

CONTRACT FORMS BID DOCUMENTS

&

PROJECT SPECIFICATIONS FOR

SEYMOUR NO. 4 DAM

IMPROVEMENTS

CT DAM ID No: 10809

OXFORD, CT

Project Number DS-202506378-01EA



EMMA CIMINO
ACTING COMMISSIONER
STATE OF CONNECTICUT
DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION
BUREAU OF WATER PROTECTION AND LAND REUSE
WATER PLANNING AND MANAGEMENT DIVISION

August 24, 2026
(Revised for Bidding August 2026)

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NOTE: All forms associated with these items must be completed by Bidders and submitted with bids.

INVITATION TO BID

STATE OF CONNECTICUT
DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION
BUREAU OF WATER PROTECTION AND LAND REUSE
WATER PLANNING AND MANAGEMENT DIVISION
79 ELM STREET, 2ND FLOOR, HARTFORD, CT 06106-5127
TELEPHONE (860) 424-3706

The Department of Energy and Environmental Protection seeks sealed construction bids from Contractors who are prequalified by DAS for the following project:

PROJECT NAME: SEYMOUR NO. 4 DAM IMPROVEMENTS, OXFORD, CT

PROJECT NUMBER: DS-202506378-01EA

DATE OF BID ADVERTISEMENT: September 1, 2026

DATE OF BID OPENING: October 6, 2026. Bid opening process will be done electronically through the CTSOURCE program. Results of the bidding will be posted online through CTSOURCE 72 hours after bid due date. Refer to Bid Submissions below for further bid process details.

PROJECT DESCRIPTION: Replace the existing spillway with a concrete drop inlet structure with 48-inch discharge pipe and energy dissipator at the downstream end. A new 16-inch outlet pipe controlled by a stainless steel slide gate will be installed in the drop inlet spillway structure. Installation of a new valve and extension stem on the existing low level outlet upstream of the dam at the bottom of the reservoir. Trees will be cleared from the embankments and the downstream slope will be filled in the vicinity of the new spillway discharge pipe and energy dissipator. Eroded areas on the crest will be repaired, the crest will be raised one foot. Riprap will be placed on the upstream slope. Construction of a 100-foot long auxiliary spillway with concrete core wall. Clear trees and stumps from left dike, topsoil and seeded with grass.

DAS PREQUALIFICATION CLASSIFICATION: DAS Prequalification Required.

BID AND CONTRACT DOCUMENTS: Bid and contract documents, including additional notice and instructions to Bidders are available on the State of Connecticut's Department of Administrative Services' website:

<https://portal.ct.gov/das/ctsource/ctsource>

No bid packages will be available at the pre-bid meeting.

PRE-BID MEETING: A mandatory pre-bid meeting will be held on September 9, 2026, at 10:00 AM. Representatives of the Water Planning and Management Division will meet prospective bidders at the project location (approx. 360 Chestnut Tree Hill Road, Oxford, CT) for the purpose of reviewing the project and conducting a site inspection.

Prospective bidders must pre-register for the mandatory pre-bid meeting by submitting an e-mail including Company Name, Name of Contact Person, mailing address, e-mail address and telephone number by 4:00 PM on September 8, 2026 (dlombardo@tataandhoward.com, cc: james.heaven@ct.gov). Prospective bidders must both pre-register for and attend the pre-bid meeting for DEEP to open or review their bid proposals.

All questions must be submitted via e-mail to James Heaven at james.heaven@ct.gov (cc: dlombardo@tataandhoward.com) by 2:00 PM on September 15, 2026. Responses to questions will be answered per addendum and posted on the CTSOURCE website by September 21, 2026.

BID SUBMISSIONS TO: All bids must be submitted electronically through the State of Connecticut's Department of Administrative Services' website:

<http://portal.ct.gov/das/ctsource/ctsource>.

Bids are to be submitted by 12:00 PM on October 6, 2026. Any bids received after 11:59 AM will not be opened.

BID BOND: Required in the amount of 10% of total bid.

ADDITIONAL REQUIREMENTS: Other DEEP/WPMD bid and contract requirements for this project, and information concerning the completion of bids being submitted, are contained in the Notice and Instructions to Bidders Form, and applicable bid and contract forms, including any requirements incorporated by reference in such documents. Prospective bidders are advised to carefully review these documents and requirements prior to preparation and submittal of bids.

Prospective bidders should be aware that among these requirements the contractor selected to perform the work necessary to complete this project must file with and receive approval of an Affirmative Action plan from the Connecticut Commission of Human Rights and Opportunities (CHRO). This will also require compliance with CHRO set-aside program subcontracting and hiring goals.

CONTACT INFORMATION:

Prospective bidders may contact James Heaven of the DEEP/Water Planning and Management Division by e-mail at james.heaven@ct.gov for additional information or clarification regarding the Bid and Contract documents.

The Commissioner of the Department of Energy and Environmental Protection reserves the right to do any of the following without liability, including but not limited to: (a) waive technical defects in the bid proposal as he or she deems best for the interest of the State; (b) negotiate with a contractor in accordance with Connecticut General Statutes Section 4b-9; (c) reject any or all bids; (d) cancel the award or execution of any contract prior to the issuance of the "Notice To Proceed;" and, (e) advertise for new bids.

Emma Cimino
Acting Commissioner
Department of Energy and Environmental
Protection

NOTICE AND INSTRUCTIONS TO BIDDERS

STATE OF CONNECTICUT DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

1. BIDS AND REJECTION OF BIDS

- A. Bids shall be for the complete work as specified and shall include the names of any subcontractors for the four classes of work specified in subsection (a) of Section 4b- 93 of the General Statutes of Connecticut as revised, if applicable, and for each other class of work for which the awarding authority has required a separate section pursuant to said subsection and the dollar amounts of their subcontracts, and the contractor shall be selected on the basis of such bids. It shall be presumed that the bidder intends to perform with its own employees all work in such four classes and such other classes, for which no subcontractor is named. The bidder's qualifications for performing such work shall be subject to review under Section 4b-92 of the General Statutes of Connecticut ("C.G.S."), as revised.
- B. Every bid which is conditional or obscure, or which is not accompanied by a Department of Administrative Services Prequalification Certificate and Update Statement, or which contains any addition not called for, shall be invalid, and the awarding authority shall reject every such bid. The awarding authority shall be authorized to waive minor irregularities which he/she considers in the best interest of the State, provided the reasons for any such waiver are stated in writing by the awarding authority and made a part of the contract file. No such bid shall be rejected because of the failure to submit prices for, or information relating to, any item or items for which no specific space is provided in the bid form furnished by the awarding authority, but this sentence shall not be applicable to any failure to furnish prices or information required by C.G.S. Section 4b-95 , as revised, to be furnished in the bid form provided by the awarding authority.
- C. Bids shall be submitted on the prepared forms furnished for the specific project. In no event will changes in bids made by telephone, telegraph, facsimile, or other communication technology be considered. Any bid showing any omission, alteration of form, additions not called for, and any conditional bids, alternative bids, or bids showing irregularities of any kind will be rejected. A complete bid package shall consist of the following, fully completed:
 - 1. Proposal Form
 - 2. Bid Security
 - 3. Statement of Bidder's Qualifications

4. CT CHRO Contract Compliance Regulations and Notifications
 5. SEEC Form 10
 6. State of Connecticut Labor Department Form E.O. 3-1, "Employer report of compliance Staffing"
- D. The Department of Energy and Environmental Protection ("DEEP" or "Department") will receive bids electronically through the Department of Administrative Services (DAS) web page until 12:00 PM on the bid opening date as specified in the Invitation to Bid (IB-1 and IB-2). Bids will not be accepted in person or by mail. Bids received by DEEP/DAS after 11:59 AM on the bid opening date will not be accepted. It is each bidder's responsibility to ensure that their bid package is received on time. Any bid received after the scheduled closing time for the receipt of bids will not be opened or reviewed by DEEP.

Any bid, once submitted to the DEEP, may only be withdrawn by letter of request, signed by the submitting Bidder and presented to the Commissioner prior to the time of opening of any bid for the project in question. Under Paragraph 3A of the Proposal Form (refer to Page PF-2), the Contractor agrees to hold the Bid for one hundred twenty (120) days after the opening date.

- E. The Commissioner of the DEEP reserves the right to waive technical defects in the bids, to reject any bids which do not conform to the terms and conditions described herein, to accept or reject any part of any bid, and to reject all bids and again invite bids.
- F. The award of the Contract to a Bidder will be contingent upon determination by the DEEP and the Connecticut Commission on Human Rights and Opportunities that the Bidder is in compliance with C.G.S. Sections 4a-60 and 4a-60a and Section 46a-68j-23 of the Regulations of Connecticut State Agencies ("R.C.S.A.") regarding equal employment opportunity, and the Bidder's good faith efforts to include minority business enterprises as subcontractors and suppliers for the Work of the Contract. Upon notification of a Bidder by DEEP as the lowest responsible bidder, said determination of compliance may require an Affirmative Action Plan as required under C.G.S. Sections 46a-68c and - 68d, and R.C.S.A. Section 46a-68j- 27(1).
2. BID SECURITY

Each bid must be accompanied by a Bid Bond, in the form required and provided by the DEEP and having as surety thereto such surety company or companies as are authorized to do business in the State of Connecticut, and for an amount not less than 10 percent of the

Total Bid Amount. Bid Bonds submitted by bidders and received by the DEEP shall be void upon execution of the Contract by the State of Connecticut.

3. FORFEIT OF BID SECURITY

Failure of the successful bidder to execute a contract awarded as specified and bid shall result in the forfeiture of the Bid Bond.

4. CONTRACTOR'S QUALIFICATIONS

- A. All Bidders shall file with their bids a Statement of Bidder's Qualifications on the Provided form.
- B. When evaluating a Contractor's qualifications, as per C.G.S. Section 4b-92 and C.G.S. Section 4b-94 the Department shall evaluate: the skill, ability, and integrity of the Contractor in terms of the Contractor's ability to fulfill the Contract obligations; and the Contractor's experience or lack of experience and the Commissioner reserves the right to reject any or all such Contractors that are deemed not qualified to perform the Work under this Contract.
- C. Bidders must be able to demonstrate recent successful experience with the type of work described in this bid package. Bidders must also list the specific personnel possessing that experience and their intent to employ these same personnel for this project. This information is required in the Statement of Bidders Qualifications section, pages BQ-1 through BQ-4. The Department reserves the right to reject any bidders who lack recent experience with the type of work required for this project.

5. ADDENDA AND INTERPRETATIONS

No interpretations of the meaning of the Plans, Technical Specifications, or other Contract Documents will be made orally to any Bidder. Every request for such interpretation should be in writing and sent via e-mail to James Heaven (james.heaven@ct.gov) at the Department of Energy and Environmental Protection (cc: dlombardo@tataandhoward.com) and to be given consideration, must be received by 2:00 PM on September 15, 2026. Any and all such interpretations and any supplemental instructions will be in the form of written Addenda to the Contract Documents which, if issues, will be posted on the State of Connecticut's Department of Administrative Services' website: <https://portal.ct.gov/das/ctsource/ctsource> not later than September 21, 2026. Failure of any Bidder to receive any such Addenda or interpretation shall not release the Bidder from any obligations under its bid as submitted, provided notice has been sent to the e- mail address furnished by such prospective bidder for the transmittal of notices, addenda, and interpretations.

6. SECURITY FOR FAITHFUL PERFORMANCE

- A. Performance Bond (for bids over \$25,000.00): Concurrent with the signing of the Contract by the successful Bidder, the successful Bidder shall submit an executed Performance Bond, prepared on the form of Performance Bond provided by the DEEP, in the amount of 100 percent of the Total Bid Amount, conditioned upon the faithful performance of the Contract, and having as surety thereto such Surety Company or Companies as are authorized to transact business in the State of Connecticut. Any such Bond furnished shall have as principal the name of the successful Bidder.
- B. Labor and Material Bond (for bids over \$25,000.00): At this same time, the successful Bidder shall submit an executed Labor and Material Bond, prepared on the form of Labor and Material Bond provided by the DEEP, in the amount of 100 percent of the Total Bid Amount which shall be binding upon the award of the Contract to such Bidder, and having as surety thereto such surety company or companies as are authorized to transact business in the State of Connecticut, for the protection of persons supplying labor or materials in the prosecution of the work provided for in the Contract for use of each such person. Any such Bond furnished shall have as principal the name of the successful bidder. This Bond is to be furnished pursuant to C.G.S. Section 49-41, as revised.

The following Sections of the General Statutes of Connecticut, as revised, are inserted as information concerning this Bond.

Sec. 49-41a. Enforcement of payment by general contractor to subcontractor and by subcontractor to his subcontractors.

(a) When any public work is awarded by a contract for which a payment bond is required by Section 49-41, the contract for the public work shall contain the following provisions:

(1) A requirement that the general contractor, within thirty days after payment to the contractor by the State or a municipality, pay any amounts due any subcontractor, whether for labor performed or materials furnished, when the labor or materials have been included in a requisition submitted by the contractor and paid by the State or a municipality; (2) a requirement that the general contractor shall include in each of its subcontracts a provision requiring each subcontractor to pay any amounts due any of its subcontractors, whether for labor performed or materials furnished, within thirty days after such subcontractor receives a payment from the general contractor which encompasses labor or materials furnished by such subcontractor.

(b) If payment is not made by the general contractor or any of its subcontractors in accordance with such requirements, the subcontractor shall set forth his claim against the general contractor and the subcontractor of a subcontractor shall set forth its claim against the subcontractor through notice by registered or certified mail. Ten days after the receipt of that notice, the general contractor shall be liable to its subcontractor, and the subcontractor shall be liable to its subcontractor, for interest on the amount due and owing at the rate of one per cent per month. In

addition, the general contractor, upon written demand of its subcontractor, or the subcontractor, upon written demand of its subcontractor, shall be required to place funds in the amount of the claim, plus interest of one percent, in an interest-bearing escrow account in a bank in this State, provided the general contractor or subcontractor may refuse to place funds in escrow on the grounds that the subcontractor has not substantially performed the work according to the terms of his or its employment. In the event that such general contractor or subcontractor refuses to place such funds in escrow, and the party making a claim against it under this section is found to have substantially performed its work in accordance with the terms of its employment in any arbitration or litigation to determine the validity of such claim, then such general contractor or subcontractor shall pay the attorney's fees of such party.

(c) No payment may be withheld from a subcontractor for work performed because of a dispute between the general contractor and another contractor or subcontractor.

(d) This section shall not be construed to prohibit progress payments prior to final payment of the contract and is applicable to all subcontractors for material or labor whether they have contracted directly with the general contractor or with some other subcontractor on the work.

Sec. 49-42. Enforcement of right to payment on bond. Suit on bond, procedure, and judgment.

(a)(1) Any person who performed work or supplied materials for which a requisition was submitted to, or for which an estimate was prepared by, the awarding authority and who does not receive full payment for such work or materials within sixty days of the applicable payment date provided for in subsection (a) of section 49-41a, or any person who supplied materials or performed subcontracting work not included on a requisition or estimate who has not received full payment for such materials or work within sixty days after the date such materials were supplied or such work was performed, may enforce such person's right to payment under the bond by serving a notice of claim on the surety that issued the bond and a copy of such notice to the contractor named as principal in the bond not later than one hundred eighty days after the last date any such materials were supplied or any such work was performed by the claimant. For the payment of retainage, as defined in section 42-158i, such notice shall be served not later than one hundred eighty days after the applicable payment date provided for in subsection (a) of section 49-41a. The notice of claim shall state with substantial accuracy the amount claimed and the name of the party for whom the work was performed or to whom the materials were supplied, and shall provide a detailed description of the bonded project for which the work or materials were provided. If the content of a notice prepared in accordance with subsection (c) of section 49-41a complies with the requirements of this section, a copy of such notice, served not later than one hundred eighty days after the date provided for in this section upon the surety that issued the bond and upon the contractor named as principal in the bond, shall satisfy the notice requirements of this section. Not later than ninety days after service of the notice of claim, the surety shall make payment under the bond and satisfy the claim, or any portion of the claim which is not subject to a good faith dispute, and shall serve a notice on the claimant denying liability for any unpaid portion

of the claim. The surety's failure to discharge its obligations under this section shall not be deemed to constitute a waiver of defenses the surety or its principal on the bond may have or acquire as to the claim, except as to undisputed amounts for which the surety and claimant have reached agreement. If, however, the surety fails to discharge its obligations under this section, then the surety shall indemnify the claimant for the reasonable attorneys' fees and costs the claimant incurs thereafter to recover any sums found due and owing to the claimant. The notices required under this section shall be served by registered or certified mail, postage prepaid in envelopes addressed to any office at which the surety, principal or claimant conducts business, or in any manner in which civil process may be served.

(2) If the surety denies liability on the claim, or any portion thereof, the claimant may bring an action upon the payment bond in the Superior Court for such sums and prosecute the action to final execution and judgment. An action to recover on a payment bond under this section shall be privileged with respect to assignment for trial. The court shall not consolidate for trial any action brought under this section with any other action brought on the same bond unless the court finds that a substantial portion of the evidence to be adduced, other than the fact that the claims sought to be consolidated arise under the same general contract, is common to such actions and that consolidation will not result in excessive delays to any claimant whose action was instituted at a time significantly prior to the filing of the motion to consolidate. In any such proceeding, the court judgment shall award the prevailing party the costs for bringing such proceeding and allow interest at the rate of interest specified in the labor or materials contract under which the claim arises or, if no such interest rate is specified, at the rate of interest as provided in section 37-3a upon the amount recovered, computed from the date of service of the notice of claim, provided, for any portion of the claim which the court finds was due and payable after the date of service of the notice of claim, such interest shall be computed from the date such portion became due and payable. The court judgment may award reasonable attorneys' fees to either party if upon reviewing the entire record, it appears that either the original claim, the surety's denial of liability, or the defense interposed to the claim is without substantial basis in fact or law. Any person having direct contractual relationship with a subcontractor but no contractual relationship express or implied with the contractor furnishing the payment bond shall have a right of action upon the payment bond upon giving written notice of claim as provided in this section.

(b) Every suit instituted under this section shall be brought in the name of the person suing, in the superior court for the judicial district where the contract was to be performed, irrespective of the amount in controversy in the suit, but no such suit may be commenced after the expiration of one year after the last date that materials were supplied or any work was performed by the claimant, except that any such suit solely seeking payment for retainage, as defined in section 42-158i, shall be commenced not later than one year after the date payment of such retainage was due, pursuant to the provisions of subsection (a) of section 49-41a.

(c) The word "material" as used in sections 49-33 to 49-43, inclusive, shall include construction equipment and machinery that is rented or leased for use (1) in the

prosecution of work provided for in the contract within the meaning of sections 49-33 to 49-43, inclusive, or (2) in the construction, raising or removal of any building or improvement of any lot or in the site development or subdivision of any plot of land within the meaning of sections 49-33 to 49-39, inclusive.

7. CONNECTICUT SALES USE AND TAXES

- A. All contractors shall familiarize themselves with the current statutes and regulations of the Department of Revenue Services. The tax on materials or supplies exempted by such statutes and regulations shall not be included as part of a bid.
- B. Nonresident contractors must comply with the provisions of Connecticut General Statutes Section 12-430(7), Bond requirements for nonresident contractors, and the regulations established pursuant to that section.

8. PERCENTAGE OF WORK TO BE COMPLETED BY THE CONTRACTOR

The bidder must perform at least 70% of the Work with its own forces. At the time of Contract signing, the apparent low Bidder shall submit a letter certifying the percentage of the Work to be completed by its own forces and stating the portions of the Work by division or portion of the Technical Specifications and the estimated value thereof.

This project is also subject to the State's Contractor & Minority Business Set-Aside Program Goals of 25% Small Business Enterprise (SBE) and 6.25% Minority Business Enterprise (MBE) based on the entire amount of the Contract. The selected Contractor is therefore encouraged to solicit bids from subcontractors and/or vendors who are currently certified by the State through its Department of Administrative Services, Supplier Diversity Program, as MBE's which are SBE's with at least 51% ownership by one or more persons who are American Indian, Asian, Black, Hispanic, have origins in the Iberian Peninsula, women or disabled.

9. SUBCONTRACTORS

At the time of Contract Signing, the apparent low Bidder shall furnish the names and addresses of responsible and qualified Subcontractors who will perform Work on the Contract. The list shall show the Work to be performed by each Subcontractor by the division or portion of the Technical Specifications and the estimated value thereof.

10. CONTRACT TIME

- A. The Contract Time is the number of calendar days allowed for the execution and completion of the Contract. Calendar days shall mean consecutive days in order including Saturdays, Sundays, and Legal Holidays. The time allowed for the Work

to be done on a project will be computed on the basis of calendar days, but actual work shall not be performed on Saturdays, Sundays, or Legal Holidays except by written direction or consent of the Department.

- B. All Work under this Contract shall be completed by the Contract Expiration Date, 420 calendar days after Contract Execution Date.

11. UNION LABOR

Attention is called to the fact that there may be construction work now being carried on at the site at which this construction is contemplated being done by union labor. This fact must be kept in mind by all bidders.

12. PREVAILING WAGE

Bidders should note that the State of Connecticut Labor Department prevailing wage rates will apply to this project as required under Articles 20 and 21 of the General Conditions. (Part III.A, Pages GC-13 and GC-14)

13. QUANTITY OF WORK

- A. Bidders must satisfy themselves by personal examination of the site of the work and the plans relating thereto; and form their own judgments of the quantities and character of the Work to be done and make their bids accordingly.
- B. No claims on account of the nature of the Work, the amount of the Work to be done or the site where the Work is to be executed will be considered or allowed by the State, except for Unit Price items stated in the Bid Proposal.

14. QUALITY OF WORK

- A. The selected Contractor shall be responsible for constructing and performing, and maintaining quality control, over all Work as required under Articles 2 through 8 and 14 of the Project General Conditions (Ref. Pages GC-6 through GC-8, and GC-10, of the Contract Documents).
- B. The selected Contractor shall also be subject to evaluation by the DEEP Water Planning and Management Division at the conclusion of the Project. Contractor performance evaluations will be submitted exclusively to the State Contracting Portal, CT Source. (Contractor Performance Evaluation Memo, is included in the Contract Documents.)

15. EXECUTIVE ORDERS NO. THREE, SEVENTEEN, SIXTEEN AND 7C:

Bidders are advised that the Contract for this project shall be subject to:

- A. Executive Order No. Three regarding nondiscrimination, promulgated June 16, 1971, and to the Guidelines and Rules of the State Labor Commissioner implementing said Executive Order.
- B. Executive Order No. Seventeen, promulgated February 15, 1973, requiring contractors and subcontractors to list employment openings with the Connecticut State Employment Service.
- C. Executive Order No. Sixteen, promulgated August 4, 1999, regarding violence in the workplace.
- D. Executive Order No. 7C promulgated July 13, 2006 regarding contracting reforms.

Said documents are hereby incorporated herein and made a part hereof as though fully set forth herein. Bidders may review these executive orders on Connecticut's Official State Website <https://portal.ct.gov/> (click on the "Search Connecticut Government..." search bar, and then type the Executive Order number and date to view).

PROPOSAL FORM

STATE OF CONNECTICUT
DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

Date _____

PROPOSAL OF _____
(Bidder's Name)

(Bidder's Address)

State of Connecticut
Department of Energy & Environmental Protection
Bureau of Water Protection and Land Reuse
Water Planning and Management Division
79 Elm Street, 2nd Floor
Hartford, Connecticut 06106-5127

To whom it may concern:

1. Pursuant to, and in compliance with your Invitation to Bid for SEYMOUR NO. 4 DAM IMPROVEMENTS, OXFORD, CT, Notice to Bidders, the Contract, including the conditions thereto, and the Bid Security, (I/we) propose to furnish the labor and/or materials, installed as required for the project named and numbered in paragraph 4 of this Proposal, submitted herein, furnishing all necessary equipment, machinery, tools, labor and other means of construction, and all materials specified in the manner and at the time prescribed strictly in accordance with the provisions of the Contract, including, but not limited to, the Specifications and/or Plans together with all addenda issued by your authority and received prior to the scheduled closing time for the receipt of the bids, and in conformity with requirements of the Awarding Authority and any laws or Departmental regulations of the State of Connecticut or of the United States which may affect the same, for and in consideration of the price(s) stated in paragraph 4.C. of this Proposal.
2. The Total Bid Price in paragraph 4.C. of this Proposal includes all work indicated on the Plans and/or described in these Specifications and is based on the Unit Price Bids as shown.

