing any activities specified in this Agreement, the Grantee shall maintain sufficient insurance (liability and/or other), according to the nature of the activities to be performed, so as to "save harmless" Grantor and the State of Connecticut from any insurable cause whatsoever.
- B. Before commencing Performance, the Grantee shall obtain and maintain at its own cost and expense for the duration of the Agreement, the following insurance as described in (i) through (vii) below through an insurance company or companies licensed to do business in the State of Connecticut under forms of policies

The Grantor will monitor Grantee's performance of its obligations under this Agreement using procedures as determined by the Grantor. The federal government and any other duly authorized agent of a governmental agency, in its discretion, may monitor Grantee's performance of its obligations under this Agreement using procedures as determined by that governmental entity. Grantee shall allow the Grantor to perform all monitoring required by the Uniform Guidance, based on the Grantor's risk analysis of Grantee and this Agreement. The Grantor shall have the right, in its sole discretion, to change its monitoring procedures and requirements at any time during the term of this Agreement. The Grantor shall monitor Grantee's performance in a manner that does not unduly interfere with Grantee's performance of the Work.

D. Final Audit Report

Grantee shall promptly submit to the Grantor a copy of any final audit report of an audit performed on Grantee's records that relates to or affects this Agreement or the Work, whether the audit is conducted by Grantee or a third party. Additionally, if Grantee is required to perform a Single Audit under 2 CFR § 200.501, *et seq.*, then Grantee shall submit a copy of the results of that audit to the Grantor within the same timelines as the submission to the federal government.

8. CONFIDENTIAL INFORMATION-STATE RECORDS

A. Protection of Confidential Information

- i. Grantee and Grantee Parties, at their own expense, have a duty to and shall protect from a Confidential Information Breach any and all Confidential Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with current industry standards.
- ii. Each Grantee or Grantee Party shall develop, implement and maintain a comprehensive data - security program for the protection of Confidential Information. The safeguards contained in such program shall be consistent with and comply with the safeguards for protection of Confidential Information, and information of a similar character, as set forth in all applicable federal and state law and written policy of the Grantor or State concerning the confidentiality of Confidential Information. Such data-security program shall include, but not be limited to, the following:
 - a. A security policy for employees related to the storage, access and transportation of data containing Confidential Information;
 - b. Reasonable restrictions on access to records containing Confidential Information, including access to any locked storage where such records are kept;
 - c. A process for reviewing policies and security measures at least annually;
 - d. Creating secure access controls to Confidential Information, including but not limited to passwords; and
 - e. Encrypting of Confidential Information that is stored on laptops, portable devices or being transmitted electronically.
- iii. The Grantee and Grantee Parties shall notify the Department and the Connecticut Office of the Attorney General as soon as practical, but no later than twenty-four (24) hours, after they become aware of or suspect that any Confidential Information which Grantee or its Grantee Parties have come to possess or control has been subject to a Confidential Information Breach. If a Confidential Information Breach has occurred, the Grantee shall, within three (3) Business Days after the notification, present a credit monitoring and protection plan to the Commissioner of Administrative Services, the Grantor and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring or protection plan shall be made available by the Grantee at its own cost and expense to all individuals affected by the Confidential Information Breach. Such credit monitoring or protection plan shall include, but is not limited to reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to Connecticut General Statutes § 36a-701a. Such credit monitoring or protection plans shall be approved by the State in accordance with this Section and shall cover a length of time commensurate with the circumstances of the Confidential Information Breach. The Grantee's costs and expenses for the credit monitoring and protection plan shall not be recoverable from the Grantor, any State of Connecticut entity or any affected individuals.