(I/We) will complete the work of this Project for the Total Bid Price, as may be adjusted for actual quantities of unit bid price items, as listed in paragraph 4 of this Proposal.

(I/We) understand, that (I/we) must complete the Bid by filling out all blanks, unit prices and computed totals for all unit price items and list the Total Bid Price both in figures and words.

3. In submitting this Bid (I/we) agree:
 - A. To hold (my/our) Bid open for 120 days after the actual Bid Opening date.
 - B. To accept the provisions of the Notice to Bidders regarding disposition of the Bid Security.
 - C. To enter into and execute a Contract, if awarded, on the basis of this Bid and to provide the required Performance Bond and Labor and Material Bond for the work in accordance with the Notice to Bidders.
 - D. To complete the work in accordance with the Contract Documents.
 - E. To complete the work by the Contract Expiration date of 420 Calendar Days after Contract Execution.

4. PROPOSAL AND OTHER PROJECT DATA

- A. The undersigned proposes to furnish all labor and materials required to complete:

SEYMOUR NO. 4 DAM IMPROVEMENTS, OXFORD, CT

in accordance with Plans and Technical Specifications prepared by Tata & Howard, Inc., and subject to and in compliance with the foregoing and following conditions and information set forth and contained in the Contract Documents. Specifically, the Bidder acknowledges that only those Unit Price items as are listed in this Proposal, exclusive of extra work, will be measured for payment. Contractors will be paid only for actual Work performed as measured in accordance with the Contract Documents.

- B. This Bid includes all Addenda issued as of the bid due date set forth in the Invitation to Bid (refer to Page IB-1).
 - C. This Bid was determined as follows:

PROJECT DATA SHEET – BID LIST
Seymour No. 4 Dam Improvements
Oxford, CT

EXAMPLE BID TABULATION SHEET 1 OF 2

BID ITEM No.	DESCRIPTION	UNITS	EST. QTY.	UNIT PRICE	BID PRICE
1	Site Work	L.S.	1		
2	Control of Water During Construction	L.S.	1		
3	Excavation	--	--	--	--
3A	Excavation	L.S.	1		
3B	Rock Excavation	C.Y.	150		
4	Concrete Work	--	--	--	--
4A	Class "A" Concrete	C.Y.	230		
4B	Class "B" Concrete	C.Y.	100		
5	Pipe, Valves, and Accessories	L.S.	1		
6	Compacted Embankments	L.S.	1		
7	Riprap	--	--	--	--
7A	Gravel Bedding	C.Y.	70		
7B	Standard Riprap	S.Y.	400		

8	Miscellaneous Metal Work	L.S.	1		
9	Additional Excavation and Disposal of Unsuitable Material	L.S.	1		
10	Chain Link Fence	L.S.	1		
11	Aluminum Railing	L.S.	1		
12	Additional Backfill Material	L.S.	1		
13	Toe Drains and Appurtenant Structures	L.F.	1		
14	Construction Stormwater General Permit	--	--	--	--
14A	Construction Stormwater General Permit	L.S.	1		
14B	Allowance for Additional SPCP Measures	A	1	\$25,000	\$25,000
Total Amount of Bid in figures:					
Total Amount of Bid in Words:					
L.S.=Lump Sum; C.F.=Cubic Foot; C.Y.=Cubic Yard; L.F.=Linear Foot; S.F.=Square Foot; S.Y.=Square Yard; A=Allowance					

D. AWARD – I/We acknowledge the following:

- i) All proposals shall be subject to provisions of Paragraph 1 of the Notice to Bidders and for the purpose of award; consideration will be given only to Proposals submitted by qualified and responsible bidders.
- ii) The Award will be made on the basis of the lowest responsive Total Bid Price, provided funds are available.
- iii) In the event of any discrepancy between the amount written in words and the amount written in numerical figures, the amount written in words will be controlling.
- iv) That award of the Contract to a Bidder will be contingent upon determination by the Connecticut Department of Energy & Environmental Protection and the Connecticut Commission on Human Rights and Opportunities that the Bidder is in compliance with Sections 4a-60 and 4a- 60a of the Connecticut General Statutes (“C.G.S.”) and Section 46a-68j-23 of the Regulations of Connecticut State Agencies (“R.C.S.A.”) regarding equal employment opportunity, and the Bidder’s good faith efforts to include minority business enterprises as subcontractors and suppliers for the Work of the Contract. Upon notification of a Bidder by said Department of Energy & Environmental Protection as the lowest responsible bidder, said determination of compliance may require the successful completion of an Affirmative Action Plan as required under C.G.S. Sections 46a-68c and -68d, and R.C.S.A. Section 46a-68j-27(1).

E. CONTRACT SCHEDULE AND LIQUIDATED DAMAGES

All work under this Contract will be completed by the Contract Expiration Date, 420 Calendar Days after Contract Execution. If the project completion is delayed, liquidated damages will be assessed at the rate of one thousand five hundred dollars (\$1,500.00) per calendar day thereafter.

F. CONTRACTOR’S INSURANCE REQUIRED

- i) The limits of liability for the insurance required for this project shall be those listed in Article 16 of the General Conditions.
- ii) Special Hazards Insurance is Required.

G. STATEMENT OF BIDDER'S QUALIFICATIONS

Refer to Paragraph 7 of the Notice to Bidders relative to the submitting of Statement of Bidder's Qualifications.

New 2023 legislation PA 2023-204 sec.437 (1) The bidder's form of organization; (2) the bidder's principals and key personnel and any names under which the bidder, principals or key personnel conducted business during the past five years; (3) any legal or administrative proceedings settled or concluded adversely against the bidder or any of the bidder's principals or key personnel within the past five years which relate to the procurement or performance of any public or private construction contract; (4) any legal or administrative proceedings concluded adversely against the bidder or any of the bidder's principals or key personnel within the past five years which relate to the nonpayment or underpayment of wages or benefits to the bidder's, principal's or key personnel's employees during the performance of any public or private construction contract; (5) any administrative proceedings that concluded adversely against the bidder during the past five years with the imposition of any civil penalties pursuant to section 31-69a of the general statutes or the issuance of any stop work orders pursuant to section 31-288 of the general statutes; (6) a statement of whether (A) the bidder has been disqualified pursuant to section 4a-100, 4b-95, 31-57c or 31-57d of the general statutes, (B) the bidder is disqualified or prohibited from being awarded a contract pursuant to section 31-57b of the general statutes, (C) the bidder has been disqualified by another state, (D) the bidder has been disqualified by a federal agency or pursuant to federal law, (E) the bidder's registration has been suspended or revoked by the Department of Consumer Protection pursuant to section 20-341gg of the general statutes, (F) the bidder has been disqualified by a municipality, and (G) the matters that gave rise to any such disqualification, suspension or revocation have been eliminated or remedied; and (7) other information as the commissioner deems relevant to the determination of the bidder's qualifications and responsibilities. Any failure to disclose any of the information required under this subsection shall disqualify a contractor or substantial subcontractor from any associated bid on a contract.

When evaluating a Contractor's qualifications, as per Section 4b-92 and 4b-94 of the Connecticut General Statutes, the Commissioner shall evaluate: the skill, ability and integrity of the Contractor in terms of the Contractor's ability to fulfill the Contract obligations; and the Contractor's experience or lack of experience and the Commissioner reserves the right to reject any or all such Contractors that he deems are not qualified to perform the work under this Contract.

H. NONDISCRIMINATION LABOR RECRUITMENT

(I/We) agree that the Contract awarded for this project shall be subject to Executive Orders No. Three and Seventeen, promulgated June 16, 1971 and February 15, 1973, respectively, and to currently applicable State of Connecticut guidelines and requirements for implementation.

I. VIOLENCE IN THE WORKPLACE

(I/We) agree that the Contract awarded for this project shall be subject to Executive Order No. Sixteen, promulgated August 4, 1999, regarding violence in the workplace.

J. CONTRACTING REFORMS

(I/We) agree that the Contract awarded for this project shall be subject to Executive Order No. 7C, promulgated July 13, 2006, regarding contracting reforms.

5. ACCOMPANYING PROPOSAL IS

A STANDARD BID BOND having as surety thereto a Surety Company or Companies authorized to transact business in the State of Connecticut and made out in the penal sum of:

_____ DOLLARS(\$ _____)

6. (I/We), the undersigned, hereby declare that (I am/we are) the only person(s) interested in the Proposal; that it is made without any connection with any other person making any bid for the same work; that no person acting for, or employed by, the State of Connecticut is directly or indirectly interested in this proposal, or in any contract which may be made under it, or in expected profits to arise therefrom; that this Proposal is made without directly or indirectly influencing or attempting to influence any other person or corporation to bid or to refrain from bidding or to influence the amount of the bid of any other person or corporation; that this Proposal is made in good faith without collusion or connection with any other person bidding for the same work; and this Proposal is made with distinct reference and relation to the Plans and Specifications prepared for this Contract.
7. (I/We) further declare that in regard to the conditions affecting the work to be done and the labor and materials needed, this Proposal is based solely on (my/our own investigation and research and not in reliance upon any representations of any employee, officer or agent of the State.

Signed this _____ day of _____, 202

Project: Seymour No. 4 Dam Improvements, Oxford, CT

Firm Name: _____

(Address)

(City)

(State)

(Zip)

(Phone)

BY: _____(L.S.)
Duly Authorized

(Title)

(Corp. Seal)

To be filled in and
Signed by the Bidder

STANDARD BID BOND

STATE OF CONNECTICUT
DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

KNOW ALL BY THESE PRESENTS, that we, _____,

Hereinafter called the Principal, of _____ as

Principal, and _____, hereinafter,

Called the Surety, a corporation organized and existing under the laws of the State of _____, and duly authorized to transact a surety business in the State of Connecticut, as Surety, are held and firmly bound unto the State of Connecticut, as Oblige, in the penal sum of ten (10) percent of the amount of the bid set forth in a proposal hereinafter mentioned,

_____ Lawful money of the United States of America, for the payment of which, well and truly to be made to the Oblige, the Principal and the Surety bind themselves, their heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

THE CONDITION OF OBLIGATION IS SUCH, That, whereas the Principal has submitted or is about to submit a proposal to the Oblige related to construction of the project entitled:

Seymour No. 4 Dam Improvements, Oxford, CT

NOW, THEREFORE, if the said Contract be awarded to the Principal and the Principal shall, within such time as may be specified, enter into the said Contract in writing with the State of Connecticut and give the required bonds, with surety acceptable to the Oblige, or if the principal shall fail to do so, pay the Oblige the damages which the Oblige may suffer by reason of such failure not exceeding the penalty of this bond, then this obligation shall be void, otherwise to remain in full force and effect.

SIGNED, SEALED, AND DATED this _____ day of _____, 202_____

Company Name

Surety Name

Principal's Signature

By _____
Attorney in Fact Signature

Print Name

Print Name

STATEMENT OF BIDDER'S QUALIFICATIONS

STATE OF CONNECTICUT DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

Bidder's Name _____

Bidder's Address _____

When organized? _____

How many years have you been engaged in the contracting business under present firm name? _____

Financial Statement (attach separate statement hereto if space is inadequate) _____

Credit available for this Contract _____

Contracts now in hand (gross amount) _____

Personnel of organization _____

Have you ever refused to sign a contract to your original bid? _____

Have you ever defaulted on a contract? _____

Have you contracted with the Department of Energy & Environmental Protection before? _____

Please complete the references page following.

References - List three projects, similar in size and scope to this one that were successfully completed by your firm as the principal contractor, that involved work on dams, water control, earthwork, and concrete placement.

(1) Project: _____

Owner: _____

Contract Amount: _____ Year Completed: _____

Owner Contact Person & Phone No: _____

List names of Personnel with significant responsible experience with this project:

1. Principal Superintendent: _____ Available to oversee this contract? _____

2. Other: _____ Position: _____ Available to oversee this contract? _____

3. Other: _____ Position: _____ Available to oversee this contract? _____

(2) Project: _____

Owner: _____

Contract Amount: _____ Year Completed: _____

Owner Contact Person & Phone No: _____

List names of Personnel with significant responsible experience with this project:

4. Principal Superintendent: _____ Available to oversee this contract? _____

5. Other: _____ Position: _____ Available to oversee this contract? _____

6. Other: _____ Position: _____ Available to oversee this contract? _____

(3) Project: _____

Owner: _____

Contract Amount: _____ Year Completed: _____

Owner Contact Person & Phone No: _____

List names of Personnel with significant responsible experience with this project:

7. Principal Superintendent: _____ Available to oversee this contract? _____

8. Other: _____ Position: _____ Available to oversee this contract? _____

9. Other: _____ Position: _____ Available to oversee this contract? _____

[illegible]

The Commissioner of the Department of Energy & Environmental Protection will review Bidder's qualifications and determine if the Bidder:

- a. Has adequate financial resources, or the ability to secure such resources.
- b. Has the necessary experience, organization, technical qualifications, and has, or can acquire, the necessary equipment to perform the proposed contract.
- c. Is able to comply with the required performance schedule or completion date, taking into account all existing commitments.
- d. Has satisfactory record of performance, integrity, judgement, and skills.
- e. Has adequate experience in performing dam construction, flood control, water related and/or water control projects.
- f. Has employed adequate sediment and erosion control methods on previous projects.

The Bidder agrees that the Commissioner of the Department of Energy & Environmental Protection has the right to reject any bid if the Commissioner believes it would not be in the best interest of the project to make an award to that Bidder. The Bidder also agrees that the Commissioner's decision is final.

The above statement must be subscribed and sworn to before a Notary Public.

By _____ Date _____

STATE OF _____ ss _____

COUNTY OF _____

The foregoing instrument was acknowledged before me

On this _____ day of _____, 202____.

NOTARY PUBLIC
My Commission Expires:

SECTION I.B. STATE OF CONNECTICUT CONTRACT COMPLIANCE ITEMS – BIDDING

- CHRO Contract Compliance Regulations and Notification to Bidders (34 pages)
- DOL Form E.O. 3-1, Article X of Executive Order Number Three, Guidelines and Rules (2 pages)
- NEW October 1, 2023- participate in a workforce development program in which newly hired employees and existing employees are given the opportunity to develop skills. Such program may include but need not be limited to: (1) An apprenticeship training through an apprenticeship program registered with the Labor Department or a federally recognized state apprenticeship agency that complies with the requirements of 29 CFR 29 and 29 CFR 30, as each may be amended from time to time, and (2) pre-apprenticeship training that will enable students to qualify for registered apprenticeship training.

NOTE: All forms associated with these items must be completed by Bidders and submitted with bids.

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS

(Revised 09/3/15)

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a- 60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the

Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder's good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding fifteen million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information)

MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

MARKETING AND SALES: Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.

LEGAL OCCUPATIONS: In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants.

COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer

BUILDING AND GROUNDS CLEANING

AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

CONSTRUCTION AND EXTRACTION:

This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category.

INSTALLATION, MAINTENANCE AND

REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment;

programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers. OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).	millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category. MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers. PRODUCTION WORKERS: The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.
--	--

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

<u>White</u> (not of Hispanic Origin)-All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East. <u>Black</u> (not of Hispanic Origin)-All persons having origins in any of the Black racial groups of Africa. <u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.	<u>Asian or Pacific Islander</u>- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa. <u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I – Bidder Information

Company Name: Street Address: City & State: Chief Executive:	Bidder Federal Employer Identification Number: Or Social Security Number:
Major Business Activity: (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor? Yes ☐ No ☐ -Bidder is a minority business enterprise? Yes ☐ No ☐ (If yes, check ownership category) Black ☐ Hispanic ☐ Asian American ☐ American Indian/Alaskan Native ☐ Iberian Peninsula ☐ Individual(s) with a Physical Disability ☐ Female ☐ -Bidder is certified as above by State of CT? Yes ☐ No ☐
Bidder Parent Company: (If any)	
Other Locations in CT: (If any)	

Part II – Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes ☐ No ☐	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes ☐ No ☐
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes ☐ No ☐	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have a physical or mental disability? Yes ☐ No ☐
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes ☐ No ☐	9. Does your company have a mandatory retirement age for all employees? Yes ☐ No ☐
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes ☐ No ☐	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes ☐ No ☐ N/A ☐
5. Do you notify the CT State Employment Service of all employment openings with your company? Yes ☐ No ☐	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the CT Dept. of Labor? Yes ☐ No ☐ N/A ☐
6. Does your company have a collective bargaining agreement with workers? Yes ☐ No ☐ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes ☐ No ☐	Does your company have a written affirmative action Plan? Yes ☐ No ☐ If no, please explain.
	13. Is there a person in your company who is responsible for equal employment opportunity? Yes ☐ No ☐

6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of CT?

Yes ☐ No ☐

If yes, give name and phone number:

Part III – Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes ☐ No ☐

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (Defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes ☐ No ☐

Part IV – Bidder Employment Information

Date:

JOB CATEGORY *	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Management											
Business & Financial Ops											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

* NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLAC A CATEGORY NOT USED IN YOUR COMPANY)

PART V – Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (☒) any of the below listed requirements that you use hiring qualification (☒)		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service	☐	☐		☐	Work Experience	
Private Employment Agencies	☐	☐		☐	Ability to speak or write English	
Schools and Colleges	☐	☐		☐	Written Tests	
Newspaper Advertisement	☐	☐		☐	High School Diploma	
Walk Ins	☐	☐		☐	College Degree	
Present Employees	☐	☐		☐	Union Membership	
Labor Organizations	☐	☐		☐	Personal Recommendation	
Minority/Community Organizations	☐	☐		☐	Height or Weight	
Others (please identify)	☐	☐		☐	Car Ownership	
	☐	☐		☐	Arrest Record	
	☐	☐		☐	Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)

Department _____ ☐ Approved

☐ Pending Investigation

(Compliance Officer)

Date: _____

☐ Disapproved

☐ Investigation Requested

**STATE OF CONNECTICUT
EMPLOYER REPORT OF COMPLIANCE STAFFING**

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

Name of Contracting Firm _____

Type of Report

☐ Prime Contractor

Address (No. And Street) _____

(City) (State) _____

☐ Subcontractor

EMPLOYEE INFORMATION

Total Employed _____

White _____

Black _____

Spanish Surname _____

Other (Specify) _____

Does your firm have a collective bargaining agreement or other contract or understanding with a labor organization or employment agency for the recruitment of labor?

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

YES

☐

Name _____

Address (No. And Street, City, State) _____

If no, indicate the usual methods of recruitment.

NO ☐ Connecticut State Employment

Service

☐ ☐ Private Employment Agency

☐ Newspaper Advertisement

☐ Walk-In

☐ Other (specify) _____

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

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

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

Employer _____

Date _____

By _____

Signature

Title

NON-DISCRIMINATION CONTRACT LANGUAGE

Pursuant to Connecticut General Statutes Section 4a-60 and except as provided in section 10a-151i of the General Statutes, every contract to which a state agency or political subdivision of the state, including a municipality or quasi-public agency, is a party to shall contain the following provisions:

(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, sexual orientation, gender identity or expression, status as a veteran, status as a victim of domestic violence, status as a victim of sexual assault or status as a victim of trafficking in persons, 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, sexual orientation, status as a veteran, status as a victim of domestic violence, status as a victim of sexual assault or status as a victim of trafficking in persons, 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;

(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 on Human Rights and Opportunities;

(3) 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;

(4) The contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e, 46a-68f and 46a-86; 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 section 46a-56.



State of Connecticut COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

Contract Compliance Unit – 450 Columbus Blvd., Suite 2, Hartford, CT 06103

Promoting Equality and Justice for all People

Good Faith Efforts

How does the CHRO analyze a contractor's good faith efforts to solicit Small Business Enterprises ("SBE") and/or Minority Business Enterprises ("MBE")?

Remember: the goal is to use Department of Administrative Services ("DAS")-certified SBEs for at least 25% of the work and to use DAS-certified MBEs (ethnic minority-owned businesses), WBEs (women-owned businesses), and DisBEs (businesses owned by persons with disabilities) for at least 6.25% of the work.

Here are the factors the CHRO looks at to determine whether a contractor has made its best good faith effort to provide opportunities for DAS-certified S/M/W/DisBEs to work on state funded projects.

Has the contractor actually achieved its goal? What good faith efforts has the contractor made to achieve those goals?

Evidence of taking reasonable steps to achieve the goals would include, but not be limited to, following the CHRO's best suggested practices such as:

- Consulting with varied resources, including the State of Connecticut [DAS Supplier Diversity Program](#) to locate M/W/DisBEs;
- Allowing minority and small businesses to competitively bid against each other by soliciting for the trades-related work, materials, and non-trades-related services, or provide an explanation as to why the trades-related work, material, or non-trades-related service was not solicited to S/M/W/DisBEs;
- Using concise responses for bid results (avoid vague responses such as "did not bid" or "no response"; use responses to show follow-up);
- Soliciting bids only from those subcontractors and/or vendors who can provide the trades-related work, material, or non-trades-related service;
- Including all trades-related work, materials, and non-trades-related services within the company's bidding process or provide an explanation with reference as to why the trades-related work, materials, and non-trades-related services were not solicited to S/M/W/DisBEs; and
- Breaking larger jobs into smaller packages.



State of Connecticut COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

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The CHRO will also look for “red flags” that might show lack of good faith. These will be looked at on a case-by-case basis. These include, but are not limited to, the following:

- Incomplete submissions;
- Inaccurate submissions;
- Submissions lacking appropriate specificity;
- Soliciting companies, but not awarding any, for a specific package of trades-related work, materials, or non-trades-related services;
- Soliciting from contractors that do not actually provide the good or service needed;
- Soliciting companies that are geographically distance from the project and, therefore, unlikely to bid, in lieu of soliciting S/M/W/DisBEs in closer proximity;
- Failing to solicit for necessary trades-related work, materials, and non-trades-related services;
- Alleging solicitations to companies that were not actually solicited;
- Awarding a contractor that was not solicited;
- Unaccounted for contract money; and
- False submissions.

Good Faith Efforts Long Form Plan
For Projects with At Least \$1,000,000.00 State Funding

Effective 07/01/2026

COVER PAGE

Company Name: _____

Company Address: _____

Telephone No.: _____

Email Address (Plan Preparer): _____

Email Address (Head of
Company): _____

Email Address (other company
contacts): _____

Date Submitted: **Click or tap to enter a date.**

☐ Original Plan ☐ Revised Plan

GFE Plan Prepared by: _____

Name and Title of Head of
Company: _____

Project Name: _____

State Contract/Project No.: _____

Project Owner: _____

Construction Manager (If
applicable) _____

Total Project Contract Value: _____

State Funded Portion of the
Contract Value: _____

Assigned MBE Value: _____ % \$ _____

Assigned SBE Value: _____ % \$ _____

Table of Contents

Note: A Good Faith Efforts Plan (GFEP) meeting all the requirements of the following sections must be filed for each state-funded project

Note: A submission that does not adhere to this formatting may be rejected before it is reviewed. Any section that does not include a response to said section and/or its subsections herein will not be in compliance.

Section Number and Title	Page Number
<u>Section 1: Project Description, Timeline, and Trades Involved</u>	3
<u>Section 2: Subcontractor/Supplier/Vendor Availability Analysis</u>	6
<u>Good Faith Efforts Attachment</u>	12
<u>Section 3: Minority Business Enterprise Goals and Timetables</u>	14
<u>Attachment III</u>	15
<u>Section 4: Documentation Checklist</u>	17
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<u>Section 7: Concluding Statement</u>	20

Section 1: Project Description, Timeline, and Trades Involved

INSTRUCTIONS:

This section of the GFEP must detail the scope of the project, start/end dates and trades, materials and services provided by your company for this project. If a question does not apply to this project, please indicate as such by writing, “N/A”, to acknowledge the question.

1. In 1–3 sentences, briefly describe the project and the work involved.

2. Project Start Date: Click or tap to enter a date.

☐ Actual ☐ Estimated

Project End Date: Click or tap to enter a date.

☐ Actual ☐ Estimated

3. List all trades-related work that will be self-performed by your company’s employees. “N/A” is an acceptable response if your company will not self-perform trades-related work. **Attach a copy of the applicable section of the agency bid document (for example: project manual, ITB, etc.), that specifies all the trades-related work required for your company’s work on this project. Only include the portions necessary to verify your company’s responses.**

**Please list one trade on each line. Please add additional lines if necessary.*

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4. List all supplies that will be manufactured or self-provided by your company for use on this project (please do not list materials your company will be purchasing specifically for this project or will be furnished by a subcontractor). “N/A” is an acceptable response if your company will not manufacture or self-provide supplies. **Attach a copy of the applicable section of the agency bid document (for example: project manual, ITB, etc.), that specifies all the materials required for your company’s work on this project.**

**Please list one material on each line. Please add additional lines if necessary.*

***If your company is providing materials from its inventory, please provide documentation to verify the source (i.e. purchase orders with dates).**

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5. List all non-trades related services that will be provided by your company.
“N/A” is an acceptable response if your company will not provide non-trades related services.

**Please list one service on each line. Please add additional lines if necessary.*

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*****Please do not list, in this section, the trades, materials and services that your company will be awarding to subcontractors, suppliers and vendors. That information will be provided in the next section.**

☐ Please check this box to certify that your company has provided documentation from the awarding agency to support all trades and materials listed above. This includes any trades or materials with manufacturers, suppliers or subcontractors specified by the awarding agency.

Section 2: Subcontractor/Supplier/Vendor Availability Analysis

INSTRUCTIONS:

Before filling out the rest of this section, please check the DAS Supplier Diversity Program Database to confirm that every Small Business Enterprise (SBE), Minority-Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), and Disabled Person-Owned Business Enterprise (DisBE) has an active certificate.

[Follow this link to access the DAS Supplier Diversity Program Database.](#)

Column A: Please list the trades-related work, materials, and non-trades related services for which your company will be bidding for in order to award a subcontractor, supplier or vendor to provide.

*Please indicate the specific trade, material or service as described in the bidding documents and do not use general terms (use “wire,” “cable” vs. “electrical supplies”).

* Please attach a copy of the contract’s bid document (project manual, ITB, etc.) that specifies all the trades-related work, non-trades related work, and all materials required for the work on this project. **Only include the portions necessary to verify your company’s responses. Please do not provide the full document.**

Column B: Please list the legal names of all companies solicited for trades, materials and services, listed in Column A.

Column C: Please indicate the DAS Certification Type for the company listed. Please use “WBE” status for women owned businesses, “MBE” status for ethnic minority owned businesses, “DisBE” status for businesses owned by persons with a disability, and “SBE” status for small businesses that are not one of the aforementioned. If the company is not DAS Certified, please use “non-DAS Certified”.

Column D: Please indicate the date a bid was initially solicited from each company.

Column E: Please indicate the date(s) of any additional solicitations to each company.

Column F: Please indicate the bid due date set in the solicitation.

Column G: Please indicate the date that your company received a bid from each company.

Column H: Please indicate result of the bid solicitation. Your company must be able to explain and to document to the CHRO the reason(s) why your company did not award a subcontract to each of the companies solicited. An overly vague response, such as “Bid Received,” “Called/Left Message,” “Said Will Bid” etc., is insufficient. For those companies that you will utilize for this project, use “Awarded” as the bid result.

Column I: Please indicate the amount of the bid.

How this section is reviewed:

A contractor's good faith efforts shall be determined using 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.

Examples* include, but are not limited to:

- Consulting the [State of Connecticut Department of Administrative Services \(DAS\) Supplier Diversity Program](#).
 - When utilizing the DAS Supplier Diversity Program Website, please use simple and varied terms in the keyword search.
 - (i.e. "precast" instead of "precast concrete products" or "building material" instead of "gypsum board")
 - **If your company failed to find DAS Certified companies due to searching keywords that were too specific or singular and did not show due diligence in utilizing the DAS Supplier Diversity Program website, that may be a factor in a determination that good faith efforts were not demonstrated.**
- Using concise responses for bid results (avoid vague responses such as "did not bid" or "no response"; use responses to show follow-up).
- Soliciting bids only from those subcontractors and/or vendors who can provide the trade, material, or service.
- Including all trades, materials, and services within the company's bidding process or providing an explanation with reference as to why the trade, material, or service was not solicited (best practice is to solicit at least three SBE/MBE/WBE/DisBEs). In addition, your company should provide documentation to support its explanation as to why a trade, material or service was not solicited to S/M/W/DisBE's (i.e. page from project documents showing specific manufacturer, etc.)

**This is not an exhaustive list.*

Please note CHRO's Record Retention Policy:

The CHRO is authorized to audit your company records regarding contract compliance at any time during or after the performance of this project. You must develop and maintain detailed records of your solicitation of and responses from each company in the event that the CHRO requests documentation. If you solicit in writing, you must keep those written documents (e.g., letters, facsimiles, emails). If you solicit by phone, you must keep written notes about those solicitations. The CHRO may seek phone or any manner of other records. Records are subject to the CHRO's verification with any or all contractors, subcontractors, and/or suppliers of materials solicited. Records must be retained for at least two years after the CHRO issues, to your company, a Notice of File Closure letter.

1) Please provide the required information for all trades related work your company will award to a subcontractor.

** Please add additional lines if necessary.*

Example

A	B	C	D	E	F	G	H	I
Type of Trade	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Rough Carpentry	ABC Construction	SBE	02/02/2026	02/15/2026 02/22/2026	02/28/2026	02/12/2026	Bid Incomplete	\$5,000.00
Rough Carpentry	Carpenter's LLC	DisBE	02/02/2026	N/A	02/28/2026	02/05/2026	Awarded	\$23,456.00
Rough Carpentry	Hard Knocks Woodwork	Non-DAS Certified	02/02/2026	02/15/2026	02/28/2026	02/16/2026	Bid Too High	\$25,000.00
Electrical	Boltz Electric, LLC	Non-DAS Certified	02/02/2026	N/A	02/28/2026	02/12/2026	Awarded	\$19,222.33
Electrical	XYZ Electrical Co, Inc.	SBE	02/02/2026	02/15/2026 02/22/2026	02/28/2026	N/A	No response to 3 solicitations	N/A

A	B	C	D	E	F	G	H	I
Type of Trade	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount

2) Please provide the required information for all materials your company will award to a supplier or vendor.

* Please add additional lines if necessary.

Example

A	B	C	D	E	F	G	H	I
Type of Material	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Hardwood Supplier	XYZ Material Suppliers	WBE	02/04/2026	02/15/2026 02/22/2026	02/28/2026	02/27/2026	Bid Too High	\$6,789.00
Hardwood Supplier	Best Floor Co.	DisBE	02/04/2026	N/A	02/28/2026	N/A	Declined To Bid	N/A
Hardwood Supplier	ABC Construction Supply	Non-DAS Certified	02/04/2026	02/15/2026	02/28/2026	02/16/2026	Awarded	\$5,999.99
Cable, Conduit, Fixtures, Boxes	Wires and Things, LLC	WBE	02/04/2026	N/A	02/28/2026	02/10/2026	Awarded	\$15,432.00
Cable, Conduit, Fixtures, Boxes	Shockingly Good Electrical Supply, Inc.	SBE	02/04/2026	02/15/2026 02/22/2026	02/28/2026	N/A	No response to 3 solicitations	N/A

A	B	C	D	E	F	G	H	I
Type of Material	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount

3) Please provide the required information for all non-trades related services your company will award.

** Please add additional lines if necessary.*

Example

A	B	C	D	E	F	G	H	I
Type of Service	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Portable toilets	Number 1	MBE	02/04/2026	02/10/2026	02/18/2026	02/10/2026	Bid Too High	\$999.99
Portable toilets	When Nature Call	SBE	02/04/2026	N/A	02/18/2026	N/A	Scheduling Conflict	N/A
Portable toilets	Pristine Port-a-lets	non-DAS Certified	02/04/2026	02/10/2026	02/18/2026	02/14/2026	Awarded	\$876,54
Dumpsters	Waste Not, Inc.	non-DAS Certified	02/04/2026	02/10/2026 02/16/2026	02/18/2026	02/17/2026	Bid Too High	\$519.00
Dumpsters	Dumpstars LLC.	WBE	02/04/2026	02/10/2026	02/18/2026	02/14/2026	Awarded	\$419.00

A	B	C	D	E	F	G	H	I
Type of Service	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount

☐ Please check this box to certify that your company has provided documentation from the awarding agency to support all trades and materials listed above. This includes any trades or materials with manufacturers, suppliers or subcontractors specified by the awarding agency.

***If your company did not award the lowest bidder, please provide an explanation and attach supporting documentation.**

In reference to the solicitations listed above, please provide responses to the following two questions.

1. Did your company provide written notice to a reasonable number (given availability of DAS Certified S/M/W/DisBE companies for each Trade, Material or Service) of specific S/M/W/DisBE companies that their interest in the contract is being solicited, at least 10 days before bids are due to allow S/M/W/DisBE companies time to participate? If you could not solicit S/M/W/DisBE companies for any trade, material or service, please provide a justifiable reason as to why not.

☐ Yes ☐ No

*** Your response should be supported by information provided earlier in this section.**

2. Did your company follow up initial solicitation of interest by contacting S/M/W/DisBE companies to determine whether the S/M/W/DisBE companies are interested?

☐ Yes ☐ No

Good Faith Efforts Attachment

INSTRUCTIONS:

Please provide complete responses to the questions below and provide documentation where required.

- 1) a) How did your company identify and select portions of the work to be performed by S/M/W/DisBE companies? Specifically, how did your company break down contracts into economically feasible units to facilitate S/M/W/DisBE participation?

- b) How does this approach increase the likelihood of S/M/W/DisBE participation?

- 2) Explain how you provided interested S/M/W/DisBE companies with equal access to specifications, plans, requirements of the contract, addendum and scope clarifications.

3) Did your company host a pre-bid meeting or “meet and greet”?

☐ Yes

☐ No

4) Has the person responsible for preparing your company’s Good Faith Efforts Plan attended a Contact Compliance Technical Assistance (TA) Training Session?

☐ Yes

☐ No

Date: [Click or tap to enter a date.](#)

Section 3: Minority Business Enterprise Goals and Timetables

INSTRUCTIONS:

Provide all the information requested in the Attachment III.

- List all companies who were designated as “**Awarded**” in Section 2, Column G.
 - List all awarded MBEs, WBEs, and DisBEs in the top table (“Part A”).
 - List all awarded SBEs in the middle table (“Part B”).
 - List all awarded non-DAS Certified Companies in the bottom table (“Part C”).
 - The contract values listed should correspond to the bid amounts in Section 2, Column H.
- List your company in the applicable table (Part A, B or C) with its contract value.
 - To calculate your company's contract value, start with the total project contract value and deduct the dollar values of the contracts awarded to all subcontractors, suppliers and vendors.
- Input all percentages requested in the Attachment III. (Please use the State Funded Portion of the contract value to calculate percentages).
- Attach a **current copy** of the DAS Supplier Diversity Certificate for each company listed in Part A and Part B. Companies must be DAS Certified during their participation in the project for their contracts to count toward goal achievement.

Once your company’s Plan is approved, your company may not add or delete any of the companies nor alter any of the contract values as listed on the Attachment III of your company’s approved Plan, except as follows. After your company’s Plan is approved, Attachment III may be altered only if your company submits the following items:

- I) A cover letter that
 - A) Requests acknowledgement of the change and
 - B) Details the reason(s) why the CHRO should grant the change.
- II) Documentation that verifies the reason(s) for removal or addition
 - A) For removal: confirmation that the business is closed, a change order from the owner that eliminates a subcontractor’s portion of the project, etc.
 - B) For addition: a copy of the company’s current DAS S/M/W/DisBE certification;
- III) A Revised Attachment III listing the date of the revision (in mm/dd/yyyy format) and incorporating the requested change.

NOTE: Upon a project’s completion, only those companies that are listed on the latest approved Attachment III, and who have maintained a current DAS Supplier Diversity certification throughout the duration of the project, will be utilized in the CHRO’s final calculations of actual goal achievement upon the project’s completion.

The CHRO encourages your company to not just meet its spending allocation goals, but to surpass them in order to ensure project circumstances (e.g., delays, change orders, decrease between estimate amount and contract amount) do not cause your company to fall below the spending allocation goals as projected in its approved Good Faith Efforts Plan.

Attachment III

Total Contract Value:

\$

State Funding Portion of the Contract Value:

\$

M/W/DisBE Value as Assigned by the Awarding Authority:

%

\$

SBE Value as Assigned by the Awarding Authority:

%

\$

A. Please identify MBE/WBE/DisBE subcontractors/vendors who will participate on the project.

Company Name	DAS Certification Type (MBE/WBE/DisBE)	DAS Certification Expiration Date	Date Contract Executed	Contract Value
			Total amount of MBE, WBE, & DisBE contract values: \$	(Total amount of MBE, WBE, & DisBE contract values ÷ project value x 100) %

B. Please identify SBE contractors/vendors who will participate on the project.

Company Name	DAS Certification Type (SBE)	DAS Certification Expiration Date	Date Contract Executed	Contract Value
			Total amount of SBE contract values:	Total amount of SBE contract values ÷ project value x 100 = %
Total amount of all contract values listed in A & B =			\$	Total amount of all contract values listed in A & B ÷ project value x 100 = %

C. Please identify all non-DAS certified contractors/vendors who will participate on the project.

Company Name	Date Contract Executed	Contract Value
		Total amount of non-certified companies contract values. \$
Total amount of all contract values listed in A & B & C ÷ project value x 100 = %		

Please use additional sheets if necessary

Section 4: Documentation Checklist

The following documentation is required to accompany all plan submissions. Additional documentation requests may be made during the course of the review process in order to determine whether good faith efforts were made to comply with the statutory requirements.

Please check the box next to each document to acknowledge and confirm the document has been attached behind the applicable section of your company's plan.

Section 1: Project Description, Timeline, and Trades Involved

☐ A copy of the applicable section of the agency bid document (for example: project manual, ITB, etc.), that specifies all the trades-related work and materials required for your company's work this project. **Only include the portions necessary to verify your company's responses. Please do not provide the full document.**

☐ Documentation of the source of materials, if your company is providing materials from its inventory (i.e. purchase orders with dates).

Section 2: Subcontractor/Supplier/Vendor Availability Analysis

☐ A copy of the applicable section of the agency bid document (project manual, ITB, etc.) that specifies all the trades-related work, non-trades related work, and all materials required to be provided by subcontractors, suppliers and vendors on this project. **Only include the portions necessary to verify your company's responses. Please do not provide the full document.**

☐ Documentation to support your company's explanation as to why a trade, material or service was not solicited to S/M/W/DisBE's (i.e. page from project documents showing specific manufacturer, etc.)

☐ Documentation to support why your company did not award the lowest bidder for any trade, material or service.

Section 3: Minority Business Enterprise Goals and Timetables

☐ A copy of the Dept. of Administrative Services (DAS) Supplier Diversity Certificate for any subcontractor, supplier or vendor hired by your company to work on this project.

Section 5: Prompt Payment Policy

Contractors are required to abide by the Prompt Payment Policy, as is their obligation under state statute.

General Contractors/Prime Contractors must pay all subcontractors, suppliers and vendors within fifteen (15) days past the contractual due date unless there is a bona fide dispute.

Failure to abide by the Prompt Payment Policy may result in enforcement action being taken.

If you have any questions, please contact the Contract Compliance unit at (860)541-3434 for assistance.

☐

I understand my company's obligation to abide by the Prompt Payment Policy.

Section 6: Close Out Documentation Notice

Contractors are required to provide the following documentation within forty-five (45) days from the date of substantial completion. Failure to submit this documentation may result in an enforcement action being brought.

Within 45 days of substantial completion, please provide:

- Cover Letter.
 - For the cover letter format, go to our [website](#).
- A copy of the Final Change Order
- Notice of Substantial Completion from the project owner.
- A full and complete list of all subcontractors/vendors/service providers awarded for the project (Final Attachment III).
- Lien waivers for all of the awarded subcontractors/vendors/service providers awarded for the project.

If you have any questions, please contact the Contract Compliance unit at (860)541-3434 for assistance.

☐ **I understand my obligations to provide the above documentation within forty-five (45) days of my company's substantial completion date.**

Section 7: Concluding Statement

I have read and pledge my full support to all sections of this Good Faith Efforts Plan, and that the commitments therein, are true and correct to the best of my knowledge. I pledge my “best good faith efforts” to achieve the objectives of the Plan within the established time frames.

This company will comply with the state statutes regulating prompt payment of subcontractors, suppliers and vendors.

Furthermore, this company will comply with any request by the Commission for records and documents. It understands that failure to do so may subject this company to enforcement action by the Commission.

[Click or tap to enter a date.](#)

Date

Head of Company’s Signature

Printed Name and Title

Company Name

SELF-PERFORMING MBEs MUST DEMONSTRATE GOOD FAITH EFFORTS TO EMPLOY OTHER MBEs AS SUBCONTRACTORS AND SUPPLIERS OF MATERIALS.

Several features of contracting practices law point toward expecting self-performing minority business enterprises (MBE)¹ to follow the same rules that apply to other contractors. In the case of a minority contractor who self-performs, simply being an MBE would often be enough to comply with the law. All the contractor would need to do would be to “perform not less than thirty per cent of the work with the workforces of such contractor” and make sure “that not less than fifty per cent of the work be performed by contractors or subcontractors eligible for awards under” CONN. GEN. STAT. § 4a-60g(e).

Normally when goals are met we don’t look behind that and address good faith efforts. By meeting goals we assume the contractor’s efforts were good enough--that goal attainment speaks for itself. There are exceptions to this rule of course. We will consider good faith efforts despite goal attainment where we suspect a contractor was deceiving us, such as the company used was a sham or a contractor was not actually soliciting the entities it claimed to have solicited. A situation where an MBE self-performs presents another special circumstance where an inquiry into good faith efforts can be made. While no statute directly says as much, language in several statutes indirectly leads to this conclusion.

As an administrative agency, the CHRO doesn’t make law. We apply or enforce the law we’re given by the legislature. “In areas where the legislature has spoken...the primary responsibility for formulating public policy must remain with the legislature”. (Citation and internal quotation marks omitted.) Mayer v. Historic District Commission,

¹ References to MBE include ethnic minority-owned businesses, women owned businesses and businesses owned by individuals with disabilities.

325 Conn. 765, 780 (2017). That policy resides in statutes. Thibodeau v. Design Group One Architects, LLC, 260 Conn. 691, 720 (2002).

In CONN. GEN. STAT. § 4a-60g(b) the legislature included an explanation for the set-aside program:

It is found and determined that there is a serious need to help small contractors, minority business enterprises, nonprofit organizations and individuals with disabilities to be considered for and awarded state contracts for the purchase of goods and services, public works contracts, municipal public works contracts and contracts for quasi-public agency projects. Accordingly, the necessity of awarding such contracts in compliance with the provisions of this section, sections 4a-60h to 4a-60j, inclusive, and sections 32-9i to 32-9p, inclusive, for advancement of the public benefit and good, is declared as a matter of legislative determination.

The legislature intended the set-aside program to have a broad reach. It considered the lack of MBE participation to be “serious”, and made compliance a “necessity” that would lead to a “public benefit and good”. One way to achieve that purpose is to help as many MBEs as possible and not to confine the program’s benefits to a few beneficiaries.

Some of this philosophy carries over into CONN. GEN. STAT. § 4a-60. CONN. GEN. STAT. § 4a-60(b) requires contractors to “make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works or quasi-public agency project.” Good faith efforts are not optional; the contractor “agrees and warrants” to make these efforts. Nothing here or elsewhere excludes MBEs, WBEs or DisBEs from the good faith requirement, and the CHRO can’t read in an exception that the legislature did not think right to provide by word or implication. Caulkins v. Petrillo, 200 Conn. 713, 719 (1986).

Further, as a remedial statute, any exception would have to be read narrowly. Fairchild Heights, Inc. v. Dickal, 305 Conn. 488, 502 (2012). Statutes under the CHRO’s

jurisdiction are remedial. Thames Talent, Ltd. v. CHRO, 265 Conn. 127, 138 (2003); CHRO v. Sullivan Associates, 250 Conn. 763, 782 (1999) (CT's housing statute). "The principles of statutory construction direct us to construe remedial statutes 'liberally in order to effectuate the legislature's intent.'" (Citations omitted.) Id.

Among other things, CONN. GEN. STAT. § 4a-60(f) defines "good faith efforts" to include the "contractor's employment and subcontracting policies, patterns and practices". Although the subsection (f) indicia of good faith are not exclusive, it would be anomalous to find a self-performing contractor satisfied its statutory responsibility to "make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials" when the contractor has in fact made no such efforts. Statutes are interpreted to produce a sensible result. Curry v. Alan S. Goodman, Inc., 286 Conn. 390, 412-13 (2008).

In the absence of clear statutory language, the best interpretation here is that CONN. GEN. STAT. § 4a-60 holds every contractor to the same obligation to employ MBEs as subcontractors and suppliers of materials and that the CHRO, in evaluating a contractor's good faith efforts, will consider a contractor's subcontracting policies, patterns and practices regardless of the contractor's MBE status. The lack of an exemption for MBEs and the legislature's expansive notions about the scope of the set-aside program both point in this direction.



State of Connecticut COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

Legal Division ~ 450 Columbus Boulevard, Suite 2, Hartford, CT 06103

Promoting Equality and Justice for all People

Notice Regarding CHRO Retainage

Effective July 1, 2026

On public works contracts valued at one million dollars or more or for projects for which a construction manager has entered into a public works contract providing for a guaranteed maximum price valued at one hundred fifty thousand dollars or more, C.G.S. § 46a-68e requires that the awarding agency “shall withhold two percent of the total contract price per month from any payment made to such contractor until such time as the contractor has submitted all compliance reports required by the Commission.” The term “awarding agency” is defined by C.G.S. § 4a-60g as “a state agency or political subdivision of the state, including a municipality or quasi-public agency.”

That is to say that the retainage clause applies to any CMR project valued over \$150,000 or GC/CMR projects valued over \$1 million, regardless of whether the awarding agency is a state agency, quasi-public agency, or municipality.

Retainage held by any state agency, quasi-public agency, or municipality due to CHRO requirements should be considered as a part of any other retainage withheld rather than in addition to any other retainage.

In other words, if a municipality is withholding 5% of payments and 2% retainage is withheld on account of the CHRO, the total withheld is still 5%. The 2% for the CHRO should be considered as part of the 5%. At no time should retainage be withheld on account of the CHRO in excess of the limits set by C.G.S. Section 49-41b.

Even if the construction work is finished and the agency is ready to pay the contractor, the CHRO portion (the 2%) **cannot be released** until the CHRO provides written approval. The agency must keep that 2% on hand until the CHRO confirms that all required affirmative action and compliance documents are submitted and approved.

Article X of Executive Order Number Three

- (a) The Labor Commissioner may hold or cause to be held hearings, prior to imposing, ordering, or recommending the imposition of penalties and sanctions under this Order. No order for disbarment of any contractor from further state contracts shall be made without affording the contractor an opportunity for a hearing. In accordance with such regulations as the Labor Commissioner may adopt, the Commissioner or the appropriate contracting agency may
- (1) Publish or cause to be published the names of contractors or labor organizations or employment agencies as hereinabove described which it has concluded have complied or failed to comply with the provisions of this Order or the regulations of the Labor Commissioner in implementing this Order.
 - (2) Recommend to the Commission on Human Rights and Opportunities that in cases in which there is substantial or material violation or threat thereof of the contractual provision or related state statutes concerned herein, appropriate proceedings be brought to enforce them, including proceedings by the commission on its own motion under Chapter 563 of the General Statutes and the enjoining, within the limitations of applicable law, of organizations, individuals or groups who prevent directly or indirectly or seek to prevent directly or indirectly compliance with the provisions of this Order.
 - (3) Recommend that criminal proceedings be brought under Chapter 939 of the General Statutes.
 - (4) Cancel, terminate, suspend or cause to be canceled, terminated, or suspended in accordance with law any contract or any portion or portions thereof for failure of the contractor or subcontractor to comply with the discrimination provisions of the contract. Contracts may be canceled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.
 - (5) Provide that any contracting agency shall refrain from entering into any further contracts or extensions or modifications of existing contracts with any contractor until he has satisfied the Labor Commissioner that he has established and will carry out personnel and employment policies compliant with this Order.
 - (6) Under regulations prescribed by the Labor Commissioner each contracting agency shall make reasonable efforts within a reasonable period of time to secure compliance with the contractor provisions of this Order by methods of conference, conciliation, mediation or persuasion, before other proceedings shall be instituted under this Order or before a state contract shall be canceled or terminated in whole or in part for failure of the contractor or subcontractor to comply with the contract provisions of state statute of this Order.