- ii. Treasury Office of Inspector General and the Government Accountability Office, or their authorized representatives, the State of Connecticut Auditor for Public Accounts ("APA"), Connecticut Attorney General and Connecticut State's Attorney and their respective agents and Grantor or its representatives shall have the right, at reasonable hours, to inspect or examine the part of the plant or place of business or any books, records, and other documents of Grantee or its Subcontractors or subgrantees pertaining to work performed under this Agreement and shall allow such representatives free access to any and all such plants, places of business, books and records.
- iii. Grantor or its representatives will give the Grantee and its Subcontractors and subgrantees at least twenty-four (24) hours notice of such intended examination. If the State suspects fraud or other abuse, or in the event of an emergency, the State is not obligated to provide any prior notice.
- iv. At Grantor's request, the Grantee and Subcontractors and subgrantees shall provide Grantor with hard copies or an electronic format of any data or information in the possession or control of the Grantee, Subcontractor and subgrantee which pertains to Grantor's business under this Agreement. The Grantee shall make all of its and the Subcontractor Parties' Records available at all reasonable hours for audit and inspection by the State and its agents.
- v. The Grantee shall pay for all costs and expenses of any audit or inspection which reveals information that, in the sole determination of the State, is sufficient to constitute a breach by the Grantee under this Agreement. The Grantee shall remit full payment to the State for such audit or inspection no later than thirty (30) calendar days after receiving an invoice from the State. If the State does not receive payment within such time, the State may setoff the amount from any moneys which the State would otherwise be obligated to pay the Grantee in accordance with this Agreement's setoff provision.
- vi. The Grantee shall retain and maintain accurate records and documents relating to performance of activities under this Agreement for a minimum of five (5) years after all funds have been expended or returned to Treasury, whichever is later. If any litigation, claim or audit is started before the expiration date of the five-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
- vii. Records for the purchase of equipment (i.e., non-expendable, tangible personal property) acquired with Grant Funds shall be retained for five (5) years after the final disposition of said property.
- viii. Any Subcontractor or subgrantee under this agreement shall retain and maintain accurate records and documents relating to performance of activities under this Agreement for a minimum of five (5) years from the expiration of the subcontract or subgrant and shall make them available for inspection and audit by the APA, Grantor or its representative or the Treasury Office of Inspector General and the Government Accountability Office, or their authorized representatives.
- ix. The Grantee shall cooperate fully with the Grantor and its agents in connection with an audit or inspection. Following any audit or inspection, the Grantor may conduct and the Grantee shall cooperate with an exit conference.
- x. **The Grantee shall incorporate this paragraph verbatim into any agreement it enters into with any Subcontractor or subgrantee providing services and/or conducting activities under this Agreement.**

C. Monitoring

B. Litigation Reporting

If Grantee is served with a pleading or other document in connection with an action before a court or other administrative decision making body, and such pleading or document relates to this Agreement or may affect Grantee's ability to perform its obligations under this Agreement, Grantee shall, within ten (10) calendar days after being served, provide notice to Grantor in accordance with § 14 of this Agreement of such action and deliver copies of such pleading or document to the Grantor.

C. Performance and Final Status

Grantee shall submit all final financial, performance and other reports to the Grantor no later than thirty (30) calendar days after the end of the Agreement Expiration Date specified in § 2.B., if no Extension Terms are exercised, or the final Extension Term exercised by the Grantor, containing an evaluation and review of Grantee's performance and the final status of Grantee's obligations hereunder.

D. Violations Reporting

Grantee shall disclose, within five (5) calendar days, in writing to the Grantor and the Federal Awarding Agency, all violations of federal or State criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal Award. The State or the Federal Awarding Agency may impose any penalties for noncompliance allowed under 2 CFR Part 180 and 31 U.S.C. 3321, which may include, without limitation, suspension, or debarment.

7. GRANTEE RECORDS

A. Maintenance

Grantee shall maintain records and financial documents sufficient to evidence compliance with section 602(c) of the SSA and Treasury's regulations implementing that section and guidance regarding the eligible uses of funds.