SECTION I.C. ADDITIONAL INFORMATION – BIDDING

- OPM Form/Rev. 02-17-09, Personal Service Contractor Evaluation (2 pages)*
- Certificate of Substantial Completion (1 page)**

NOTES:

*This form, which is used to evaluate the Contractor's performance as required under current State of Connecticut contracting policy, is completed by the DEEP/WPMS and submitted to the CT OPM within 60 days of the contract end date and is included for Bidders' and prospective contractors' information only.

**This form will be required to be completed prior to release of retainage.



STATE OF CONNECTICUT OFFICE OF POLICY AND MANAGEMENT

TO: Agency Fiscal Officers, Contract and Procurement Staff

FROM: Kimberly E. Kennison *Kimberly Kennison*
Executive Financial Officer

DATE: February 9, 2022

SUBJECT: Contractor Performance Evaluations for Purchase of Service and Personal Service Agreement Contracts

Executive Summary

The Office of Policy and Management (OPM) has partnered with The Department of Administrative Services (DAS) to create a new process for agencies to submit contractor performance evaluations for Purchase of Service (POS) and Personal Service Agreement (PSA) contracts. **Starting February 9, 2022**, agencies may begin to submit contractor performance evaluations on the State contracting portal, CTsource.

Effective February 28, 2022, agencies will be required to submit contractor performance evaluations exclusively via CTsource, and the existing SharePoint submission process will be discontinued. This transition to CTsource is the first step in standardizing contractor performance evaluation across the state. The goal of this policy is to advance OPM's procurement reform agenda by improving reporting processes and encouraging agencies to incorporate performance data into contracting decisions. This memo will reiterate State policy on completing contractor performance evaluations, provide an overview of the new process for submitting evaluations, and share resources to assist agencies in using the new system.

Contractor Evaluation Policies

According to [OPM's Procurement Standards](#), an agency must prepare a written evaluation of a contractor's performance no later than 60 days after the completion of a POS or PSA contract. There are several conditions to be aware of that determine when this is necessary:

- The "completion of a POS or PSA contract" is defined as the end date of the contract's term.
- If the end date is modified by an extension option or an amendment, an evaluation must be completed within 60 days of the modified end date.

Evaluations should be completed by agency staff with management and oversight knowledge of the contract and services provided.

New Contractor Evaluation Submission Process

Starting February 9, 2022, agencies will submit contractor performance evaluations via CTsource on a supplier's "Supplier Information" page. The CTsource evaluation form is formatted like an online survey. Agencies will provide basic information such as contract number and contracting agency, and then will rate the contractor on several criteria based on their performance on the specific contract.

Agencies are encouraged to include comments for each evaluation category (Quality, Timeliness, Responsiveness, Compliance) explaining how they arrived at their rating. OPM will distribute a template set of evaluation criteria to help staff arrive at final ratings, which agencies may customize to meet their needs and contracting approach. OPM staff are available to work with agencies to customize these scoring approaches.

Agencies will then be able to find these completed evaluations on the “Supplier Information” page for a contractor on CTsource. Agencies may wish to use these scores to inform future procurement decisions.

In order to submit a contractor performance evaluation on CTsource, the supplier will need to be registered in CTsource. Please direct your suppliers to [this link](#) to get them registered in CTsource as soon as possible.

As a reminder, according to CSG Sec. 4e-13, all State agencies must post all their contracts on CTsource. The transition to this new contractor evaluation process is an excellent opportunity to ensure that your agency is in compliance with this statute.

The existing SharePoint website for submitting contractor evaluations will sunset effective February 28, 2022. OPM/Finance will be downloading all contractor evaluation data from the SharePoint site to keep on file for audit purposes. OPM/Finance will provide agencies with copies of this data upon request.

Resources for Transition to New Contractor Evaluation Process

OPM will provide the following resources prior to the release of the new contractor evaluation system:

- 1) A **job aid (attached with this memo)** detailing the process for submitting an evaluation on CTsource. The job aid will include screenshots to help users navigate the pages to submit new evaluations and review existing ones.
- 2) Support in developing **agency-specific evaluation criteria** to guide users in determining ratings for contractors, as well as a template evaluation criteria document.
- 3) A list of each agency’s CTsource **System Administrator** who can add new users to submit the performance evaluations (attached with this memo and in the appendix of the job aid).

Contacts for Assistance

The OPM procurement team will continue to be available to answer questions about when and how to submit contractor performance evaluations, while DAS’ CTsource help desk will also continue to field questions about the functionality of CTsource and any technical issues.

OPM POS/PSA performance evaluation standards and process support: lars.benson@ct.gov DAS CTsource help desk: das.ctsource@ct.gov

CTsource account assistance: webprocure-support@proactis.com

STATE OF CONNECTICUT
DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION
BUREAU OF WATER PLANNING AND LAND REUSE
WATER PLANNING AND MANAGEMENT DIVISION

CERTIFICATE OF SUBSTANTIAL COMPLETION

PROJECT:

CONTRACT NUMBER:

PO NUMBER:

CONTRACT DATE:

PROJECT NUMBER:

CONTRACTOR:

All work performed under this Contract has been reviewed and found to be substantially complete. Substantial completion refers to the stage at which the Department has received Record Drawings and all required documentation verifying the project can be utilized for its intended use.

The Department accepted the work or designated portion and deemed the project substantially complete on {DATE}.

OWNER
Water Planning and Management Division

Date

CONTRACTOR

Date

ENGINEER

Date

PART II CONTRACT EXECUTION

	<u>Page</u>
SECTION II.A. Execution items	S-II-A
SECTION II.B. State of Connecticut Contract Compliance Items – Execution	S-II-B
SECTION.II.C. Additional Information – Execution	S-II-C

SECTION II.A. EXECUTION ITEMS

Page(s)

- | | |
|---|---------------|
| - Instructions to Lowest Qualified Bidder | IQB-1 – IQB-2 |
| - Certificate of Insurance Liability Form | CI-1 – CI-2 |
| - Performance Bond Form | PB-1 – PB-2 |
| - Labor and Materials Bond Form | LMB-1 – LMB-2 |

NOTE: All forms associated with these items must be completed and submitted by the selected prospective Contractor and returned with a signed PSA Contract form (prepared by the DEEP/WPMD for Contractor's signature) or brought with the Contractor to a Contract signing appointment with DEEP/WPMD Engineering Services staff.

INSTRUCTIONS TO LOWEST QUALIFIED BIDDER

STATE OF CONNECTICUT DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

The prospective Contractor receiving notification as the lowest qualified Bidder of selection for the Contract signing must supply the following within 10 calendar days after said notification:

1. Certification that the Contractor will perform at least 70% of the Work with its own forces including the portions and values of the Work to be completed (Paragraph 8 of the Notice to Bidders - Part I.A, Section NB, of these Contract Documents).
2. A list of Subcontractors to be used by the Contractor, including the portions and values of the Work to be completed by each (Paragraph 9 of Part I.A, Section NB).
3. The following Contract Compliance items (in addition to the Contract Compliance forms required of Bidders to be completed and submitted with bids under Section I.B):
 - DOL Wage Rates, Contractor Wage and Weekly Payroll Certification Forms
 - OPM, Gift and Campaign Contribution Certification.
4. After acceptance of an apparent lowest responsible Bidder's bid, and prior to Execution of the Contract by the State, the CT Commission on Human Rights and Opportunities ("CHRO") will be notified by the DEEP of the pending Contract Execution. The prospective Contractor must file with and receive approval of an affirmative action ("AA") plan by the CHRO. If during the process of executing and awarding a contract, the tentative contractor has filed but not yet received full AA plan approval, the DEEP, after notifying and receiving permission from the CHRO, may proceed with execution and award subject to withholding and retaining 2% from any payment(s) due the contractor in accordance with the terms of the contract. Such amount(s) retained for the purpose of assuring compliance with AA plan requirements would be withheld by the DEEP until the DEEP has been notified by the CHRO that the contractor has obtained full AA plan approval. Otherwise, the tentative contractor must receive full AA plan approval from the CHRO prior to commencing construction. Any 2% amount(s) retained in order to assure AA plan compliance would be in addition to any amount(s) retained by the DEEP for other purposes under the terms of the contract (Ref. Contract Documents, Section III.A, Supplemental Conditions, par. 19.D, pg. SC- 6 of 10).
5. Certification of Insurance (Section CI and Paragraph 4F of Section PF).
6. Performance Bond (Section PB and Paragraph 6A of Section NB).
7. Labor and Material Bond (Section LMB and Paragraph 6B of Section NB).
8. Corporate resolution designating the individual authorized to sign agreements for the Contractor (Part II.A, Guidelines).

9. Signed and sealed PSA contract (forms to be signed are prepared by DEEP/WPMD – Part II.C.)

NOTE: Under Paragraph 3A of the Proposal Form (Section PF), the Contractor agrees to hold his bid for one hundred twenty (120) days after the bid opening date.

Within one (1) week after the Notice To Proceed, and prior to commencement of any work on site, the Contractor shall submit a Construction Schedule, Schedule of Values for lump sum items, Sedimentation and Erosion Control measures, Water Control Plan, and Environmental Protection Plan (paragraphs 10A through 10D and 12 of Section SC).

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

ADDITIONAL INSURED – DESIGNATED PERSON OR ORGANIZATION

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY COVERAGE PART

SCHEDULE

Name Of Additional Insured Person(s) Or Organization(s):

CT DEEP, Land Acquisition and Management

Information required to complete this Schedule if not shown above, will be shown in the Declarations.

A. Section II – Who Is An Insured is amended to include as an additional insured the person(s) or organization(s) shown in the Schedule, but only with respect to liability for "bodily injury", "property damage" or "personal and advertising injury" caused, in whole or in part, by your acts or omissions or the acts or omissions of those acting on your behalf:

1. In the performance of your ongoing operations; or
2. In connection with your premises owned by or rented to you.

However:

1. The insurance afforded to such additional insured only applies to the extent permitted by law; and
2. If coverage provided to the additional insured is required by a contract or agreement, the insurance afforded to such additional insured will not be broader than that which you are required by the contract or agreement to provide for such additional insured.

B. With respect to the insurance afforded to these additional insureds, the following is added to Section III – Limits Of Insurance:

If coverage provided to the additional insured is required by a contract or agreement, the most we will pay on behalf of the additional insured is the amount of insurance:

1. Required by the contract or agreement; or
2. Available under the applicable Limits of Insurance shown in the Declarations;

whichever is less.

This endorsement shall not increase the applicable Limits of Insurance shown in the Declarations.



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

XXXXXX

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER XXXXXXXXXX	CONTACT NAME: PHONE (A/C, No, Ext): E-MAIL ADDRESS:	FAX (A/C, No):
	INSURER(S) AFFORDING COVERAGE	NAIC #
	INSURER A : XXXXXXXX	
INSURED City of XXX Address Zip	INSURER B :	
	INSURER C :	
	INSURER D :	
	INSURER E :	
	INSURER F :	

COVERAGES**CERTIFICATE NUMBER:****REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	☒ COMMERCIAL GENERAL LIABILITY ☐ CLAIMS-MADE ☒ OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: ☐ POLICY ☐ PRO- JECT ☐ LOC OTHER:			XXXXXXXXXX	XXXXXXX	XXXXXX	EACH OCCURRENCE \$ XXXXX DAMAGE TO RENTED PREMISES (Ea occurrence) \$ MED EXP (Any one person) \$ PERSONAL & ADV INJURY \$ XXXXX GENERAL AGGREGATE \$ XXXXX PRODUCTS - COMP/OP AGG \$ \$
	AUTOMOBILE LIABILITY ☐ ANY AUTO ☐ OWNED AUTOS ONLY ☐ SCHEDULED AUTOS ☐ HIRED AUTOS ONLY ☐ NON-OWNED AUTOS ONLY						COMBINED SINGLE LIMIT (Ea accident) \$ BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
	☐ UMBRELLA LIAB ☐ OCCUR ☐ EXCESS LIAB ☐ CLAIMS-MADE DED ☐ RETENTION \$						EACH OCCURRENCE \$ AGGREGATE \$ \$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) ☐ Y/N If yes, describe under DESCRIPTION OF OPERATIONS below		N/A				PER STATUTE ☐ OTH- ER ☐ E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

General Liability Deductible \$350,000

The State of Connecticut Department of Energy and Environmental Protection (DEEP) is listed as additional insured with regard to the City of XXX grant for improvements to XXXX

CERTIFICATE HOLDER**CANCELLATION**

CT. Dept. of Energy and Environmental Protection
79 Elm Street
Hartford, CT 06106-5127

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

PERFORMANCE BOND

STATE OF CONNECTICUT
DEPARTMENT OF ENERGY & ENVIRONMENTAL
PROTECTION

KNOW ALL BY THESE PRESENTS, THAT _____

of the Town of _____ County of _____ and State of _____

as Principal (hereinafter called the Principal), and _____
a surety company authorized to transact business in Connecticut, as Surety (hereinafter called the Surety),
are held and firmly bound unto the State of Connecticut (hereinafter called the Obligee) in

the full penal sum of _____ Dollars (\$ _____),
lawful money of the United States, to be paid to said State of Connecticut, to which payment well and truly
to be made and done, the said Principal binds himself, his heirs, executors and administrators (or itself, its
successors and assigns), and the said Surety binds itself, its successors and assigns jointly and severally
firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH THAT, whereas said Principal has entered

into a certain written Contract with said Obligee, dated the _____ day of _____ 202____,
which written Contract provides for the following:

which Contract, together with all Plans and Contract Documents now made or which may hereafter be made
in extension, modification, or alteration thereof, are hereby referred to, incorporated in and made a part of
this bond as though herein fully set forth.

NOW, THEREFORE, if the said Principal shall well and truly keep, perform and execute all the terms,
conditions and stipulations of said Contract according to its provisions on his or its part to be kept and
performed and shall indemnify and reimburse the Obligee for any loss that it may suffer through the failure
of the Principal to faithfully observe and perform each and every obligation and duty imposed upon the
Principal by the said Contract, at the time and in the manner therein specified, then this obligation shall be
null and void, otherwise it shall remain and be in full force and effect.

Provided, however, that any alterations which may be made in the terms of said Contract or in the work done
or to be done under it, or the giving by the Obligee of any extension of time for the performance of said
Contract or any other forbearance on the part of either the Obligee or the Principal, one to the other, shall not
in any way release the Principal and/or the Surety, or either of them, their representatives, heirs, executors,
administrators, successors or assigns from liability hereunder, notice to the Surety or Sureties of any such
alteration, extension or forbearance being hereby specifically and absolutely waived.

IN TESTIMONY WHEREOF, the said _____

has hereunto set his/its hand and seal and the said _____
and its corporate seal to be hereunto affixed.

SIGNED, SEALED AND DATED this _____ day of _____ 202_____

By: _____ (L.S.)
(Principal)

Witness as to Principal:

By: _____ (L.S.)
(Surety)

Witness as to Surety:

LABOR AND MATERIAL BOND

STATE OF CONNECTICUT
DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

KNOW ALL BY THESE PRESENTS, THAT _____

of the Town of _____ County of _____ and State of _____

as Principal (hereinafter called the Principal), and _____ a surety company authorized to transact business in Connecticut, as Surety (hereinafter called the Surety), are held and firmly bound unto the State of Connecticut (hereinafter called the Obligee) in

the full penal sum of _____ Dollars (\$ _____), lawful money of the United States, to be paid to said State of Connecticut, to which payment well and truly to be made and done, the said Principal binds himself, his heirs, executors and administrators (or itself, its successors and assigns), and the said Surety binds itself, its successors and assigns jointly and severally firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH THAT, whereas said Principal has entered

into a certain written Contract with said Obligee, dated the _____ day of _____ 202_, which written Contract provides for the following:

_____ which Contract, together with all Plans and Contract Documents now made or which may hereafter be made in extension, modification or alteration thereof, are hereby referred to, incorporated in and made a part of this bond as though herein fully set forth.

NOW, THEREFORE, if the said Principal shall promptly pay for all materials furnished and labor supplied or performed in the prosecution of the work included in and under the aforesaid Contract whether or not the material or labor enters into and becomes a component part of the real asset, then this obligation shall be null and void, otherwise it shall remain and be in full force and effect.

Any party, whether a Subcontractor or otherwise, who furnishes materials or supplies or performs labor or services in the prosecution of the work under said Contract, and who is not paid therefor, may bring a suit on this bond in the name of the person suing, prosecute the same to a final judgment and have execution thereon for such sum or sums as may be justly due.

This bond is furnished pursuant to Section 49-41 of the General Statutes of Connecticut, Revision of 1958.

IN TESTIMONY WHEREOF, the said _____

has hereunto set his/its hand and seal and the said _____

has caused this instrument to be signed by its _____
and its corporate seal to be hereunto affixed.

SIGNED, SEALED AND DATED this _____ day of _____, 202_

By: _____ (L.S.)
(Principal)

Witness as to Principal:

By: _____ (L.S.)
(Surety)

Witness as to Surety:

SECTION II.B. STATE OF CONNECTICUT CONTRACT COMPLIANCE ITEMS –
EXECUTION

- DOL wage and payroll certification forms, prevailing wage and benefit rates, and related notes, notices, bulletins, and statutes (36 pages):
 - o Contracting Agency Certification Form
 - o Contractors Wage Certification Form
 - o Weekly payroll certification forms, fringe benefits explanation, and sample completed forms
 - o Current prevailing hourly wage & benefit rates schedule
 - o Informational Bulletin – occupational classifications
 - o CT DOL Wage and Workplace Standards Division – Footnotes
 - o Notice to all mason contractors and interested parties...
 - o Informational Bulletin – 10-hour OSHA Construction Safety & Health Course
 - o CGS Sec. 31-53b
 - o Special Notice – RE CGS 31-55a
- SEEC Form 10 Connecticut State Elections Enforcement (3 pages)
- OPM Gift and Campaign Contribution Certification (2 pages)

NOTE: All forms associated with these items must be completed and submitted by the selected prospective Contractor and returned with a signed PSA Contract form (prepared by the DEEP/WPMD for Contractor's signature) or brought with the Contractor to a Contract signing appointment with DEEP/WPMD Engineering Services or Business Office staff



THIS IS A PUBLIC WORKS PROJECT

Covered by the

PREVAILING WAGE LAW

CT General Statutes Section 31-53

If you have QUESTIONS regarding your wages
CALL (860) 263-6790

Section 31-55 of the CT State Statutes requires every contractor or subcontractor performing work for the state to post in a prominent place the prevailing wages as determined by the Labor Commissioner.

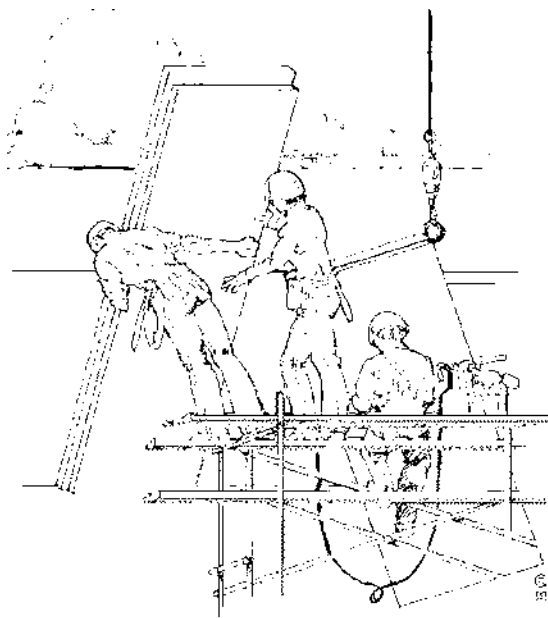
~NOTICE~

TO ALL CONTRACTING AGENCIES

Please be advised that Connecticut General Statutes Section 31-53, requires the contracting agency to certify to the Department of Labor, the total dollar amount of work to be done in connection with such public works project, regardless of whether such project consists of one or more contracts.

Please find the attached "Contracting Agency Certification Form" to be completed and returned to the Department of Labor, Wage and Workplace Standards Division, Public Contract Compliance Unit.

O Inquiries can be directed to (860)263-6543.



CONNECTICUT DEPARTMENT OF LABOR WAGE
AND WORKPLACE STANDARDS DIVISION
CONTRACT COMPLIANCE UNIT

CONTRACTING AGENCY CERTIFICATION FORM

I, _____, acting in my official capacity as _____,
Authorized representative title

For _____, located at _____,
contracting agency address

do hereby certify that the total dollar amount of work to be done in connection with

_____, located at _____,
project name and number address

shall be \$ _____, which includes all work, regardless of whether such project consists of
one or more contracts.

CONTRACTOR INFORMATION

Name: _____

Address: _____

Authorized Representative: _____

Approximate Starting Date: _____

Approximate Completion Date: _____

Signature

Date

Return To: Connecticut Department of Labor
Wage and Workplace Standards Division
Contract Compliance Unit
200 Folly Brook Boulevard
Wethersfield, CT 06109

Date Issued: _____

CONNECTICUT DEPARTMENT OF LABOR WAGE
AND WORKPLACE STANDARDS DIVISION

CONTRACTORS WAGE CERTIFICATION FORM
Construction Manager at Risk/General Contractor/Prime Contractor

I, _____ of _____
Officer, Owner, Authorized Rep. Company Name

do hereby certify that the _____
Company Name

Street

City

and all of its subcontractors will pay all workers on the

Project Name and Number

Street and City

the wages as listed in the schedule of prevailing rates required for such project (a copy of which is attached hereto).

Signed

Subscribed and sworn to before me this _____ day of _____, _____.

Notary Public

Return to:

Connecticut Department of Labor Wage &
Workplace Standards Division 200 Folly
Brook Blvd.
Wethersfield, CT 06109

Rate Schedule Issued (Date): _____

Certified Payroll Form WWS - CPI

In accordance with Connecticut General Statutes, 31-53 Certified Payrolls with a statement of compliance shall be submitted monthly to the contracting agency.

Note: Once you have downloaded these forms and are ready to print them out, set the print function on your PC to the horizontal print orientation.

Note2: Please download both the Payroll Certification for Public Works Projects **and** the Certified Statement of Compliance for a complete package. The Certified Statement of Compliance appears on the same page as the Fringe Benefits Explanation page.

Announcement: The Certified Payroll Form WWS-CPI can now be completed on-line!

- [Certified Payroll Form WWS-CPI](#) (PDF, 727KB)
- [Sample Completed Form](#) (PDF, 101KB)

[Wage & Workplace Standards Forms](#)

[Prevailing Wage Bid Package](#)

[Wage and workplace standards](#)

Published by the Connecticut Department of Labor
Last Updated: August 21, 2023

[New] In accordance with Section 31-53b(a) of the C.G.S. each contractor shall provide a copy of the OSHA 10 Hour Construction Safety and Health Card for each employee, to be attached to the first certified payroll on the project.