Grantee shall make, keep, maintain, and allow inspection and monitoring by the State of a complete file of all Records pertaining in any manner to the Work or the Deliverables (including, but not limited to the operation of programs). Grantee shall maintain such records for a period (the "Record Retention Period") of five years following the date of submission to the Grantor of the final expenditure report, or if this Award is renewed quarterly or annually, from the date of the submission of each quarterly or annual report, respectively. If any litigation, claim, or audit related to this Award starts before expiration of the Record Retention Period, the Record Retention Period shall extend until all litigation, claims, or audit findings have been resolved and final action taken by the State or Federal Awarding Agency. The Federal Awarding Agency, a cognizant agency for audit, oversight or indirect costs, and the Grantor, may notify Grantee in writing that the Record Retention Period shall be extended. For records for real property and equipment, the Record Retention Period shall extend three years following final disposition of such property.

B. Inspection & Access to Records

Grantee shall permit the State, the federal government, and any other duly authorized agent of a governmental agency to audit, inspect, examine, excerpt, copy and transcribe Grantee or its subgrantee or Subcontractors Records during the Record Retention Period. Grantee shall make Grantee Records available during normal business hours at Grantee's office or place of business, or at other mutually agreed upon times or locations, upon no fewer than twenty-four hours notice from the State, unless the State determines that a shorter period of notice, or no notice, is necessary to protect the interests of the State as follows:

- i. All grant-funded activities performed by the Grantee, its Subcontractors, its subgrantees, or both, shall be subject to the inspection and approval of Grantor, and Grantee shall furnish all information concerning the grant-funded activities.

determination based on this review. The calculation, determination or payment amount that results from the Grantor's review shall not be subject to additional dispute under this subsection. No payment subject to a dispute under this subsection shall be due until after the Grantor has concluded its review, and the Grantor shall not pay any interest on any amount during the period it is subject to dispute under this subsection.

iii. **Available Funds-Contingency-Termination**

Payments to be made pursuant to this Agreement shall be made only from Grant Funds, and the Grantor's liability for such payments shall be limited to the amount remaining of such Grant Funds. If federal or other funds are not appropriated, or otherwise become unavailable to fund this Agreement, the Grantor may, upon written notice, terminate this Agreement, in whole or in part, without incurring further liability.

iv. **Federal Recovery**

The closeout of a Federal Award does not affect the right of the Federal Awarding Agency or the Grantor to disallow costs and recover funds on the basis of a later audit or other review. Any cost disallowance recovery is to be made within the Record Retention Period, as defined below.

C. **Reimbursement of Grantee Costs**

Grantor shall reimburse Grantee's allowable costs, not exceeding the maximum total amount described in Agreement § 5 (Payments to Grantee) and **Exhibit B** (Payment Terms and Provisions and Budget) for all allowable costs described in this Agreement and shown in the Budget, except that Grantee may adjust the amounts between each line item of the Budget without formal modification to this Agreement with written approval from the Grantor. The change shall not modify the total maximum amount of this Agreement, the maximum amount for any State fiscal year, or modify any requirements of the Work. Grantor shall reimburse Grantee for the federal share of properly documented allowable costs related to the Work and Deliverable(s) after review and approval thereof, subject to the provisions of this Agreement and **Exhibit A** (Statement of Work). Grantee's costs for Work performed after the Fund Expenditure End Date shown on the Signature and Cover Page for this Agreement, or after any phase performance period end date for a respective phase of the Work, shall not be reimbursable. Grantor shall only reimburse allowable costs described in this Agreement and shown in the Budget if those costs are:

- i. Reasonable and necessary to accomplish the Work and for the Deliverables provided; and
- ii. Equal to the actual net cost to Grantee (i.e., the price paid minus any items of value received by Grantee that reduce the cost actually incurred).

D. **Close-Out**

Grantee shall close out this Award within thirty (30) calendar days after the Fund Expenditure End Date shown on the Cover Page of this Agreement. To complete closeout, Grantee shall submit to the State all deliverables (including documentation) as defined in this Agreement and Grantee's final reimbursement request or invoice. The State will withhold 5% of allowable costs until all final documentation has been submitted and accepted by the State as substantially complete.