In accordance with Connecticut General Statutes, 31-53 Payrolls with a statement of compliance shall be submitted monthly to the contracting agency.											PAYROLL CERTIFICATION FOR PUBLIC WORKS PROJECTS											Connecticut Department of Labor Certified Wage and Workplace Standards Division 200 Folly Brook Blvd. Wethersfield, CT 06109					
CONTRACTOR NAME AND ADDRESS:											SUBCONTRACTOR NAME & ADDRESS						WORKER'S COMPENSATION INSURANCE CARRIER POLICY # EFFECTIVE DATE: EXPIRATION DATE:										
PAYROLL NUMBER		Week-Ending Date	PROJECT NAME & ADDRESS																								
PERSON/WORKER, ADDRESS and SECTION		APPR RATE %	MALE/FEMALE AND RACE*	WORK CLASSIFICATION Trade License Type & Number - OSHA 10 Certification Number	DAY AND DATE						Total ST Hours	BASE HOURLY RATE	TYPE OF FRINGE BENEFITS Per Hour 1 through 6 (see back)	GROSS PAY FOR ALL WORK PERFORMED THIS WEEK	TOTAL DEDUCTIONS				GROSS PAY FOR THIS PREVAILING RATE JOB	CHECK # AND NET PAY							
					S	M	T	W	TH	F	S				FICA	FEDERAL WITH-HOLDING	STATE WITH-HOLDING	LIST OTHER									
					HOURS WORKED EACH DAY						O/T Hours	TOTAL FRINGE BENEFIT PLAN CASH															
											S-TIME	\$	1. \$														
											Base Rate	2. \$															
												3. \$															
												4. \$															
											O-TIME	\$	5. \$														
												Cash Fringe	6. \$														
										S-TIME		\$	1. \$														
										Base Rate	2. \$																
											3. \$																
											4. \$																
										O-TIME	\$	5. \$															
											Cash Fringe	6. \$															
											S-TIME	\$	1. \$														
										Base Rate	2. \$																
											3. \$																
											4. \$																
										O-TIME	\$	5. \$															
											Cash Fringe	6. \$															
											S-TIME	\$	1. \$														
										Base Rate	2. \$																
											3. \$																
											4. \$																
										O-TIME	\$	5. \$															
											Cash Fringe	6. \$															

7/13/2009
WWS-CPI

*IF REQUIRED

*SEE REVERSE SIDE

PAGE NUMBER _____ OF

OSHA 10 ~ ATTACH CARD TO 1ST CERTIFIED PAYROLL

***FRINGE BENEFITS EXPLANATION (P):**

Bona fide benefits paid to approved plans, funds or programs, except those required by Federal or State Law (unemployment tax, worker's compensation, income taxes, etc.).

Please specify the type of benefits provided:

- 1) Medical or hospital care _____ 4) Disability _____
2) Pension or retirement _____ 5) Vacation, holiday _____
3) Life Insurance _____ 6) Other (please specify) _____

CERTIFIED STATEMENT OF COMPLIANCE

For the week ending date of _____,

I, _____ of _____, (hereafter known as

Employer) in my capacity as _____ (title) do hereby certify and state:

Section A:

1. All persons employed on said project have been paid the full weekly wages earned by them during the week in accordance with Connecticut General Statutes, section 31-53, as amended. Further, I hereby certify and state the following:
 - a) The records submitted are true and accurate;
 - b) The rate of wages paid to each mechanic, laborer or workman and the amount of payment or contributions paid or payable on behalf of each such employee to any employee welfare fund, as defined in Connecticut General Statutes, section 31-53 (h), are not less than the prevailing rate of wages and the amount of payment or contributions paid or payable on behalf of each such employee to any employee welfare fund, as determined by the Labor Commissioner pursuant to subsection Connecticut General Statutes, section 31-53 (d), and said wages and benefits are not less than those which may also be required by contract;
 - c) The Employer has complied with all of the provisions in Connecticut General Statutes, section 31-53 (and Section 31-54 if applicable for state highway construction);
 - d) Each such employee of the Employer is covered by a worker's compensation insurance policy for the duration of his employment which proof of coverage has been provided to the contracting agency;
 - e) The Employer does not receive kickbacks, which means any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind which is provided directly or indirectly, to any prime contractor, prime contractor employee, subcontractor, or subcontractor employee for the purpose of improperly obtaining or rewarding favorable treatment in connection with a prime contract or in connection with a prime contractor in connection with a subcontractor relating to a prime contractor; and
 - f) The Employer is aware that filing a certified payroll which he knows to be false is a class D felony for which the employer may be fined up to five thousand dollars, imprisoned for up to five years or both.
2. OSHA~The employer shall affix a copy of the construction safety course, program or training completion document to the certified payroll required to be submitted to the contracting agency for this project on which such employee's name first appears.

(Signature)

(Title)

Submitted on (Date)

Section B: Applies to CONNDOT Projects ONLY

That pursuant to CONNDOT contract requirements for reporting purposes only, all employees listed under Section B who performed work on this project are not covered under the prevailing wage requirements defined in Connecticut General Statutes Section 31-53.

(Signature)

(Title)

Submitted on (Date)

Note: CTDOL will assume all hours worked were performed under Section A unless clearly delineated as Section B WWS-CP1 as such. Should an employee perform work under both Section A and Section B, the hours worked and wages paid must be segregated for reporting purposes.

*****THIS IS A PUBLIC DOCUMENT*****

*****DO NOT INCLUDE SOCIAL SECURITY NUMBERS*****

Weekly Payroll Certification For
Public Works Projects (Continued)

PAYROLL CERTIFICATION FOR PUBLIC WORKS PROJECTS

Week-Ending Date:
Contractor or Subcontractor Business Name:

WEEKLY PAYROLL

PERSON/WORKER, ADDRESS and SECTION	APPR RATE %	MALE/ FEMALE AND RACE*	WORK CLASSIFICATION Trade License Type & Number - OSHA 10 Certification Number	DAY AND DATE							Total ST Hours	BASE HOURLY RATE	TYPE OF FRINGE BENEFITS Per Hour 1 through 6 (see back)	GROSS PAY FOR ALL WORK PERFORMED THIS WEEK	TOTAL DEDUCTIONS				GROSS PAY FOR THIS PREVAILING RATE JOB	CHECK # AND NET PAY
				S	M	T	W	TH	F	S					FICA	FEDERAL WITH- HOLDING	STATE WITH- HOLDING	LIST OTHER		
				HOURS WORKED EACH DAY							Total O/T Hours	TOTAL FRINGE BENEFIT PLAN CASH								
											S-TIME \$ Base Rate	1. \$ 2. \$ 3. \$								
											O-TIME \$ Cash Fringe	4. \$ 5. \$ 6. \$								
											S-TIME \$ Base Rate	1. \$ 2. \$ 3. \$								
											O-TIME \$ Cash Fringe	4. \$ 5. \$ 6. \$								
											S-TIME \$ Base Rate	1. \$ 2. \$ 3. \$								
											O-TIME \$ Cash Fringe	4. \$ 5. \$ 6. \$								
											S-TIME \$ Base Rate	1. \$ 2. \$ 3. \$								
											S-TIME \$ Cash Fringe	4. \$ 5. \$ 6. \$								
											S-TIME \$ Base Rate	1. \$ 2. \$ 3. \$								
											S-TIME \$ Cash Fringe	4. \$ 5. \$ 6. \$								

*IF REQUIRED

7/13/2009
WWS-CP2

NOTICE: THIS PAGE MUST BE ACCOMPANIED BY A COVER PAGE (FORM # WWS-CP1)

PAGE NUMBER _____ OF

WAGE RATES
STATE OF CONNECTICUT
DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

By virtue of the authority vested in the Labor Commissioner under provisions of Section 31-53 of the General Statutes of Connecticut, as amended, the following pages are declared to be the prevailing rates and welfare payments and will apply only where the Contract is advertised for bid within 20 days of the date on which the rates are established. Any contractor or sub-contractor not obligated by agreement to pay to the welfare and pension fund shall pay this amount to every employee as part of their hourly wages.

The consultant / preparer should request and obtain latest wage rates and latest versions of the following or items or substitutes or revisions thereof from the CT DOL / Wage and Workplace Standards Division and insert here:

- o Contractors Wage Certification Form
- o Weekly payroll certification forms, fringe benefits explanation, and sample completed forms
- o Current prevailing hourly wage & benefit rates schedule
- o Informational Bulletin – occupational classifications
- o CT DOL Wage and Workplace Standards Division –Footnotes
- o Notice to all mason contractors and interested parties ...
- o Informational Bulletin – 10-hour OSHA Construction Safety & Health Course
- o CGS Sec.31-53b
- o Special Notice – RE CGS31-55a

Minimum Rates and Classifications for
Heavy/Highway Construction

ID#: 26-2158

Connecticut Department of Labor
Wage and Workplace Standards Division

By virtue of the authority vested in the Labor Commissioner under provisions of Section 31-53 of the General Statutes of Connecticut, as amended, the following are declared to be the prevailing rates and welfare payments and will apply only where the contract is advertised for bid within 20 days of the date on which the rates are established. Any contractor or subcontractor not obligated by agreement to pay to the welfare and pension fund shall pay this amount to each employee as part of his/her hourly wages.

Project Number: Project Town: Oxford
State#: FAP#:
Project: Seymour Reservoir No. 4 Dam Improvements

CLASSIFICATION	Hourly Rate	Benefits
1) Boilermaker	50.21	30.01
1a) Bricklayer, Cement Masons, Cement Finishers, Plasterers, Stone Masons	46.09	36.29
2) Carpenters, Piledrivermen	44.48	29.74
2a) Diver Tenders	44.48	29.74
2b) Divers Effluent	67.52	29.74
3) Divers	52.94	29.74
03a) Millwrights	45.14	30.24
03b) Carpenter-Welder	44.98	29.74
03c) Carpenter: Working with creosote lumber or acid	45.48	29.74

4) Painters: (Bridge Construction) Brush, Roller, Blasting (Sand, Water, etc.), Spray	61.85	27.65
4a) Painters: Brush and Roller	41.17	27.65
4b) Painters: Spray	44.17	27.65
4bc) Painters: Spray Helper	42.17	27.65
4c) Painters: Steel Only	43.17	27.65
4d) Painters: Blast	46.17	27.65
4de) Painter: Blast Helper	42.17	27.65
4e) Painters: Tanks, Tower and Swingstage etc.	43.17	27.65
4f) Elevated Tanks (60 feet and above)	50.17	27.65
5) Electrician (Trade License required: E-1,2 L-5,6 C-5,6 T-1,2 L-1,2 V-1,2,7,8,9)	50.0	36.97+3% of gross wage
6) Ironworkers: Ornamental, Reinforcing, Structural, and Precast Concrete Erection	45.25	46.62 + a
7) Plumbers (Trade License required: (P-1,2,6,7,8,9 J-1,2,3,4 SP-1,2) and Pipefitters (Including HVAC Work) (Trade License required: S-1,2,3,4,5,6,7,8 B-1,2,3,4 D-1,2,3,4 G-1, G-2, G-8, G-9)	52.08	36.80
----LABORERS-----		
8) Group 1: General Laborers and concrete specialist	37.0	30.47

As of: August 12, 2026

8) Group 1a: Acetylene Burners (Hours worked with a torch)	38.0	30.47
9) Group 2: Chain saw operators, fence and guard rail erectors, pneumatic tool operators, powdermen	37.25	30.47
10) Group 3: Pipelayers	37.5	30.47
11) Group 4: Jackhammer/Pavement breaker (handheld); mason tenders (cement/concrete), catch basin builders, asphalt rakers, air track operators, block paver, curb setter and forklift operators	37.5	30.47
12) Group 5: Toxic waste removal (non-mechanical systems)	39.0	30.47
13) Group 6: Blasters	38.75	30.47
Group 7: Asbestos/lead removal, non-mechanical systems (does not include leaded joint pipe)	40.0	30.47
Group 8: Traffic control signalmen	22.2	30.47
Group 9: Hydraulic Drills	37.75	30.47
Group 10: Toxic Waste Removers A or B With PPE	40.0	30.47
----LABORERS (TUNNEL CONSTRUCTION, FREE AIR). Shield Drive and Liner Plate Tunnels in Free Air.----		
13a) Miners, Motormen, Mucking Machine Operators, Nozzle Men, Grout Men, Shaft & Tunnel Steel & Rodmen, Shield & Erector, Arm Operator, Cable Tenders	39.23	30.47 + a
13b) Brakemen, Trackmen, Miners' Helpers and all other men	38.26	30.47 + a

As of: August 12, 2026

----CLEANING, CONCRETE AND CAULKING TUNNEL----

14) Concrete Workers, Form Movers, and Strippers	38.26	30.47 + a
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15) Form Erectors	38.59	30.47 + a
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----ROCK SHAFT LINING, CONCRETE, LINING OF SAME AND TUNNEL IN FREE AIR:----

16) Brakemen, Trackmen, Tunnel Laborers, Shaft Laborers, Miners Helpers	38.26	30.47 + a
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17) Laborers Topside, Cage Tenders, Bellman	38.15	30.47 + a
---	-------	-----------

18) Miners	39.23	30.47 + a
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----TUNNELS, CAISSON AND CYLINDER WORK IN COMPRESSED AIR: ---
-

18a) Blaster	45.72	30.47 + a
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19) Brakemen, Trackmen, Groutman, Laborers, Outside Lock Tender, Gauge Tenders	45.52	30.47 + a
--	-------	-----------

20) Change House Attendants, Powder Watchmen, Top on Iron Bolts	43.54	30.47 + a
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21) Mucking Machine Operator, Grout Boss, Track Boss	46.31	30.47 + a
--	-------	-----------

----TRUCK DRIVERS----(*see note below)

Block Truck	39.98	33.00 + a
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2 Axle	38.66	33.00 + a
Helpers	36.16	33.00 + a
Three Axle Trucks; Two Axle Mixer	38.77	33.00 + a
Three Axle Mixer	38.83	33.00 + a
Four Axle	38.89	33.00 + a
Four Axle Mixer	40.69	33.00 + a
5 Axle	38.89	33.00 + a
5 Axle Mixer	40.69	33.00 + a
Heavy Duty Trailer (40 tons and over)	41.16	33.00 + a
Heavy Duty Trailer (up to 40 tons)	39.89	33.00 + a
Snorkle Truck	39.04	33.00 + a
Swivel Dump and Tack Truck	38.89	33.00 + a
Euclids and Semi Trailer	38.94	33.00 + a

----POWER EQUIPMENT OPERATORS----

As of: August 12, 2026

Group 1: Crane Handling or Erecting Structural Steel or Stone, Hoisting Engineer (2 drums or over), Caisson Drilled Shaft over 14". (Trade License Required)	60.66	30.95 + a
Group 1a: Front End Loader (7 cubic yards or over); Work Boat 26 ft. and over.	55.6	30.95 + a
Group 2: Cranes (100 ton rate capacity and over). (Trade License Required)	60.24	30.95 + a
Group 2a: Cranes (under 100 ton rated capacity), Magni Type-360 Rotating Forklift.	59.2	30.95 + a
Group 2b: Excavator over 2 cubic yards; Pile Driver (\$3.00 premium when operator controls hammer), HF-1 Forklift, Drills with self contained power units, Micropile up to 14 inches helical pile.	55.17	30.95 + a
Group 3: Excavator; Gradall; Master Mechanic; Hoisting Engineer (all types of equipment where a drum and cable are used to hoist or drag material regardless of motive power of operation), Rubber Tire Excavator (Drott-1085 or similar); Grader Operator; Bulldozer Fine Grade (slopes, shaping, laser or GPS, etc.). (Trade License Required)	54.13	30.95 + a
Group 4: Trenching Machines; Lighter Derrick; CMI Machine or Similar; Koehring Loader (Skooper), Goldhofer.	53.61	30.95 + a
Group 5: Specialty Railroad Equipment; Asphalt Paver; Asphalt Spreader; Asphalt Reclaiming Machine; Line Grinder; Concrete Pumps; Drills with Self Contained Power Units; Boring Machine; Post Hole Digger; Auger; Pounder; Well Digger; Milling Machine (over 24" mandrel)	52.78	30.95 + a
Group 5 continued: Side Boom; Combination Hoe and Loader; Directional Driller, Geothermal Drill.	52.78	30.95 + a
Group 6: Front End Loader (3 up to 7 cubic yards); Bulldozer (rough grade dozer).	52.35	30.95 + a
Group 7: Asphalt Roller; Concrete Saws and Cutters (ride on types); Vermeer Concrete Cutter; Stump Grinder; Scraper; Snooper; Skidder; Milling Machine (24" and under Mandrel)	51.89	30.95 + a

As of: August 12, 2026

Group 8: Mechanic, Grease Truck Operator, Hydroblaster, Barrier Mover, Power Stone Spreader; Welder; Work Boat under 26 ft.; Transfer Machine, Rigger Foreman.	51.34	30.95 + a
Group 9: Front End Loader (under 3 cubic yards), Skid Steer Loader regardless of attachments (Bobcat or Similar); Fork Lift, Power Chipper; Landscape Equipment (including hydroseeder), Vacuum Excavation Truck and Hydrovac Excavation Truck (27 HG pressure or greater).	50.74	30.95 + a
Group 10: Vibratory Hammer, Ice Machine, Diesel and Air Hammer, etc.	47.91	30.95 + a
Group 11: Conveyor, Earth Roller; Power Pavement Breaker (whiphammer), Robot Demolition Equipment.	47.91	30.95 + a
Group 12: Wellpoint Operator.	47.82	30.95 + a
Group 13: Compressor Battery Operator.	47.04	30.95 + a
Group 14: Elevator Operator; Tow Motor Operator (Solid Tire No Rough Terrain).	45.45	30.95 + a
Group 15: Generator Operator; Compressor Operator; Pump Operator; Welding Machine Operator; Heater Operator.	44.89	30.95 + a
Group 16: Maintenance Engineer and Articulating End Dump.	43.99	30.95 + a
Group 17: Portable Asphalt Plant Operator; Portable Crusher Plant Operator; Portable Concrete Plant Operator., Portable Grout Plant Operator, Portable Water Filtration Plant Operator.	49.95	30.95 + a
Group 18: Power Safety Boat; Vacuum Truck; Zim Mixer; Sweeper; (minimum for any job requiring CDL license), Rigger, Signalman.	46.6	30.95 + a
Surveyor: Chief of Party	50.21	30.95 + a

As of: August 12, 2026

Surveyor: Assistant Chief of Party	46.3	30.95 + a
Surveyor: Instrument Man	44.55	30.95 + a
Surveyor: Rodman or Chairman	38.34	30.95 + a
**NOTE: SEE BELOW		
----LINE CONSTRUCTION----(Railroad Construction and Maintenance)----		
20) Lineman, Cable Splicer, Technician	59.91	34.00
21) Heavy Equipment Operator	53.92	31.88
22) Equipment Operator, Tractor Trailer Driver, Material Men	50.92	30.84
23) Driver Groundmen	44.93	28.47
23a) Groundman Experienced	32.95	13.99
----OUTSIDE LINE CONSTRUCTION----		
24) Driver Groundmen	43.78	28.42
25) Groundmen	32.1	13.95
26) Heavy Equipment Operators	52.53	31.83

As of: August 12, 2026

27) Linemen, Cable Splicers, Dynamite Men	58.37	33.94
28) Material Men, Tractor Trailer Drivers, Equipment Operators	49.61	30.79
29) Technician	56.12	32.85

----COMMUNICATION----

Sales & Service Technician: To include but not limited to: Installation, Repair, Splicing and Maintenance	52.07	20.62
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----DREDGING----

Class A1: Mechanical Dredge Operator	48.48	17.32+a+b
Class B1: Maintenance Engineer	41.93	16.87+a+b
Class C1: Mate/Welder	38.38	16.62+a+b
Class D: Deckhand	30.86	16.09+a+b

Welders: Rate for craft to which welding is incidental.

Surveyors: Hazardous material removal: \$3.00 per hour premium.

*Note: Hazardous waste removal work receives additional \$1.25 per hour for truck drivers.

**Note: Hazardous waste premium \$3.00 per hour over classified rate.

Truck Drivers: Trainers Premium: \$3.00 over wage rate.

Truck Drivers: Night Premium - Mixer Drivers: \$2.00 over wage rate.

Crane with 150 ft. boom (including jib) - \$1.50 extra
Crane with 200 ft. boom (including jib) - \$2.50 extra
Crane with 250 ft. boom (including jib) - \$5.00 extra
Crane with 300 ft. boom (including jib) - \$7.00 extra
Crane with 400 ft. boom (including jib) - \$10.00 extra

All classifications that indicate a percentage of the fringe benefits must be calculated at the percentage rate times the "base hourly rate".

Apprentices duly registered under the Commissioner of Labor's regulations on "Work Training Standards for Apprenticeship and Training Programs" Section 31-51-d-1 to 12, are allowed to be paid the appropriate percentage of the prevailing journeymen hourly base and the full fringe benefit rate, providing the work site ratio shall not be less than one full-time journeyman instructing and supervising the work of each apprentice in a specific trade.

--Connecticut General Statute Section 31-55a: Annual Adjustments to wage rates by contractors doing state work
--

The Prevailing wage rates applicable to this project are subject to annual adjustments each July 1st for the duration of the project.

Each contractor shall pay the annual adjusted prevailing wage rate that is in effect each July 1st, as posted by the Department of Labor.

It is the contractor's responsibility to obtain the annual adjusted prevailing wage rate increases directly from the Department of Labor's website.

The annual adjustments will be posted on the Department of Labor's Web page:

www.ct.gov/dol. For those without internet access, please contact the division listed below.

The Department of Labor will continue to issue the initial prevailing wage rate schedule to the Contracting Agency for the project.

All subsequent annual adjustments will be posted on our Web Site for contractor access.

Contracting Agencies are under no obligation pursuant to State labor law to pay any increase due to the annual adjustment provision.

Effective October 1, 2005 - Public Act 05-50: any person performing the work of any mechanic, laborer, or worker shall be paid prevailing wage

All Person who perform work ON SITE must be paid prevailing wage for the appropriate mechanic, laborer, or worker classification.

All certified payrolls must list the hours worked and wages paid to All Persons who perform work ON SITE regardless of their ownership i.e.: (Owners, Corporate Officers, LLC Members, Independent Contractors, et. al)

Reporting and payment of wages is required regardless of any contractual relationship alleged to exist between the contractor and such person.

--Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clause (29 CFR 5.5 (a) (1) (ii)).

Please direct any questions which you may have pertaining to classification of work and payment of prevailing wages to the Wage and Workplace Standards Division, telephone (860)263-6790.

Important Information:

For use with Building, Heavy/Highway, and Residential

Welders: Rate for craft to which welding is incidental.

*Note: Hazardous waste removal work receives additional \$X.XX per hour for truck drivers.

**Note: Hazardous waste premium \$X.XX per hour over classified rate.

ALL Cranes: When crane operator is operating equipment that requires a fully licensed crane operator to operate he receives an extra \$X.XX premium in addition to the hourly wage rate and benefit contributions:

- 1) Crane handling or erecting structural steel or stone; hoisting engineer (2 drums or over)
- 2) Cranes (100 ton rate capacity and over) BauerDrill/Caisson
- 3) Cranes (under 100 ton rated capacity)
- 4)

Crane with boom including jib, 150 feet - \$X.XX extra.

Crane with boom including jib, 200 feet - \$X.XX extra.

Crane with boom including jib, 250 feet - \$X.XX extra.

Crane with boom including jib, 300 feet - \$X.XX extra.

Crane with boom including jib, 400 feet - \$XX.XX extra.

All classifications that indicate a percentage of the fringe benefits must be calculated at the percentage rate times the "base hourly rate".

- Apprentices duly registered under the Commissioner of Labor's regulations on "Work Training Standards for Apprenticeship and Training Programs" Section 31-51-d-1 to 12, are allowed to be paid the appropriate percentage of the prevailing journeymen hourly base and the full fringe benefit rate, providing the work site ratio shall not be less than one full-time journeyman instructing and supervising the work of one apprentice in a specific trade.

Connecticut General Statute Section 31-55a: Annual Adjustments to wage rates by contractors doing state work

- The Prevailing wage rates applicable to this project are subject to annual adjustments each July 1st for the duration of the project.
- Each contractor shall pay the annual adjusted prevailing wage rate that is in effect each July 1st, as posted by the Department of Labor.
- It is the contractor's responsibility to obtain the annual adjusted prevailing wage rate increases directly from the Department of Labor's website.
- The annual adjustments will be posted on the Department of Labor's Web page: www.ctdol.state.ct.us.
- The Department of Labor will continue to issue the initial prevailing wage rate schedule to the Contracting Agency for the project.
- All subsequent annual adjustments will be posted on our Web Site for contractor access.

Effective October 1, 2005 - Public Act 05-50: any person performing the work of any mechanic, laborer, or worker shall be paid prevailing wage.

- All Persons who perform work ON SITE must be paid prevailing wage for the appropriate mechanic, laborer, or worker classification.
- All certified payrolls must list the hours worked and wages paid to All Persons who perform work ON SITE regardless of their ownership i.e.: (Owners, Corporate Officers, LLC Members, Independent Contractors, et. al)
- Reporting and payment of wages is required regardless of any contractual relationship alleged to exist between the contractor and such person.

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clause (29 CFR 5.5 (a) (1) (ii)).

Please direct any questions which you may have pertaining to classification of work and payment of prevailing wages to the Wage and Workplace Standards Division, telephone (860)263-6790.

Information Bulletin

Occupational Classifications

The Connecticut Department of Labor has the responsibility to properly determine "job classification" on prevailing wage projects covered under C.G.S. Section 31-53(d).

Note: This information is intended to provide a sample of some occupational classifications for guidance purposes only. It is not an all-inclusive list of each occupation's duties. This list is being provided only to highlight some areas where a contractor may be unclear regarding the proper classification. If unsure, the employer should seek guidelines for CTDOL.

Below are additional clarifications of specific job duties performed for certain classifications:

- **ASBESTOS WORKERS**

Applies all insulating materials, protective coverings, coatings and finishes to all types of mechanical systems.

- **ASBESTOS INSULATOR**

Handle, install apply, fabricate, distribute, prepare, alter, repair, dismantle, heat and frost insulation, including penetration and fire stopping work on all penetration fire stop systems.

- **BOILERMAKERS**

Erects hydro plants, incomplete vessels, steel stacks, storage tanks for water, fuel, etc. Builds incomplete boilers, repairs heat exchanges and steam generators.

- **BRICKLAYERS, CEMENT MASONS, CEMENT FINISHERS, MARBLE MASONS, PLASTERERS, STONE MASONS, PLASTERERS. STONE MASONS, TERRAZZO WORKERS, TILE SETTERS**

Lays building materials such as brick, structural tile and concrete cinder, glass, gypsum, terra cotta block. Cuts, tools and sets marble, sets stone, finishes concrete, applies decorative steel, aluminum, and plastic tile, applies cements, sand, pigment, and marble chips to floors, stairways, etc.

- **CARPENTERS, MILLWRIGHTS, PILEDRIVERMEN, LATHERS, RESILIENT FLOOR LAYERS, DOCK BUILDERS, DIKERS, DIVER TENDERS**

Constructs, erects, installs and repairs structures and fixtures of wood, plywood and wallboard. Installs, assembles, dismantles, moves industrial machinery. Drives piling into ground to provide foundations for structures such as buildings and bridges, retaining walls for earth embankments, such as cofferdams. Fastens wooden, metal or rockboard lath to walls, ceilings and partitions of buildings, acoustical tile layer, concrete form builder. Applies firestopping materials on fire resistive joint systems only. Installation of curtain/window walls only where attached to wood or metal studs. Installation of insulated material of all types whether blown, nailed, or attached in other ways to walls, ceilings and floors of buildings. Assembly and installation of modular furniture/furniture systems. Free-standing furniture is not covered. This includes free standing: student chairs, study top desks, book box desks, computer furniture, dictionary stand, atlas stand, wood shelving, two-position information access station, file cabinets, storage cabinets, tables, etc.

- **LABORER, CLEANING**

- The clean-up of any construction debris and the general (heavy/light) cleaning, including sweeping, wash down, mopping, wiping of the construction facility and its furniture, washing, polishing, and dusting.

- **DELIVERY PERSONNEL**

- If delivery of supplies/building materials is to one common point and stockpiled there, prevailing wages are not required. If the delivery personnel are involved in the distribution of the material to multiple locations within the construction site then they would have to be paid prevailing wages for the type of work performed: laborer, equipment operator, electrician, ironworker, plumber, etc.
 - An example of this would be where delivery of drywall is made to a building and the delivery personnel distribute the drywall from one "stockpile" location to further sub-locations on each floor. Distribution of material around a construction site is the job of a laborer or tradesman, and not a delivery personnel.

- **ELECTRICIANS**

Install, erect, maintenance, alteration or repair of any wire, cable, conduit, etc., which generates, transforms, transmits, or uses electrical energy for light, heat, power, or other purposes, including the installation or maintenance of telecommunication, LAN wiring or computer equipment, and low voltage wiring. ****License required per Connecticut General Statutes: E-1,2 L-5,6 C-5,6 T-1,2 L-1,2 V-1,2,7,8,9.***

- **ELEVATOR CONSTRUCTORS**

Install, erect, maintenance and repair of all types of elevators, escalators, dumb waiters and moving walks. **License required by Connecticut General Statutes: R-1,2,5,6.*

- **FORK LIFT OPERATOR**

Laborers Group 4) Mason Tenders - operates forklift solely to assist a mason to a maximum height of nine (9) feet only.

Power Equipment Operator Group 9 - operates forklift to assist any trade, and to assist a mason to a height over nine (9) feet.

- **GLAZIERS**

Glazing wood and metal sash, doors, partitions, and 2 story aluminum storefronts. Installs glass windows, skylights, store fronts and display cases or surfaces such as building fronts, interior walls, ceilings, and table tops and metal store fronts. Installation of aluminum window walls and curtain walls is the "joint" work of glaziers and ironworkers, which require equal composite workforce.

- **IRONWORKERS**

Erection, installation and placement of structural steel, precast concrete, miscellaneous iron, ornamental iron, metal curtain wall, rigging and reinforcing steel. Handling, sorting, and installation of reinforcing steel (rebar). Metal bridge rail (traffic), metal bridge handrail, and decorative security fence installation. Installation of aluminum window walls and curtain walls is the "joint" work of glaziers and ironworkers which require equal composite workforce.

- **INSULATOR**

- Installing fire stopping systems/materials for "Penetration Firestop Systems": transit to cables, electrical conduits, insulated pipes, sprinkler pipe penetrations, ductwork behind radiation, electrical cable trays, fire rated pipe penetrations, natural polypropylene, HVAC ducts, plumbing bare metal, telephone and communication wires, and boiler room ceilings.

- **LABORERS**

Acetylene burners, asphalt rakers, chain saw operators, concrete and power buggy operator, concrete saw operator, fence and guard rail erector (except metal bridge rail (traffic), decorative security fence (non-metal)).

installation.), hand operated concrete vibrator operator, mason tenders, pipelayers (installation of storm drainage or sewage lines on the street only), pneumatic drill operator, pneumatic gas and electric drill operator, powermen and wagon drill operator, air track operator, block paver, curb setters, blasters, concrete spreaders.

- **PAINTERS**

Maintenance, preparation, cleaning, blasting (water and sand, etc.), painting or application of any protective coatings of every description on all bridges and appurtenances of highways, roadways, and railroads. Painting, decorating, hardwood finishing, paper hanging, sign writing, scenic artwork, and drywall hanging for any and all types of building and residential work.

- **LEAD PAINT REMOVAL**

- Painter's Rate

1. Removal of lead paint from bridges.
2. Removal of lead paint as preparation of any surface to be repainted.
3. Where removal is on a Demolition project prior to reconstruction.

- Laborer's Rate

1. Removal of lead paint from any surface NOT to be repainted.
2. Where removal is on a *TOTAL* Demolition project only.

- **PLUMBERS AND PIPEFITTERS**

Installation, repair, replacement, alteration or maintenance of all plumbing, heating, cooling, and piping. ****License required per Connecticut General Statutes: P-1,2,6,7,8,9 J- 1,2,3,4 SP-1,2 S-1,2,3,4,5,6,7,8 B-1,2,3,4 D-1,2,3,4.***

- **POWER EQUIPMENT OPERATORS**

Operates several types of power construction equipment such as compressors, pumps, hoists, derricks, cranes, shovels, tractors, scrapers, or motor graders, etc. Repairs and maintains equipment. ****License required, crane operators only, per Connecticut General Statutes.***

- **ROOFERS**

Covers roofs with composition shingles or sheets, wood shingles, slate or asphalt and gravel to waterproof roofs, including preparation of surface. (Demolition or removal of any type of roofing and or clean-up of any and all areas where a roof is to be re-laid.)

- **SHEETMETAL WORKERS**

Fabricate, assemble, install and repair sheetmetal products and equipment in such areas as ventilation, air-conditioning, warm air heating, restaurant equipment, architectural sheet metal work, sheetmetal roofing, and aluminum gutters. Fabrication, handling, assembling, erecting, altering, repairing, etc. of coated metal material panels and composite metal material panels when used on building exteriors and interiors as soffits, fascia, louvers, partitions, canopies, cornice, column covers, awnings, beam covers, cladding, sun shades, lighting troughs, spires, ornamental roofing, metal ceilings, mansards, copings, ornamental and ventilation hoods, vertical and horizontal siding panels, trim, etc. The sheet metal classification also applies to the vast variety of coated metal material panels and composite metal material panels that have evolved over the years as an alternative to conventional ferrous and non-ferrous metals like steel, iron, tin, copper, brass, bronze, aluminum, etc. Fabrication, handling, assembling, erecting, altering, repairing, etc. of architectural metal roof, standing seam roof, composite metal roof, metal and composite bathroom/toilet partitions, aluminum gutters, metal and composite lockers and shelving, kitchen equipment, and walk-in coolers. To include testing and air –balancing ancillary to installation and construction.

- **SPRINKLER FITTERS**

Installation, alteration, maintenance, and repair of fire protection sprinkler systems.
****License required per Connecticut General Statutes: F-1,2,3,4.***

- **TILE MARBLE AND TERRAZZO FINISHERS**

Assists and tends the tile setter, marble mason and terrazzo worker in the performance of their duties.

- **TRUCK DRIVERS**

~How to pay truck drivers delivering asphalt is under REVISION~

Truck Drivers are required to be paid prevailing wage for time spent "working" directly on the site. These drivers remain covered by the prevailing wage for any time spent transporting between the actual construction location and facilities (such as fabrication, plants, mobile factories, batch plant, borrow pits, job headquarters, tool yards, etc.) dedicated exclusively, or nearly so, to performance of the contract or project, which are so located in proximity to the actual construction location that it is reasonable to include them. ****License required, drivers only, per Connecticut General Statutes.***

For example:

- Material men and deliverymen are not covered under prevailing wage as long as they are not directly involved in the construction process. If, they unload the material, they would then be covered by prevailing wage for the classification they are performing work in: laborer, equipment operator, etc.
- Hauling material off site is not covered provided they are not dumping it at a location outlined above.
- Driving a truck on site and moving equipment or materials on site would be considered covered work, as this is part of the construction process.



*Any questions regarding the proper classification
should be directed to:*

*Public Contract Compliance Unit
Wage and Workplace Standards*

Division

Connecticut

Department of Labor

200 Folly Brook Blvd,

Wethersfield, CT 06109

(860) 263-6543.

Connecticut Department of Labor
Wage and Workplace Standards Division
FOOTNOTES

- ⇒ Please Note: If the “Benefits” listed on the schedule for the following occupations includes a letter(s) (+ a or + a+b for instance), refer to the information below:

Benefits to be paid at the appropriate prevailing wage rate for the listed occupation.

If the “Benefits” section for the occupation lists only a dollar amount, disregard the information below.

Bricklayers, Cement Masons, Cement Finishers, Concrete Finishers, Stone Masons
(Building Construction) and
(Residential- Hartford, Middlesex, New Haven, New London, and Tolland Counties)

- a. Paid Holiday: Employees shall receive 4 hours for Christmas Eve holiday provided the employee works the regularly scheduled day before and after the holiday. Employers may schedule work on Christmas Eve and employees shall receive pay for actual hours worked in addition to holiday pay.

Elevator Constructors: Mechanics

- a. Paid Holidays: New Year’s Day, Memorial Day, Independence Day, Labor Day, Veterans’ Day, Thanksgiving Day, Christmas Day, plus the Friday after Thanksgiving.
- b. Vacation: Employer contributes 8% of basic hourly rate for 5 years or more of service or 6% of basic hourly rate for 6 months to 5 years of service as vacation pay credit.

Glaziers

- a. Paid Holidays: Labor Day and Christmas Day.

Power Equipment Operators
(Heavy and Highway Construction & Building Construction)

- a. Paid Holidays: New Year’s Day, Good Friday, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day, provided the employee works 3 days during the week in which the holiday falls, if scheduled, and if scheduled, the working day before and the working day after the holiday. Holidays falling on Saturday may be observed on Saturday, or if the employer so elects, on the preceding Friday.

Ironworkers

- a. Paid Holiday: Labor Day provided employee has been on the payroll for the 5 consecutive workdays prior to Labor Day.

Laborers (Tunnel Construction)

- a. Paid Holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day. No employee shall be eligible for holiday pay when he fails, without cause, to work the regular workday preceding the holiday or the regular workday following the holiday.

Roofers

- a. Paid Holidays: July 4th, Labor Day, and Christmas Day provided the employee is employed 15 days prior to the holiday.

Sprinkler Fitters

- a. Paid Holidays: Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day, provided the employee has been in the employment of a contractor 20 working days prior to any such paid holiday.

Truck Drivers

(Heavy and Highway Construction & Building Construction)

- a. Paid Holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Christmas day, and Good Friday, provided the employee has at least 31 calendar days of service and works the last scheduled day before and the first scheduled day after the holiday, unless excused.

November 29, 2006

Notice

**To all Mason Contractors and Interested Parties
Regarding Construction Pursuant to Section 31-53 of the
Connecticut General Statutes (Prevailing Wage)**

The Connecticut Labor Department Wage and Workplace Standards Division is empowered to enforce the prevailing wage rates on projects covered by the above referenced statute.

Over the past few years, the Division has withheld enforcement of the rate in effect for workers who operate a forklift on a prevailing wage rate project due to a potential jurisdictional dispute.

The rate listed in the schedules and in our Occupational Bulletin (see enclosed) has been as follows:

Forklift Operator:

- **Laborers (Group 4) Mason Tenders** - operates forklift solely to assist a mason to a maximum height of nine feet only.
- **Power Equipment Operator (Group 9)** - operates forklift to assist any trade and to assist a mason to a height over nine feet.

The U.S. Labor Department conducted a survey of rates in Connecticut, but it has not been published and the rate in effect remains as outlined in the above Occupational Bulletin.

Since this is a classification matter and not one of jurisdiction, effective January 1, 2007 the Connecticut Labor Department will enforce the rate on each schedule in accordance with our statutory authority.

Your cooperation in filing appropriate and accurate certified payrolls is appreciated.

Informational Bulletin

THE 10-HOUR OSHA CONSTRUCTION SAFETY AND HEALTH COURSE

(Applicable to public building contracts entered into *on or after July 1, 2009*, where the total cost of all work to be performed is at least \$100,000)

- (1) This requirement was created by Public Act No. 06-175, which is codified in Section 31-53b of the Connecticut General Statutes (pertaining to the prevailing wage statutes);
- (2) The course is required for public building construction contracts (projects funded in whole or in part by the state or any political subdivision of the state) entered into on or after July 1, 2009;
- (3) It is required of private employees (not state or municipal employees) and apprentices who perform manual labor for a general contractor or subcontractor on a public building project where the total cost of all work to be performed is at least \$100,000;
- (4) The ten-hour construction course pertains to the ten-hour Outreach Course conducted in accordance with federal OSHA Training Institute standards, and, for telecommunications workers, a ten-hour training course conducted in accordance with federal OSHA standard, 29 CFR 1910.268;
- (5) The internet website for the federal OSHA Training Institute is <https://www.osha.gov/otiec/faq>;
- (6) The statutory language leaves it to the contractor and its employees to determine who pays for the cost of the ten-hour Outreach Course;
- (7) Within 30 days of receiving a contract award, a general contractor must furnish proof to the Labor Commissioner that all employees and apprentices performing manual labor on the project will have completed such a course;
- (8) Proof of completion may be demonstrated through either: (a) the presentation of a *bona fide* student course completion card issued by the federal OSHA Training Institute; *or* (2) the presentation of documentation provided to an employee by a trainer certified by the Institute pending the actual issuance of the completion card;
- (9) Any card with an issuance date more than 5 years prior to the commencement date of the construction project shall not constitute proof of compliance;

- (10) Each employer shall affix a copy of the construction safety course completion card to the certified payroll submitted to the contracting agency in accordance with Conn. Gen. Stat. § 31-53(f) on which such employee's name first appears;
- (11) Any employee found to be in non-compliance shall be subject to removal from the worksite if such employee does not provide satisfactory proof of course completion to the Labor Commissioner by the fifteenth day after the date the employee is determined to be in noncompliance;
- (12) Any such employee who is determined to be in noncompliance may continue to work on a public building construction project for a maximum of fourteen consecutive calendar days while bringing his or her status into compliance;
- (13) The Labor Commissioner may make complaint to the prosecuting authorities regarding any employer or agent of the employer, or officer or agent of the corporation who files a false certified payroll with respect to the status of an employee who is performing manual labor on a public building construction project;
- (14) The statute provides the minimum standards required for the completion of a safety course by manual laborers on public construction contracts; any contractor can exceed these minimum requirements; and
- (15) Regulations clarifying the statute are currently in the regulatory process and shall be posted on the CTDOL website as soon as they are adopted in final form.
- (16) Any questions regarding this statute may be directed to the Wage and Workplace Standards Division of the Connecticut Labor Department via the internet website: https://portal.ct.gov/dol/divisions/wage-and-workplace-standards?language=en_US (860)263-6790.

THE ABOVE INFORMATION IS PROVIDED EXCLUSIVELY AS AN EDUCATIONAL RESOURCE AND IS NOT INTENDED AS A SUBSTITUTE FOR LEGAL INTERPRETATIONS WHICH MAY ULTIMATELY ARISE CONCERNING THE CONSTRUCTION OF THE STATUTE OR THE REGULATIONS.

Sec. 31-53b. Construction safety and health course. New miner training program. Proof of completion required for mechanics, laborers, and workers on public works projects. Enforcement. Regulations. Exceptions.

(a) Each contract for a public works project entered into on or after July 1, 2009, by the state or any of its agents, or by any political subdivision of the state or any of its agents, described in subsection (h) of section 31-53, shall contain a provision requiring that each contractor furnish proof with the weekly certified payroll form for the first week each employee begins work on such project that any person performing the work of a mechanic, laborer or worker pursuant to the classifications of labor under section 31-53 on such public works project, pursuant to such contract, has completed a course of at least ten hours in duration in construction safety and health approved by the federal Occupational Safety and Health Administration or, has completed a new miner training program approved by the Federal Mine Safety and Health Administration in accordance with 30 CFR 46 or, in the case of telecommunications employees, has completed at least ten hours of training in accordance with 29 CFR 1910.268, and, on or after July 1, 2012, that any plumber or electrician subject to the continuing education requirements of section 20-334d, who has completed a course of at least ten hours in duration in construction safety and health approved by the federal Occupational Safety and Health Administration five or more years prior to the date such electrician or plumber begins work on such public works project, has completed a supplemental refresher training course of at least four hours in duration in construction safety and health taught by a federal Occupational Safety and Health Administration authorized trainer.

(b) Any person required to complete a course or program under subsection (a) of this section who has not completed the course or program shall be subject to removal from the worksite if the person does not provide documentation of having completed such course or program by the fifteenth day after the date the person is found to be in noncompliance. The Labor Commissioner or said commissioner's designee shall enforce this section.

(c) Not later than January 1, 2012, the Labor Commissioner shall adopt regulations, in accordance with the provisions of chapter 54, to implement the provisions of subsections (a) and (b) of this section. Such regulations shall require that the ten-hour construction safety and health courses required under subsection (a) of this section be conducted in accordance with federal Occupational Safety and Health Administration Training Institute standards, or, in the case of a supplemental refresher training course, shall include, but not be limited to, an update of revised Occupational Safety and Health Administration standards and a review of required construction hazards training, or in accordance with Federal Mine Safety and Health Administration Standards or in accordance with 29 CFR 1910.268, as appropriate. The Labor Commissioner shall accept as sufficient proof of compliance with the provisions of subsection (a) or (b) of this section a student course completion card issued by the federal Occupational Safety and Health Administration Training Institute, or such other proof of compliance said commissioner deems appropriate, dated no earlier than five years before the commencement date of such public works project or, in the case of supplemental refresher training, a student course completion card issued by said Occupational Safety and Health Administration authorized trainer dated not earlier than five years prior to the date such electrician or plumber begins work on such public works project.

(d) This section shall not apply to employees of public service companies, as defined in section 16-1, or drivers of commercial motor vehicles driving the vehicle on the public works project and delivering or picking up cargo from public works projects provided they perform no labor relating to the project other than the loading and unloading of their cargo.

(P.A. 06-175, S. 1; P.A. 08-83, S. 1; P.A. 10-47, S. 2; P.A. 11-63, S. 1.)

History: P.A. 08-83 amended Subsec. (a) by making provisions applicable to public works project contracts entered into on or after July 1, 2009, replacing provision re total cost of work with reference to Sec. 31-53(g), requiring proof in certified payroll form that new mechanic, laborer or worker has completed a 10-hour or more construction safety course and adding provision re new miner training program, amended Subsec. (b) by substituting “person” for “employee” and adding “or program”, amended Subsec. (c) by adding “or in accordance with Federal Mine Safety and Health Administration Standards” and setting new deadline of January 1, 2009, deleted former Subsec. (d) re “public building”, added new Subsec. (d) re exemptions for public service company employees and delivery drivers who perform no labor other than delivery and made conforming and technical changes, effective January 1, 2009; P.A. 10-47 made a technical change in Subsec. (a); P.A. 11-63 amended Subsec. (a) by adding provision re supplemental refresher training course for plumbers and electricians subject to Sec. 20-334d, amended Subsec. (c) by adding provisions re regulations and subject matter of refresher training course and refresher training course student completion cards, and made technical changes, effective July 1, 2011.

STATUTE 31-55a

- SPECIAL NOTICE -

To: All State and Political Subdivisions, Their Agents, and Contractors

Connecticut General Statute 31-55a - Annual adjustments to wage rates by contractors doing state work.

Each contractor that is awarded a contract on or after October 1, 2002, for (1) the construction of a state highway or bridge that falls under the provisions of section 31-54 of the general statutes, or (2) the construction, remodeling, refinishing, refurbishing, rehabilitation, alteration or repair of any public works project that falls under the provisions of section 31-53 of the general statutes shall contact the Labor Commissioner on or before July first of each year, for the duration of such contract, to ascertain the prevailing rate of wages on an hourly basis and the amount of payment or contributions paid or payable on behalf of each mechanic, laborer or worker employed upon the work contracted to be done, and shall make any necessary adjustments to such prevailing rate of wages and such payment or contributions paid or payable on behalf of each such employee, effective each July first.

- The prevailing wage rates applicable to any contract or subcontract awarded on or after October 1, 2002 are subject to annual adjustments each July 1st for the duration of any project which was originally advertised for bids on or after October 1, 2002.
- Each contractor affected by the above requirement shall pay the annual adjusted prevailing wage rate that is in effect each July 1st, as posted by the Department of Labor.
- It is the **contractor's** responsibility to obtain the annual adjusted prevailing wage rate increases directly from the Department of Labor's Web Site. The annual adjustments will be posted on the Department of Labor Web page: www.ctdol.state.ct.us. For those without internet access, please contact the division listed below.
- The Department of Labor will continue to issue the initial prevailing wage rate schedule to the Contracting Agency for the project. All subsequent annual adjustments will be posted on our Web Site for contractor access.

Any questions should be directed to the Contract Compliance Unit, Wage and Workplace Standards Division, Connecticut Department of Labor, 200 Folly Brook Blvd., Wethersfield, CT 06109 at (860)263-6790.



SEEC FORM 10
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Rev. 07/18

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

This notice is provided under the authority of Connecticut General Statutes §9-612 (f) (2) and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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

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

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

DUTY TO INFORM

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

PENALTIES FOR VIOLATIONS

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

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

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

CONTRACT CONSEQUENCES

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

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

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

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

DEFINITIONS

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

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

“Principal of a state contractor or prospective state contractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties,

(iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

“State contract” means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or

(vi) a grant, loan or loan guarantee. “State contract” does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

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

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

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

“Solicit” means (A) requesting that a contribution be made, (B) participating in any fundraising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee, serving on the committee that is hosting a fundraising event, introducing the candidate or making other public remarks at a fundraising event, being honored or otherwise recognized at a fundraising event, or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

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

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

**ACKNOWLEDGEMENT OF
RECEIPT**

SIGNATURE

DATE (mm/dd/yyyy)

NAME OF SIGNER

First Name

MI

Last Name

Suffix

TITLE

COMPANY NAME

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

Written or electronic certification to accompany a bid or proposal or a non-competitive contract with a value of \$50,000 or more, pursuant to C.G.S. § 9-612.