6. **REPORTING – NOTIFICATION**

A. **Quarterly Reports**

In addition to any reports required in this Agreement or pursuant to **Exhibit E** (SLFRF Subrecipient Quarterly Report), for any Agreement having a term longer than three months, Grantee shall submit, on a quarterly basis, a written report specifying progress made for each specified performance measure and standard in this Agreement. Such progress report shall be in accordance with the procedures developed and prescribed by the Grantee and the State of Connecticut. Progress reports shall be submitted to the Grantor not later than ten (10) Business Days following the end of each calendar quarter or at such time as otherwise specified by the Grantor.

the Grantee to continue to furnish Services and the State to pay for such Services under this Agreement) prior to the date by which all Services required to be provided by the Grantee pursuant to this Agreement are to be furnished in accordance with its terms.

QQ. “Title” shall mean all ownership, title, licenses, rights and interest, including, but not limited to, perpetual use, of and to any software or Services.

RR. “United States Treasury” or “UST” means the United States Department of Treasury.

SS. “Work” means the activities and Deliverables listed in **Exhibit A** (Statement of Work).

TT. “Work Product” means the tangible and intangible results of the Work, whether finished or unfinished, including drafts. Work Product includes, but is not limited to, documents, text, software (including source code), research, reports, proposals, specifications, plans, notes, studies, data, images, photographs, negatives, pictures, drawings, designs, models, surveys, maps, materials, ideas, concepts, know-how, information, and any other results of the Work. “Work Product” does not include any material that was developed prior to the Agreement Effective Date that is used, without modification, in the performance of the Work.

4. STATEMENT OF WORK AND USE OF THE FUNDS

Grantee shall complete the Work as described in this Agreement and in accordance with the provisions of **Exhibit A** (Statement of Work). The Grantor shall have no liability to compensate Grantee for the delivery of Work or Deliverables that are not specifically set forth in this Agreement. The Grantee agrees to expend the Grant Funds awarded pursuant to this Agreement for allowable purposes only and to comply with all of the terms and conditions of the grant award and any related documents that set forth its obligations as Grantee.

5. PAYMENTS TO GRANTEE

A. Maximum Amount

Payments to Grantee are limited to the unpaid, obligated balance of the Grant Funds. The Grantor shall not pay Grantee any amount under this Agreement that exceeds the Agreement Maximum Amount for each State Fiscal Year shown on the Cover Page of this Agreement.

B. Payment Procedures

i. Invoices and Payment

- a. The Grantor shall pay Grantee in the amounts and in accordance with the schedule and other conditions set forth in **Exhibits A & B** (Statement of Work; Payment Terms and Provisions and Budget).
- b. Grantee shall initiate payment requests by invoice to the Grantor, in a form and manner approved by the Grantor.
- c. The Grantor shall pay each invoice within forty-five (45) Business Days following the State’s receipt of that invoice, so long as the amount invoiced correctly represents Work completed by Grantee and previously accepted by the State during the term that the invoice covers. If the Grantor determines that the amount of any invoice is not correct, then it shall notify Grantee (i.e., Section 14 Notice) within thirty (30) Business Days of receipt of the invoice, and Grantee shall make all changes necessary to correct that invoice within fifteen (15) Business Days of such notice.
- d. The acceptance of an invoice shall not constitute acceptance of any Work performed or deliverables provided under this Agreement.

ii. Payment Disputes

If Grantee disputes any Grantor § 5.B.i.c. notice, Grantee shall notify the Grantor in writing of its dispute within thirty (30) Business Days following Grantee’s receipt of Grantor’s § 5.B.i.c. notification. The Grantor will review the information presented by Grantee and may make changes to its

provision of health care to an individual; and (ii) that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual. PHI includes, but is not limited to, any information defined as Individually Identifiable Health Information by the federal Health Insurance Portability and Accountability Act.

- GG. **"Recipient"** means the State agency shown on the Signature and Cover Page of this Agreement, for the purposes of this Federal Award.
- HH. **"Records"** means all working papers and such other information, data and materials (including, but not limited to, documents, data, plans, books, e-mail, text messages, computations, drawings, specifications, notes, reports, records, estimates, summaries, memoranda and correspondence) that are prepared, generated, kept or stored or accumulated by the Grantee or its Subcontractors (whether in electronic, hard copy or other form) for, as a result of, or in connection with, or which in any way relate to, pertain to, or reference, this Agreement (including, but not limited to, the performance, nonperformance and/or any other acts or omissions of the Grantee, its Subcontractors, any of either's Related or Affiliated Parties, the State or any of its officers, agents representatives or employees under, in connection with or in relation to this Agreement and/or any Bids that were submitted prior to the execution of the same).
- II. **"Solicitation"** means a request by the Grantor, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.
- JJ. **"State"** means the Grantor, and his or her authorized agents, employees and designees and any office, department, board, council, commission, institution or other agency or entity of the State of Connecticut.
- KK. **"State Agency"** means any agency with a department head, as defined in C.G.S. § 4-5.
- LL. **"State Confidential Information"** means any and all State Records not subject to disclosure under the Connecticut Freedom of Information Act ("FOIA"). State Confidential Information shall include, but is not limited to, PII, PHI, tax information, Confidential Information, and State personnel records not subject to disclosure under FOIA. State Confidential Information shall not include information or data concerning individuals that is not deemed confidential but nevertheless belongs to the State, which has been communicated, furnished, or disclosed by the State to Grantee which (i) is subject to disclosure pursuant to FOIA, C.G.S. § 1-200, *et. seq.*, (ii) is already known to Grantee without restrictions at the time of its disclosure to Grantee; (iii) is or subsequently becomes publicly available without breach of any obligation owed by Grantee to the State; (iv) is disclosed to Grantee, without confidentiality obligations, by a third party who has the right to disclose such information; or (v) was independently developed without reliance on any State Confidential Information.
- MM. **"State Single Audit Act"** means state single audit required by C.G.S. §§ 4-230 through 4-236, as amended, for non-state entities that expended a total amount of State Financial Assistance equal to or in excess of \$300,000 in any fiscal year.
- NN. **"Subcontractor"** means and includes all of the third-party subcontractors, consultants, licensees, and concessionaires (including, but not limited to, any design or other professionals), if any, that are engaged by Grantee, or are allowed, to perform any work, business or advice, or supply any materials, under or in connection with this Agreement during the Term hereof.
- OO. **"Subgrantor"** means a non-Federal entity that receives a sub-award from a Recipient to carry out part of a federal program but does not include an individual that is a beneficiary of such program. A Subrecipient may also be a recipient of other Federal Awards directly from a Federal Awarding Agency. For the purposes of this Agreement, Grantee is a Subrecipient. Per UST's Uniform Guidance, where a subgrantor is serving as subrecipient that is assisting the state to implement a program or provide services to beneficiaries, it subject to the same requirements as the State.
- PP. **"Terminate," "Terminates," "Terminating," "Terminated," and "Termination"** refer to the act of ending the Term of the Agreement (and, except as otherwise provided in this Agreement, the obligations of

Information, that is collected, compiled, stored, or used for reference or analysis and included as part of the Grantee's deliverables that are given to the State through an approved interface feed (whether in electronic, hard copy or other form) provided by the Grantee or its contractor, as a result of, or in connection with, or which in any way relate to, pertain to, or reference, this Agreement.