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any campaign contributions made to campaigns of candidates for statewide public office or the General Assembly as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of submission of your bid or proposal (if no bid or proposal- submit this completed form with the earliest submittal of any document to the state or quasi-public agency prior to the execution of the contract), and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier.

☐ **Initial Certification**

☐ **Updated Certification because of change of information contained in the most recently filed certification**

I certify that neither the contractor or prospective state contractor, nor any of its principals, have made any contributions to, or solicited any contributions on behalf of, any party committee, exploratory committee, candidate for state-wide office or for the General Assembly, or political committee authorized to make contributions to or expenditures to or for, the benefit of such candidates, in the previous four years, that were determined by the State Elections Enforcement Commission to be in violation of subparagraph (A) or (B) of subdivision (2) of subsection (f) of Section 9-612 of the General Statutes, without mitigating circumstances having been found to exist concerning such violation. Each such certification shall be sworn as true to the best knowledge and belief of the person signing the certification, subject to the penalties of false statement. If there is any change in the information contained in the most recently filed certification, such person shall submit an updated certification not later than thirty days after the effective date of any such change or upon the submittal of any new bid or proposal for a state contract, whichever is earlier.

All Campaign Contributions on behalf of any party committee, exploratory committee, candidate for state-wide office or for the General Assembly, or political committee authorized to make contributions to or expenditures to or for, the benefit of such candidate, for a period of four years prior to signing the contract or date of the response to the bid, whichever is longer, include:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>
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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)

Expires _____ **My Commission**



SECTION II.C. ADDITIONAL INFORMATION – EXECUTION

- PSA Contract Template – Explanatory Cover Page, Form With Terms/Conditions, Rev 8/20/08, and Placeholder Sheets (26 pages)
- DOL Contracting Agency Certification and Contractor Information Form (2 pages)
- CT DEEP Affirmative Action Policy Statement (3 pages)
- CT DEEP Zero Tolerance Sexual Harassment Prevention Policy (2 pages)

FORM OF PERSONAL SERVICES AGREEMENT CONTRACT

The attached Personal Services Agreement/Grant/Contract (“PSA”) form is the most current version prescribed by the CT Office of Policy and Management for use by Connecticut State agencies in the contracting with providers for the procurement of goods and services costing more than \$3,000.00. The attached form, with standard terms and conditions and placeholder pages describing sheets and appendices to be added, is a generic sample version for DEEP/WPMD construction contracts and is included with these Contract Documents for the prospective Contractor’s information only. It will be used as a template by the DEEP/WPMD to prepare and draft the separate final PSA Contract document for signing by the selected Contractor and Execution by the State.

1. THE STATE BUSINESS UNIT AND THE CONTRACTOR AS LISTED BELOW HEREBY ENTER INTO AN AGREEMENT SUBJECT TO THE TERMS AND CONDITIONS STATED HEREIN AND/OR ATTACHED HERETO AND SUBJECT TO THE PROVISIONS OF SECTION 4-98 OF THE CONNECTICUT GENERAL STATUTES AS APPLICABLE.
2. ACCEPTANCE OF THIS CONTRACT IMPLIES CONFORMANCE WITH TERMS AND CONDITIONS SET FORTH BY THE OFFICE OF POLICY AND MANAGEMENT PERSONAL SERVICE AGREEMENT STANDARDS AND PROCEDURES.
- (1)
☐ ORIGINAL

☐ AMENDMENT

(2) IDENTIFICATION #s.
P.S.

P.O.

CONTRACTOR	(3) CONTRACTOR NAME		(4) ARE YOU PRESENTLY A STATE EMPLOYEE? ☐ YES ☒ NO
	CONTRACTOR ADDRESS		CONTRACTOR FEIN/SSN

STATE AGENCY	(5) AGENCY NAME AND ADDRESS DEEP - , 79 Elm Street, Hartford, CT 06106-5127	(6) Dept No. DEP43000
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CONTRACT PERIOD	(7) DATE (FROM)	THROUGH (TO)	(8) INDICATE ☐ MASTER AGREEMENT ☐ CONTRACT AWARD NO. ☒ NEITHER
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COMPLETE DESCRIPTION OF SERVICE	(9) CONTRACTOR AGREES TO: (Include special provisions - Attach additional blank sheets if necessary.)		
	1. Performance: Do, conduct, perform or cause to be performed in a satisfactory and proper manner as determined by the Commissioner of Energy and Environmental Protection, all work described in Appendix A, which is attached hereto and made a part hereof.		
	Appendix A consists of ___pages numbered A-1 through A-___inclusive.		
	Page 1 of 11 Standard Terms and Conditions are contained in Pages 2 through 11 and are attached hereto and made a part hereof.		

COST AND SCHEDULE OF PAYMENTS	(10) PAYMENT TO BE MADE UNDER THE FOLLOWING SCHEDULE UPON RECEIPT OF PROPERLY EXECUTED AND APPROVED INVOICES.		
	Cost and Schedule of Payments is attached hereto as Appendix B, and made a part hereof. (Appendix B consists of ___page(s) numbered B-1 through B-__).		
	Total Payments Not to Exceed the Maximum Amount of \$_____.		

(11) OBLIGATED AMOUNT											
(12) Amount	(13) Dept	(14) Fund	(15) SID	(16) Program	(17) Project	(18) Activity	(19) Bud Ref	(20) Agency CF 1	(21) Agency CF 2	(22) Account	

An individual entering into a Personal Service Agreement with the State of Connecticut is contracting under a "work-for-hire" arrangement. As such, the individual is an independent contractor, and does not satisfy the characteristics of an employee under the common law rules for determining the employer/employee relationship of Internal Revenue Code Section 3121 (d) (2). Individuals performing services as independent contractors are not employees of the State of Connecticut and are responsible themselves for payment of all State and local income taxes, federal income taxes and Federal Insurance Contribution Act (FICA) taxes.

ACCEPTANCES AND APPROVALS	(23) STATUTORY AUTHORITY CGS Sec. 4-8 as amended; CGS Sec. 22a-6(a)(2) as amended CGS Sec. 7-148(c) as amended (mun. auth.) <i>Insert any additional statutory authority</i>	
(24) CONTRACTOR (OWNER OR AUTHORIZED SIGNATURE)	TITLE	DATE
(25) AGENCY (AUTHORIZED OFFICIAL)	TITLE	DATE
(26) ATTORNEY GENERAL (APPROVED AS TO FORM)		DATE

1. Definitions:

- (a) State. The State of Connecticut, including the Department of Energy and Environmental Protection and any office, department, board, council, commission, institution or other agency of the State.
 - (b) Commissioner. The Commissioner of Energy and Environmental Protection or the Commissioner's designated agent.
 - (c) Parties. The Department of Energy and Environmental Protection (DEEP or Agency) and the Contractor.
 - (d) Contractor Parties. Contractor Parties shall be defined as a Contractor'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 the Contractor is in privity of oral or written contract and the Contractor intends for such other person or entity to Perform under the Contract in any capacity. To the extent that any Contractor Party is to participate or Perform in any way, directly or indirectly in connection with the Contract, any reference in the Contract to the "Contractor" shall also be deemed to include "Contractor Parties", as if such reference had originally specifically included "Contractor Parties" since it is the Parties' intent for the terms "Contractor Parties" to be vested with the same respective rights and obligations as the terms "Contractor."
 - (e) Contract. This agreement, as of its Effective Date, between the Contractor and the State for any or all goods or services as more particularly described in Appendix A.
 - (f) Execution. This contract shall be fully executed when it has been signed by authorized representatives of the parties, and if it is for an amount of Twenty-five thousand dollars (\$25,000.00) or more, by the authorized representative of the state Attorney General's office.
 - (g) Exhibits. All attachments, appendices or exhibits referred to in and attached to this Contract are incorporated in this Contract by such reference and shall be deemed to be a part of it as if they had been fully set forth in it.
 - (h) Records. For the purposes of this Contract, records are defined as all working papers and such other information and materials as may have been accumulated by the Contractor in performing the Contract, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.
 - (i) Confidential Information. 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.
 - (j) Confidential Information Breach. 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 Contractor, the Department or State.
 - (k) Claim. Claim shall mean, all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum.
2. Audit Requirements for Recipients of State Financial Assistance. For purposes of this paragraph, the word "contractor" shall be deemed to mean "nonstate entity," as that term is defined in Section 4-230 of the Connecticut General Statutes. The contractor shall provide for an annual financial audit acceptable to the Agency for any expenditure of state-awarded funds made by the contractor. 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 contractor will comply with federal and state single audit standards as applicable.
3. Whistleblowing. This Contract is subject to C.G.S. § 4-61dd if the amount of this Contract is a "large state contract" as that term is defined in C.G.S. § 4-61dd(k)(1). In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee's disclosure of information to any employee of the contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under subsection (a) of such statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars (\$5,000) for each offense, up to a maximum of twenty per cent (20%) of the value of

this Contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) of such statute, each large state contractor, as defined in the statute, shall post a notice of the relevant sections of the statute relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

4. Disclosure of Records. This Contract may be subject to the provisions of section 1-218 of the Connecticut General Statutes. In accordance with this statute, each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the Connecticut General Statutes.
5. Forum and Choice of Law. The parties deem the Contract to have been made in the City of Hartford, State of Connecticut. Both parties agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor 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.
6. Termination.
 - (a) Notwithstanding any provisions in this Contract, the Agency, through a duly authorized employee, may Terminate the Contract whenever the Agency makes a written determination that such Termination is in the best interests of the State. The Agency shall notify the Contractor in writing of Termination pursuant to this section, which notice shall specify the effective date of Termination and the extent to which the Contractor must complete its Performance under the Contract prior to such date.
 - (b) Notwithstanding any provisions in this Contract, the Agency, through a duly authorized employee, may, after making a written determination that the Contractor has breached the Contract, Terminate the Contract in accordance with the provisions in the Breach section of this Contract.
 - (c) The Agency shall send the notice of Termination via certified mail, return receipt requested, to the Contractor at the most current address which the Contractor has furnished to the Agency for purposes of correspondence, or by hand delivery. Upon receiving the notice from the Agency, the Contractor 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 Agency all Records. The Records are deemed to be the property of the Agency and the Contractor shall deliver them to the Agency no later than thirty (30) days after the Termination of the Contract or fifteen (15) days after the Contractor receives a written request from the Agency for the Records. The Contractor shall deliver those Records 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 Agency, the Contractor shall cease operations as the Agency directs in the notice, and take all actions that are necessary or appropriate, or that the Agency may reasonably direct, for the protection, and preservation of the Goods and any other property. Except for any work which the Agency directs the Contractor to Perform in the notice prior to the effective date of Termination, and except as otherwise provided in the notice, the Contractor shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further subcontracts, purchase orders or commitments.
 - (e) The Agency shall, within forty-five (45) days of the effective date of Termination, reimburse the Contractor for its Performance rendered and accepted by the Agency, in addition to all actual and reasonable costs incurred after Termination in completing those portions of the Performance which the notice required the Contractor to complete. However, the Contractor is not entitled to receive and the Agency is not obligated to tender to the Contractor any payments for anticipated or lost profits. Upon request by the Agency, the Contractor shall assign to the Agency, or any replacement contractor which the Agency designates, all subcontracts, purchase orders and other commitments, deliver to the Agency all Records and other information pertaining to its Performance, and remove from State premises, whether leased or owned, all of Contractor's property, equipment, waste material and rubbish related to its Performance, all as the Agency may request.
 - (f) For breach or violation of any of the provisions in the section concerning Representations and Warranties, the Agency may Terminate the Contract 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 Contractor or Contractor Parties or any third party.
 - (g) Upon Termination of the Contract, 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 Contract shall survive such Termination to the extent not otherwise limited in the Contract and without each one of them having to be specifically mentioned in the Contract.

- (h) Termination of the Contract pursuant to this section shall not be deemed to be a breach of contract by the Agency.

7. Tangible Personal Property.

- (a) The Contractor on its behalf and on behalf of its Affiliates, as defined below, shall comply with the provisions of Conn. Gen. Stat. §12-411b, as follows:
- (1) For the term of the Contract, the Contractor and its Affiliates shall collect and remit to the State of Connecticut, Department of Revenue Services, any Connecticut use tax due under the provisions of Chapter 219 of the Connecticut General Statutes for items of tangible personal property sold by the Contractor or by any of its Affiliates in the same manner as if the Contractor and such Affiliates were engaged in the business of selling tangible personal property for use in Connecticut and had sufficient nexus under the provisions of Chapter 219 to be required to collect Connecticut use tax;

A customer's payment of a use tax to the Contractor or its Affiliates relieves the customer of liability for the use tax; The Contractor and its Affiliates shall remit all use taxes they collect from customers on or before the due date specified in the Contract, which may not be later than the last day of the month next succeeding the end of a calendar quarter or other tax collection period during which the tax was collected;

- (2) The Contractor and its Affiliates are not liable for use tax billed by them but not paid to them by a customer; and
- (3) Any Contractor or Affiliate who fails to remit use taxes collected on behalf of its customers by the due date specified in the Contract shall be subject to the interest and penalties provided for persons required to collect sales tax under chapter 219 of the general statutes.
- (b) For purposes of this section of the Contract, the word "Affiliate" means any person, as defined in section 12-1 of the general statutes, which controls, is controlled by, or is under common control with another person. A person controls another person if the person owns, directly or indirectly, more than ten per cent of the voting securities of the other person. The word "voting security" means a security that confers upon the holder the right to vote for the election of members of the board of directors or similar governing body of the business, or that is convertible into, or entitles the holder to receive, upon its exercise, a security that confers such a right to vote. "Voting security" includes a general partnership interest.
- (c) The Contractor represents and warrants that each of its Affiliates has vested in the Contractor plenary authority to so bind the Affiliates in any agreement with the State of Connecticut. The Contractor on its own behalf and on behalf of its Affiliates shall also provide, no later than 30 days after receiving a request by the State's contracting authority, such information as the State may require to ensure, in the State's sole determination, compliance with the provisions of Chapter 219 of the Connecticut General Statutes, including, but not limited to, §12-411b.

8. Indemnification.

- (a) The Contractor 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 Contract, including the acts of commission or omission (collectively, the "Acts") of the Contractor or Contractor Parties; and (2) liabilities, damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Contract. The Contractor shall use counsel reasonably acceptable to the State in carrying out its obligations under this section. The Contractor'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 Contractor'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.
- (b) The Contractor 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.
- (c) The Contractor shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the Contractor or any Contractor Parties. The State shall give the Contractor reasonable notice of any such Claims.
- (d) The Contractor's duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of the Contract, without being lessened or compromised in any way, even where the Contractor 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.
- (e) The Contractor shall carry and maintain at all times during the term of the Contract, and during the time that any provisions survive the term of the Contract, sufficient general liability insurance to satisfy its obligations under this Contract. The Contractor 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 the State and the Agency all in an electronic format acceptable to the State prior to the Effective Date of the Contract evidencing that the State is an additional insured. The Contractor shall not begin Performance until the delivery of these three documents to the Agency. Contractor shall provide an annual electronic update of the three documents to the Agency and the State on or before each anniversary of the Effective Date during the Contract term. State shall be entitled to recover under the insurance policy even if a body of competent jurisdiction determines that State is contributorily negligent.
- (f) This section shall survive the Termination of the Contract and shall not be limited by reason of any insurance coverage.

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

Summary of State Ethics Laws. Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the State has provided to the Contractor the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of the Contract as if the summary had been fully set forth in the Contract; (b) the Contractor 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 of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Contractor 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. Audit and Inspection of Plants, Places of Business and Records.

- (a) The State and its agents, including, but not limited to, the Connecticut Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents, may, at reasonable hours, inspect and examine all of the parts of the Contractor's and Contractor Parties' plants and places of business which, in any way, are related to, or involved in, the performance of this Contract.
- (b) The Contractor shall maintain, and shall require each of the Contractor Parties to maintain, accurate and complete Records. The Contractor shall make all of its and the Contractor Parties' Records available at all reasonable hours for audit and inspection by the State and its agents.
- (c) The State shall make all requests for any audit or inspection in writing and shall provide the Contractor with at least twenty-four (24) hours' notice prior to the requested audit and inspection date. 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.
- (d) The Contractor will 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 Contractor under this Contract. The Contractor will remit full payment to the State for such audit or inspection no later than 30 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 Contractor in accordance with this Contract's Setoff provision.
- (e) The Contractor shall keep and preserve or cause to be kept and preserved all of its and Contractor Parties' Records until three (3) years after the latter of (i) final payment under this Contract, or (ii) the expiration or earlier termination of this Contract, as the same may be modified for any reason. The State may request an audit or inspection at any time during this period. If any Claim or audit is started before the expiration of this period, the Contractor shall retain or cause to be retained all Records until all Claims or audit findings have been resolved.
- (f) The Contractor shall cooperate fully with the State and its agents in connection with an audit or inspection. Following any audit or inspection, the State may conduct and the Contractor shall cooperate with an exit conference.
- (g) The Contractor shall incorporate this entire Section verbatim into any contract or other agreement that it enters into with any Contractor Party.
10. Campaign Contribution Restriction. 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 represent 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.
11. Confidential Information. The Agency will afford due regard to the Contractor's request for the protection of proprietary or confidential information which the Agency receives. However, all materials associated with the Bid and the Contract are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. In making such a request, the Contractor may not merely state generally that the materials are proprietary or confidential in nature and not, therefore, subject to release to third parties. Those particular sentences, paragraphs, pages or sections that the Contractor believes are exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA must accompany the request. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the Contractor that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the FOIA. To the extent that any other provision or part of the Contract, especially including the Bid, the Records and the specifications, conflicts or is in any way inconsistent with this section, this section controls and shall apply and the conflicting provision or part shall not be given effect. If the Contractor indicates that certain documentation is submitted in confidence, by specifically and clearly marking said documentation as CONFIDENTIAL," the Agency will endeavor to keep said information confidential to the extent permitted by law. The Agency, however, has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or

other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The Contractor shall have the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall the Agency or the State have any liability for the disclosure of any documents or information in its possession which the Agency believes are required to be disclosed pursuant to the FOIA or other requirements of law.

12. Protection of Confidential Information.

- (a) Contractor and Contractor 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.
- (b) Each Contractor or Contractor 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 Agency or State concerning the confidentiality of Confidential Information. Such data-security program shall include, but not be limited to, the following:
 - (1) A security policy for employees related to the storage, access and transportation of data containing Confidential Information;
 - (2) Reasonable restrictions on access to records containing Confidential Information, including access to any locked storage where such records are kept;
 - (3) A process for reviewing policies and security measures at least annually;
 - (4) Creating secure access controls to Confidential Information, including but not limited to passwords; and
 - (5) Encrypting of Confidential Information that is stored on laptops, portable devices or being transmitted electronically.
- (c) The Contractor and Contractor Parties shall notify the Agency 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 Contractor or Contractor Parties have come to possess or control has been subject to a Confidential Information Breach. If a Confidential Information Breach has occurred, the Contractor shall, within three (3) business days after the notification, present a credit monitoring and protection plan to the Commissioner of Administrative Services, the Agency and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring or protection plan shall be made available by the Contractor 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 Contractors' costs and expenses for the credit monitoring and protection plan shall not be recoverable from the Agency, any State of Connecticut entity or any affected individuals.
- (d) The Contractor shall incorporate the requirements of this Section in all subcontracts requiring each Contractor Party to safeguard Confidential Information in the same manner as provided for in this Section.
- (e) Nothing in this Section shall supersede in any manner Contractor's or Contractor Party's obligations pursuant to HIPAA or the provisions of this Contract concerning the obligations of the Contractor as a Business Associate of Covered Entity.

13. Executive Orders and Other Enactments.

- (a) All references in this Contract 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 Contract at any time during its term, or that may be made applicable to the Contract during its term. This Contract shall always be read and interpreted in accordance with the latest applicable wording and requirements of the Enactments. At the Contractor's request, the Client Agency shall provide a copy of these Enactments to the Contractor. Unless otherwise provided by Enactments, the Contractor is not relieved of its obligation to perform under this Contract if it chooses to contest the applicability of the Enactments or the Client Agency's authority to require compliance with the Enactments.
- (b) This Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.
- (c) This Contract 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; and (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 Office of Policy and Management, 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 Contract as if fully set forth in it.

14. Non-Discrimination.

- (a) For purposes of this Section, the following terms are defined as follows:
 - (1) "Commission" means the Commission on Human Rights and Opportunities;
 - (2) "Contract" and "contract" include any extension or modification of the Contract or contract;
 - (3) "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
 - (4) "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.

(5) "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;

(6) "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;

(7) "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;

(8) "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;

(9) "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

(10) "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).

- (b)(1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status as a veteran, 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, 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 C.G.S. §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to C.G.S. §§ 46a-56, 46a-68e, 46a-68f, and 46a-86; 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 C.G.S. § 46a-56. If the contract is a public works contract, municipal public works contract or contract for a quasi-public agency project, the Contractor agrees and warrants that he or she will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works or quasi-public agency projects.
- (c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.
- (e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and in every subcontract entered into in order to fulfill any obligation of a municipal public works contract or for a quasi-public agency project, 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 C.G.S. § 46a-56, as amended; 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 regarding a State contract, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to C.G.S. § 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 C.G.S. § 46a-56.
- (h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with C.G.S. § 46a-56 as amended; 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 regarding a State contract, 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.
- (i) 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 either (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: ☐
15. Antitrust Provision. Contractor hereby irrevocably assigns to the State of Connecticut all rights, title and interest in and to all Claims associated with this Contract that Contractor now has or may or will have and that arise under the antitrust laws of the United States, 15 USC Section 1, *et seq.* and the antitrust laws of the State of Connecticut, Connecticut General Statute § 35-24, *et seq.*, including but not limited to any and all Claims for overcharges. This assignment shall become valid and effective immediately upon the accrual of a Claim without any further action or acknowledgment by the parties.
16. State Liability. The State of Connecticut shall assume no liability for payment for services under the terms of this agreement until the contractor is notified that this agreement has been accepted by the contracting agency and, if applicable, approved by the Office of Policy and Management (OPM) or the Department of Administrative Services (DAS) and by the Attorney General of the State of Connecticut.
17. Distribution of Materials. The Contractor shall obtain written approval from the Commissioner prior to the distribution or publication of any materials prepared under the terms of this Contract. Such approval shall not be unreasonably withheld.
18. Change in Principal Project Staff. Any changes in the principal project staff must be requested in writing and approved in writing by the Commissioner at the Commissioner's sole discretion. In the event of any unapproved change in principal project staff, the Commissioner may, in the Commissioner's sole discretion, terminate this Contract.
19. Further Assurances. The Parties shall provide such information, execute and deliver any instruments and documents and take such other actions as may be necessary or reasonably requested by the other Party which are not inconsistent with the provisions of this Contract and which do not involve the vesting of rights or assumption of obligations other than those provided for in the Contract, in order to give full effect to the Contract and to carry out the intent of the Contract.
20. Recording and Documentation of Receipts and Expenditures. Accounting procedures must provide for accurate and timely recording of receipt of funds by source, expenditures made from such funds, and of unexpended balances. Controls must be established which are adequate to ensure that expenditures under this Contract are for allowable purposes and that documentation is readily available to verify that such charges are accurate.
21. Assignability. The Contractor shall not assign any interest in this Contract, and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of the Commissioner thereto: provided, however, that claims for money due or to become due the Contractor from the Commissioner under this Contract may be assigned to a bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished promptly to the Commissioner.