- P. **"Deliverable(s)"** means the item(s) listed in **Exhibit A** (Statement of Work) of the Agreement.
- Q. **"Eligible Beneficiary"** means individuals and organizations that received SLFRF funds as end users.
- R. **"Encryption"** means the rendering of electronic data into a form that is unreadable or unusable without the use of a confidential process or key.
- S. **"Expiration"** means the end of the Agreement term.
- T. **"Exhibits"** means the exhibits and attachments included with this Agreement as shown on the Cover Page for this Agreement.
- U. **"Extension Term"** means the time period defined in § 2.C (Term and Agreement Effective Date).
- V. **"Federal Award"** means an award of Federal financial assistance or a cost-reimbursement Agreement, under the Federal Acquisition Regulations or by a formula or block grant, by a Federal Awarding Agency to the Recipient. "Federal Award" also means an agreement setting forth the terms and conditions of the Federal Award. The term does not include payments to an Agreement or payments to an individual that is a beneficiary of a federal program.
- W. **"Federal Awarding Agency"** means a federal agency providing a Federal Award to a Recipient. The US Department of the Treasury is the Federal Awarding Agency for the Federal Award, which is the subject of this Agreement.
- X. **"Federal Single Audit" or "Single Audit"** means a federal single or program-specific audit conducted for that year in accordance with the provisions of Subpart F-Audit Requirements of the Uniform Guidance, issued pursuant to the Single Audit Act Amendments of 1996, (31 U.S.C. §§ 7501-7507). 2 CFR § 200.501.
- Y. **"Grant Funds"** means the funds that have been appropriated, designated, encumbered, or otherwise made available for payment by the Grantor under this Agreement.
- Z. **"Grantee" or "Contractor"** means the grantee listed on the Cover Page of this Agreement.
- AA. **"Grantee Parties"** means Grantee's members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom Grantee is in privity of oral or written contract and Grantee intends for such other person or entity to Perform under the Agreement in any capacity.
- BB. **"Party"** means the Grantor or Grantee, and **"Parties"** means both the Grantor and Grantee.
- CC. **"Performance"** means the fulfillment of the agreement in the Agreement, in whole or in part, according to its terms.
- DD. **"Person"** means and includes all-natural persons as well as any and all business, governmental or other entities that are recognized as having a separate and distinct existence, and thus the rights of a person, under law.
- EE. **"PII"** means personally identifiable information including, without limitation, any information maintained by the State about an individual that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information. PII includes, but is not limited to, all information defined as personally identifiable information in C.G.S. §§ 4e-70 and 36a-701b.
- FF. **"PHI"** means any protected health information, including, without limitation any information whether oral or recorded in any form or medium: (i) that relates to the past, present, or future physical or mental condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the

- G. **"Bidder"** means a person (including, but not limited to, any business or other entity) which responds to a Solicitation.
- H. **"Breach of Agreement"** means the failure of a Party to perform any of its obligations in accordance with this Agreement, in whole or in part or in a timely or satisfactory manner. The institution of proceedings under any bankruptcy, insolvency, reorganization or similar law, by or against Grantee, or the appointment of a receiver or similar officer for Grantee or any of its property, which is not vacated or fully stayed within thirty (30) calendar days after the institution of such proceeding, shall also constitute a breach. If Grantee is debarred or suspended under C.G.S. §§ 4e-35 or 4e-38, or both, at any time during the term of this Agreement, then such debarment or suspension shall constitute a breach.
- I. **"Budget"** means the budget for the Work and Deliverables described in **Exhibit B**.
- J. **"Business Day"** means any day in which the State is open and conducting business, but shall not include Saturday, Sunday or any day on which the State observes one of the holidays listed in C.G.S. § 1-4.
- K. **"Claims"** means any and all claims, demands, suits, actions, causes of action, losses, liabilities, damages, judgments, orders, decrees, requests for injunctive and/or declaratory relief, fines, liens, debts, charges, executions, penalties, interest and expense whatsoever (including, but not limited to, all reasonable attorney's fees, court costs, expert and other professional fees and other costs of investigation and defense of any of the foregoing), whether mature or unmatured, contingent, or known or unknown, which are, have been or may be made, brought, issued or awarded at law or in equity, or under or in connection with any administrative rule or proceeding, in any forum.
- L. **"Confidential Information"** shall mean any name, number or other information that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual's name, date of birth, mother's maiden name, motor vehicle operator's license number, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand deposit account number, savings account number, credit card number, debit card number or unique biometric data such as fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Confidential Information shall also include any information that the Department classifies as "confidential" or "restricted." Confidential Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records which are lawfully made available to the general public.
- M. **"Confidential Information Breach"** shall mean, generally, an instance where an unauthorized person or entity accesses Confidential Information in any manner, including but not limited to the following occurrences: (1) any Confidential Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Confidential Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Confidential Information together with the confidential process or key that is capable of compromising the integrity of the Confidential Information; or (4) if there is a substantial risk of identity theft or fraud to the client, the Grantee, the Grantor or State.
- N. **"C.G.S."** shall mean Connecticut General Statutes.
- O. **"Data"** means all the State's facts and statistics (including, but not limited to, Confidential Information, non-public numerical information, non-public eligibility information, tax information, non-public employment information, non-public wage information, non-public unemployment information, non-public insurance information, non-public workers' compensation records, that is collected, compiled, stored, or used for reference or analysis and included as part of the State's deliverables as well as, drawings, video, pictures, specifications, notes, reports, records, estimates, summaries, memoranda, and correspondence that are shared with the Grantee through an approved interface feed (whether in electronic, hard copy or other form) provided by the State for, as a result of, or in connection with, or which in any way relate to, pertain to, or reference, this Agreement, and it shall also mean and include all data collected from applicants and trainees including, but not limited to, name of person, address, contact telephone number, contact e-mail address, Confidential

1. PARTIES

This Agreement is a grant entered into by and between Grantee named on the Cover Page for this Agreement (the "Grantee"), and the STATE OF CONNECTICUT acting by and through the State agency named on the Cover Page for this Agreement (the "Grantor"). Grantee and the Grantor agree to the terms and conditions in this Agreement.

2. TERM AND AGREEMENT EFFECTIVE DATE

A. Agreement Effective Date

This Agreement shall not be valid or enforceable until the Agreement Effective Date, and the Grant Funds shall be expended by the Fund Expenditure End Date shown on the Cover Page of this Agreement. The Grantor shall not be bound by any provision of this Agreement before the Agreement Effective Date and shall have no obligation to pay Grantee for any Work performed or expense incurred before the Agreement Effective Date (Payments to Grantee), or after the Fund Expenditure End Date. If the Work will be performed in multiple phases, the period of performance start and end date of each phase is detailed under the Project Schedule in **Exhibit A**.

B. Term

The Parties' respective performances under this Agreement shall commence on the Agreement Effective Date shown on the Cover Page for this Agreement and shall terminate on the Agreement Expiration Date shown on the Cover Page for this Agreement unless sooner terminated or further extended in accordance with the terms of this Agreement.

C. Extension Terms - Grantor's Option

☐ Grantor check box if the section is not applicable to the Agreement.

The Grantor, at its discretion, shall have the option to extend the performance under this Agreement beyond the Agreement Expiration Date for a period, or for successive periods, of one year or less at the same rates and under the same terms specified in this Agreement (each such period an "Extension Term"). All amendments, if any, shall be in writing, fully executed by the Parties and reviewed and approved by the Connecticut Attorney General. **(Reminder – All ARPA monies must be committed by a legally binding agreement and any amendment on or before December 31, 2024).**

3. DEFINITIONS

Whenever the following terms or phrases are used in this Agreement, they shall have the following meaning unless the context clearly requires otherwise:

- A. **"Agreement"** or **"Contract"** means this grant agreement, including all attached Exhibits, all documents incorporated by reference, and any future modifications thereto.
- B. **"Agreement Effective Date"** means the date listed on the Agreement Cover Page.
- C. **"Agreement Expiration Date"** means the time period defined in § 2.B (Term and Agreement Effective Date).
- D. **"Award"** means an award by a Recipient to a Subrecipient funded in whole or in part by a Federal Award. The terms and conditions of the Federal Award flow down to the Award unless the terms and conditions of the Federal Award specifically indicate otherwise.
- E. **"Beneficiary"** means a person, entity or organization that is entitled to financial assistance under ARPA if certain qualifying events are met. The UST guidelines prescribe different compliance and reporting responsibilities for beneficiaries, which should be reviewed for guidance.
- F. **"Bid"** means a response to any Solicitation.