22. Third Party Participation. The Contractor may make sub-awards, using either its own competitive selection process or the values established in the state's competitive selection process as outlined in DAS General Letter 71, whichever is more restrictive, to conduct any of the tasks in the Scope of Work contained in Appendix A. The Contractor shall advise the Commissioner of the proposed sub-awardee and the amount allocated, at least two (2) weeks prior to the making of such awards. The Commissioner reserves the right to disapprove such awards if they appear to be inconsistent with the program activities to be conducted under this grant. As required by Sec. 46a-68j-23 of the Connecticut Regulations of State Agencies the Contractor must make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontracts to such enterprises. When minority business enterprises are selected, the Contractor shall provide DEEP with a copy of the Affidavit for Certification of Subcontractors as Minority Business Enterprises (MBE) along with a copy of the purchase order or contract engaging the Subcontractor. The Contractor shall be the sole point of contact concerning the management of the Contract, including performance and payment issues. The Contractor is solely and completely responsible for adherence by any subcontractor to all the applicable provisions of the Contract.
23. Set Aside. State agencies are subject to the requirements of CGS sec. 4a-60g. Unless otherwise specified by the invitation to bid, general contractors intending to subcontract any portion of work under this Contract shall subcontract 25% of the total contract value to small contractors certified by the Department of Administrative Services (DAS) and are further required to subcontract 25% of that 25% to minority and women small contractors certified as minority business enterprises by DAS. Selected general contractors that are certified by DAS as small contractors, minority business enterprises, or both are excused from this requirement but must comply with CGS sec. 4a-60g(e) and complete a minimum of 30% of the work by dollar value with their own workforces and ensure at least 50% of the work overall by dollar value is completed by contractors or subcontractors certified as small contractors or minority business enterprises by DAS.
24. Procurement of Materials and Supplies. The Contractor may use its own procurement procedures which reflect applicable State and local law, rules and regulations provided that procurement of tangible personal property having a useful life of more than one year and an acquisition cost of one thousand dollars (\$1,000.00) or more per unit be approved by the Commissioner before acquisition.
25. Americans with Disabilities Act. The Contractor shall be and remain in compliance with the Americans with Disabilities Act of 1990 ("Act"), to the extent applicable, during the term of the Contract. The DEEP may cancel the Contract if the Contractor fails to comply with the Act.
26. Affirmative Action and Sexual Harassment Policies. The Contractor agrees to comply with the Departments Affirmative Action and Sexual Harassment Policies available on DEEP's web site. Hard copies of the policy statements are available upon request at DEEP.
27. Breach. If either Party breaches the Contract in any respect, the non-breaching Party shall provide written notice of the breach to the breaching Party and afford the breaching Party an opportunity to cure within ten (10) days from the date that the breaching Party receives the notice. In the case of a Contractor breach, any other time period which the Agency sets forth in the notice shall trump the ten (10) days. The right to cure period shall be extended if the non-breaching Party is satisfied that the breaching Party is making a good faith effort to cure but the nature of the breach is such that it cannot be cured within the right to cure period. The notice may include an effective Contract Termination date if the breach is not cured by the stated date and, unless otherwise modified by the non-breaching Party in writing prior to the Termination date; no further action shall be required of any Party to effect the Termination as of the stated date. If the notice does not set forth an effective Contract Termination date; then the non-breaching Party may Terminate the Contract by giving the breaching Party no less than twenty-four (24) hours' prior written notice. If the Agency believes that the Contractor has not performed according to the Contract, the Agency may withhold payment in whole or in part pending resolution of the Performance issue, provided that the Agency notifies the Contractor in writing prior to the date that the payment would have been due.
28. Severability. If any term or provision of the Contract or its application to any person, entity or circumstance shall, to any extent, be held to be invalid or unenforceable, the remainder of the Contract or the application of such term or provision shall not be affected as to persons, entities or circumstances other than those as to whom or to which it is held to be invalid or unenforceable. Each remaining term and provision of the Contract shall be valid and enforced to the fullest extent possible by law.
29. Contractor Guarantee. The Contractor shall: perform the Contract in accordance with the specifications and terms and conditions of the Scope of Work, furnish adequate protection from damage for all work and to repair any damage of any kind, for which he or his workmen are responsible, to the premises or equipment, to his own work or to the work of other contractors; pay for all permits, licenses, and fees, and to give all notices and comply with all laws, ordinances, rules and regulations of the city and the State.
30. Force Majeure. The Parties shall not be excused from their obligation to perform in accordance with the Contract except in the case of Force Majeure events and as otherwise provided for in the Contract. A Force Majeure event materially affects the cost of the Goods or Services or the time schedule for performance and is outside the control nor caused by the Parties. In the case of any such exception, the nonperforming Party shall give immediate written notice to the other, explaining the cause and probable duration of any such nonperformance.
31. Entirety of Contract. The Contract is the entire agreement between the Parties with respect to its subject matter, and supersedes all prior agreements, proposals, offers, counteroffers and understandings of the Parties, whether written or oral. The Contract has been entered into after full investigation, neither Party relying upon any statement or representation by the other unless such

statement or representation is specifically embodied in the Contract.

32. Interpretation. The Contract contains numerous references to statutes and regulations. For purposes of interpretation, conflict resolution and otherwise, the content of those statutes and regulations shall govern over the content of the reference in the Contract to those statutes and regulations.
33. Large State Contract Representation for Contractor. Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:
 - (1) That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi- public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, or (ii) any public official or State employee of any other State agency, who has supervisory or appointing authority over such State agency or quasi-public agency;
 - (2) That no such principals and key personnel of the Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and
 - (3) That the Contractor is submitting bids or proposals without fraud or collusion with any person.
36. Large State Contract Representation for Official or Employee of State Agency. Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the State agency official or employee represents that the selection of the person, firm or corporation was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.
37. Iran Energy Investment Certification.
 - (a) Pursuant to section 4-252a of the Connecticut General Statutes, the Contractor certifies that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date.
 - (b) If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section then the Contractor shall not be deemed to be in breach of the Contract or in violation of this section. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the Contract.
38. Consulting Agreements Representation. Pursuant to section 4a-81 of the Connecticut General Statutes, the Contractor represents that it has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contracts. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the Connecticut General Statutes as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes.

Consultant's Name and Title

Name of Firm (if applicable)

Start Date

End Date

Cost

The basic term of the consulting agreement are: _____

Description of Services Provided: _____

Is the consultant a former State employee or former public official? ☐ YES ☐ NO

If YES: _____
Name of Former State Agency Termination Date of Employment

39. Access to Contract and State Data. The Contractor shall provide to the Agency access to any data, as defined in Conn. Gen Stat. Sec. 4e-1, concerning the Contract and the Agency that are in the possession or control of the Contractor upon demand and shall provide the data to the Agency in a format prescribed by the Agency and the State Auditors of Public Accounts at no additional cost.

Compliance with Consumer Data Privacy and Online Monitoring. Pursuant to section 4 of Public Act 23-16 of the Connecticut General Assembly, Contractor shall at all times comply with all applicable provisions of sections 42-515 to 42-525, inclusive, of the Connecticut General Statutes, as the same may be revised or modified.

APPENDIX A

SCOPE OF WORK

Name of Project: Seymour No. 4 Dam Improvements

Purpose of this Contract: To provide construction services for the Connecticut Department of Energy and Environmental Protection (“DEEP” or “Department”) Water Planning and Management Division (“WPMD”) at Seymour Reservoir No. 4 Dam.

1. **Definitions:** The terms used herein are as defined in the General Conditions of a Construction Contract. – see SECTION III.A. CONDITIONS and are incorporated herein by reference.
2. **Project Specific Conditions:**
 - A. **Description of Project:** Replacement of the existing spillway and low level outlet and construct an auxiliary spillway. A gravel road will be provided on the dam crest. Riprap the upstream slopes and discharge channel. Clear trees from left dike.
 - B. **Location of Project:** The Work location is on the site of the Seymour Reservoir No. 4 Dam. More specific information on the dam’s location can be found on the Title Sheet of the Contract Documents.
 - C. **Contract Work Time:** 420 Calendar Days
 - D. **Project Engineer:** Tata & Howard, Inc.
 - E. **Temporary Utilities:** Contractor is required to provide temporary electricity for whatever construction needs may be required. In addition, the Contractor shall provide necessary toilet accommodations and drinking water for the workers. Separate toilet facilities for each sex is required.
 - F. **Access to Site:** The dam can be accessed where shown on the plans
 - G. **Construction Pictures:** The Contractor shall provide a comprehensive series of construction photographs showing different views of the progress of the work and key elements of construction. Photographs shall be taken with a digital camera acceptable to the DEEP/WPMD, not modified or edited, and at least 100 shall be taken over the course of each month. Photographs shall indicate the subject and date taken of each picture and delivered each month to the Engineer on USB drive or current digital media.

- H. **Progress Meetings:** Progress meetings will be held weekly at the job site for the purpose of reviewing, scheduling and coordinating the project's progress as well as other construction related matters. The Contractor shall ensure that its site supervisor and/or project manager is in attendance at the progress meetings, together with any other employee, agent, or subcontractor of the Contractor as DEEP may request. DEEP shall ensure that the Project Engineer is available for attendance at the progress meetings.
- I. **Liquidated Damages:** For each calendar day that the Work shall remain uncompleted after the Contract Work Time has expired, the per diem sum of \$1,500.00 in liquidated damages shall be deducted from any money due the Contractor. DEEP shall have the right to deduct the amount of liquidated damages assessed against the Contractor from any estimated payment for work performed under the Contractor or to recover such sums by process of law. No payment by the DEEP, either partial or final, shall be construed to waive DEEP's right to seek liquidated damages
3. **Work:** The Contractor shall perform the work in accordance with this Contract, including all documents incorporated by reference, and all work required by Change Orders, and/or amendments to the Contract.
4. **Documents Incorporated by Reference:** The parties to this Contract, as part of the consideration hereof, agree that the following documents listed below are incorporated herein by reference:
- A. **Bid Package:** dated February 4, 2026 (Revised for Bidding August 2026), which contains the Invitation to Bid, Instructions to Bidders, Proposal Form, Standard Bid Bond, Statement of Bidder's Qualification, Notice to Bidders, Instructions to Lowest Qualified Bidder, Wage Rates, Contract Compliance Information and Forms, Certificate of Insurance, Performance Bond, Labor and Material Bond, and any Addenda(s) to the Bid Package; (Included in Section III.B-(Detailed Specifications), incorporated herein)
- B. **Technical Specifications:** "Project Specifications for Seymour No. 4 Dam Improvements" dated February 4, 2026 (Revised for Bidding August 2026). (Included in Section III.B - (Detailed Specifications), incorporated herein, at page (S1-1 through S13-2).
- C. **Plans entitled:** "Seymour No. 4 Dam Improvements, Oxford, CT. (Included in this Bid Package, incorporated herein, labelled with the general title included herein).

- D. **General Conditions of a Construction Contract:** Work is to be performed in accordance with the General Conditions, which describe the conditions and how and when the work is to be performed. (Included in Section III.B), incorporated herein).
- E. **Supplemental Conditions:** The General Conditions are extended and modified by the Supplemental Conditions included herein, located at pages SC-1 through SC-10 of Section III.B) which include project specific conditions and special requirements applicable to all portions of the Work.
5. **Contract Documents:** The Contract Documents are complementary, and neither party to the Contract shall take advantage of any obvious error or apparent discrepancy in the Contract Documents. The Contractor shall give immediate written notification of any error or discrepancy discovered to the Project Engineer and DEEP, who shall take the necessary actions to obtain such corrections and interpretations as may be deemed necessary for the completion of the Work in a satisfactory and acceptable manner. Where discrepancies or conflicts occur in the Contract Documents the following order of precedence shall be utilized:
- A. **Addenda to the Plans and Technical Specifications** shall take precedence over previously issued Contract Documents.
 - B. **Specifications** shall take precedence over sealed dimensions.
 - C. **Stated Dimensions** shall take precedence over scaled dimensions.
 - D. **Large-scale detailed drawings** shall take precedence over small-scale drawings.
 - E. **Schedules** shall take precedence over other data on the Plans.
6. **Compliance with Local, State, and Federal Authority:** The Contractor shall ensure the Project is in full compliance with all Local, State, and Federal laws and requirements for permitting or authorizations necessary for the work, including those for Flood Management and the National Flood Insurance Program.
7. **Documents Furnished:** Contractor will receive pdf version of the Contract Documents for their use. Contractor will be responsible for printing any copies of the Plans and Specifications from the submitted pdf version.
8. **Prior Approvals Needed for Subcontracts, Schedules, Shop Drawings, Plans, etc:** The Contractor shall obtain written approval from the Project Engineer and the Commissioner for

all subcontracting, schedules, shop drawings, supplemental plans, and designs needed for the Construction Activity, prior to undertaking the related work

9. **Notice to Proceed / Contract Work Time:** Following Contract approval, the Commissioner will issue written notice to the Contractor in the form of a Notice to Proceed, stating the Contract Work Time and establishing the Work Start Date and Work End Date. The Notice to Proceed authorizes the Contractor to proceed with the Work associated with the Contract. The Contractor shall submit the following within one (1) week of receipt of Notice to Proceed.
 - A. **Schedule of Values:** A Schedule of Values for the lump sum bid items for use when estimating periodic payments. The sum of the unit cost items and the Schedule of Values items shall equal the Total Bid Amount. The Schedule of Values shall break down the lump sum bid items into measurable quantities with unit costs and must reflect the true costs and be in sufficient detail to be an effective tool for monitoring the progress of the Work. Upon request, the Contractor shall supply to the DEEP's WPMD department representative: [James Heaven] copies of supportive documentation, such as signed contracts or vendor quotations, which documents form the basis of the values assigned to the bid items.
 - B. **Environmental Protection Plan:** An Environmental Protection Plan for the approval of the Commissioner in accordance with the provisions herein specified. The Environmental Protection Plan shall include but not be limited to the following:
 - i. A list of Federal, State and Local laws and regulations concerning environmental protection, pollution control and abatement that are applicable to the Contractor's proposed operations and the requirements imposed by those laws and regulations.
 - ii. Methods for protection of features to be preserved within authorized work areas. The Contractor shall prepare a listing of methods to protect resources needing protection, i.e., trees, shrubs, vines, grasses and groundcover, landscape features, air and water quality, fish and wildlife, soil, historical, archeological, and cultural resources.
 - iii. Procedures to be implemented by the Contractor to provide the required environmental protection and to comply with applicable laws and regulations. The Contractor shall set out the procedures to be followed to correct pollution of the environment due to accident, natural causes, or failure to follow the procedures set out in accordance with the Environmental Protection Plan.

- iv. The location of the nearest suitable solid waste disposal area and a permit allowing the Contractor to use those facilities.
- v. Drawing showing locations of any proposed temporary excavations or embankments for haul roads, stream crossings, material storage areas, structures, sanitary facilities, and stockpiles of excess or spoil materials.
- vi. Environmental monitoring plans for the job site, including land, water, air, and noise monitoring as necessary, and if required by the Project Engineer.
- vii. Traffic control plan when necessary.
- viii. Methods of protecting surface and ground water during construction activities.
- ix. Work area plan showing the proposed activity in each portion of the area and identifying the areas of limited use or nonuse. The plan should include measures for establishing the limits of use areas.

C. **Water Handling / Control Plan:** The Contractor is responsible for all dewatering required to complete the Contract. This includes, but is not limited to pumping, wellpoints, trenches, excavations, water control structures and cofferdams, which may be required to properly complete the Work. Particular attention is called to the fluctuation of water levels due to precipitation. No extra compensation will be allowed due to water level fluctuation. The Contractor shall submit the Water Control Plan via the Project Engineer for the approval of the Commissioner within one (1) week after the Notice to Proceed.

D. **Soil Erosion and Sediment Control Plan:** All watercourses shall be protected from sedimentation, both during and after construction. The Contractor shall control erosion and sedimentation problems in accordance with the 2023 Guidelines for Soil Erosion & Sediment Control downloadable from: [SESCG_CleanFinal.pdf \(ct.gov\)](#) prepared by The Connecticut Council on Soil and Water Conservation in collaboration with the Connecticut Department of Energy and Environmental Protection. The Contractor shall submit a plan showing the proposed Sediment and Erosion Control measures via the Project Engineer for the approval of the Commissioner within one (1) week after the Notice to Proceed.

10. **Certificate of Insurance/Performance Bond/Labor and Material Bond:** Prior to commencement of any Work on the site, the Contractor is required to submit the signed Certificate of Insurance, Performance Bond, and Labor and Material Bond forms; available in Bid Package, see Item 4 A above.

11. **Construction Progress Schedule:**

A. Within one (1) week after receipt of the Notice to Proceed, and Prior to commencement of any Work on site, the Contractor shall prepare a construction progress schedule, which schedule shall be subject to the review and approval of DEEP and the Project Engineer. The construction

progress schedule shall indicate proposed scheduling of the items of Work listed in the Technical Specifications such that the Work is completed by the Work End Date. The schedule shall also indicate the activities of all subcontractors to be utilized and the portions of the Work that they will be performing.

- B. Within one (1) week after the Notice to Proceed, the Contractor shall initiate meetings with the Project Engineer and the Commissioner to present and evaluate the Construction Progress Schedule. The Contractor shall submit three (3) electronic copies of the agreed upon Construction Progress Schedule to the Commissioner and one electronic copy to the Project Engineer.
 - C. The Contractor shall continually or at least weekly, evaluate the progress of the Work, comparing it to the schedule. If the Work is found to be behind schedule, the Contractor shall within three business days, initiate a meeting with all involved parties to reevaluate and revise the Construction Progress Schedule. Any time the Construction Progress Schedule is revised significantly either by alteration of priority or by Change Order, the Contractor shall submit the revised schedule to the Commissioner and Project Engineer.
12. **Duration of the Project:** All Work shall be performed within the period of calendar days defined in the General Conditions as the Contract Work Time and completed by the Work End Date as stated in the Notice to Proceed.
13. **Address / Contact for Submission of Materials:** For the purposes of this Contract, all correspondence, reports, products and/or change order requests shall be submitted to:

**WPMD Department Representative:
James Heaven
Connecticut Department of Energy and Environmental Protection
Bureau of Water Protection and Land Reuse
Water Planning and Management Division
79 Elm Street
Hartford, CT 06106-5127**

14. **Subcontracting Coordination:** The Contractor is responsible for and shall control the activities of the Contractor's subcontractors and notify the Commissioner of all proposed subcontractors at least two weeks prior to award. The Commissioner reserves the right to disapprove subcontract awards. The Contractor shall require and ensure that each subcontractor consults and cooperates with each other subcontractor. The Contractor shall further require and ensure that each subcontractor (i) furnishes all necessary information to each other subcontractor and (ii) lays-out and installs their own work so as to avoid any delays or interference with the work of others by failure to observe the above coordination requirements.

15. **Change Orders:**

- A. The parties agree that the Commissioner may order changes in the Contract work, including changes in quantities and alterations in work or work days, which are necessary for satisfactory completion of the project, without invalidating any provision of the contract, and without providing notice to the sureties, provided that the Commissioner authorizes the work change on a written Change Order form, and further provided that the total cost increase caused by all changes to the work, considered cumulatively, does not exceed ten percent (10%) of the total bid amount. Written amendment of this Contract shall be required for all work changes, singly or cumulatively, in excess of ten percent (10%) of the total bid amount.
- B. The Contractor shall submit in writing, to the Commissioner via the Project Engineer, all requests for changes in the quantities and alterations in the work including changes in work days, on a Change Order Form (available from DEEP upon request). The request must contain a detailed description of all changes requested, the reasons that the changes are necessary to satisfactorily complete the project, and all costs associated with the proposed changes, including quantities of and unit prices for the work and for any subcontracted work involved.
- C. Failure of the Contractor to negotiate in good faith issues of the time and costs or failure of the Contractor to provide requested documentation within fourteen (14) days, or an alternate time period accepted by the Commissioner, may result in the Commissioner issuing a unilateral Change Order in an amount deemed to be fair and equitable by the Commissioner.
- D. The Commissioner has discretion to approve or disapprove the Contractor's request for a Change Order. If the request is approved, the Commissioner will provide the Contractor with a fully executed Change Order.

- E. Upon receipt of the Change Order, the Contractor shall proceed with the work as provided in the Change Order. Work associated with a Contractor's requested change that begins before the Contractor has received the Commissioner's Change Order shall be at the Contractor's risk, and the Contractor may not be compensated for it. The amount of compensation to be paid to the Contractor for any deleted or additional work authorized by a Change Order shall be in accordance with the methods contained in the General Condition, Article 15 Change Order/Compensation, incorporated by reference.
16. **Corrected Plans and Specifications:** Following completion of the Project, the Contractor shall submit to the Project Engineer and DEEP one (1) corrected set of Plans and Specifications (Plans, Specifications, Addenda, approved Shop Drawings, Change Orders and other Modification, Schedules and Instruction).
17. **Change in the Principal Superintendent:** Any changes in the Principal Superintendent, who was identified on the bidding documents as available to oversee this work, must be requested in writing and approved in writing by the Commissioner. In the event of any unapproved change in the Principal Superintendent, the Contract may be terminated or suspended at the Commissioner's sole discretion.
18. **Periodic Payments:**
- A. The Contractor may submit periodic payment invoice requests no more than once a month to the Commissioner via the Project Engineer. A sample invoice form is attached in Appendix C. The partial payment invoice requests shall be subdivided into items that correspond with the bid items in the proposal form and the approved Schedule of Values. Each periodic payment invoice request may include estimates of the value of the work completed to date and for materials suitably stored on the site.
 - B. The Contractor shall ensure that invoices are complete, verified and timely submitted to the Project Engineer for review and accuracy check prior to moving along to DEEP. DEEP, whether itself or through the Project Engineer, shall notify the Contractor of any discrepancies and/or problems with the invoice and/or the documentation and give the Contractor an opportunity to correct the invoice and/or submit supporting documentation as agreed upon.
 - C. Upon approval of the periodic payment invoice, the Commissioner shall endeavor to make the payment of a Properly Executed Invoice within forty-five (45) days.
 - D. In making such periodic Payments for the Work, the Commissioner shall deduct two- and one-half percent (2.5%) of the estimated amount of each Partial Payment and retain until the completion of the entire Contract in an acceptable manner.

19. **Statement of Amounts Due:** With any request for a Periodic Payment, the Commissioner reserves the right to require the Contractor to submit written, verified statements, in a form satisfactory to the Commissioner, showing in detail all amounts then due and unpaid by the Contractor or subcontractors for wages to persons employed by them under the Contract for the performance of the Work at the site, or to other persons for materials, equipment, or supplies delivered at the site.

20. Department of Environmental Protection's Right to Withhold Payments:

- A. The Commissioner may withhold a portion of any Periodic Payment due the Contractor that may, in the judgment of the Commissioner, be necessary:
- i. To assure the payment then due and unpaid to any persons supplying labor or materials for the work.
 - ii. To protect the Commissioner from loss due to defective, unacceptable, or non-conforming work not remedied by the Contractor.
 - iii. To protect the Commissioner from loss due to injury to persons or damage to the work or property of other contractors, subcontractors or others caused by the act or neglect of the Contractor or any of the Contractor's subcontractors.
- B. The Commissioner may apply any amount withheld under this provision, as the Commissioner may deem proper. The amount withheld shall be considered a payment to the Contractor.

21. Final Payment Approval:

- A. Upon the completion of the work, Contractor in consultation with the Project Engineer shall make final measurements of all quantities of unit priced work and shall confirm that all lump sum work has been completed in accordance with the Contract. The Contractor shall submit a final payment requisition with the final amount (including Change Orders) to the Commissioner via Project Engineer. The final payment requisition shall be subdivided into items that correspond with the Work Items in the proposal form and Technical Specifications and shall include documentation of the final quantities and completeness of the Work and shall list all approved Change Orders.
- B. Contractor shall request the Project Engineer to review the final payment invoice and documentation for accuracy, completeness, and compliance with the Contract and provide a recommendation to the Commissioner on whether to approve payment. DEEP, whether itself or through the Project Engineer, shall notify the Contractor of any discrepancies and/or problems with the invoice and/or the documentation and give the Contractor an opportunity to correct the invoice and/or submit supporting documentation as agreed upon.
- C. Upon approval of the final payment invoice, the Commissioner shall endeavor to make the payment of a Properly Executed Invoice within forty-five (45) days.

- D. Upon approval of the final payment requisition, the Commissioner will authorize the Final Payment for the Final Contract Value that includes approved Change Orders and other adjustments. In making such final payment for the Work, two and one half percent (2.5%) of the final amount shall be deducted and retained by the Commissioner. The retainage will be held for a period of time as determined by the Commissioner to be necessary to ensure that the Work is satisfactory and that all conditions at the work site are acceptable.
 - E. All prior estimates and payments, including those relating to extra or additional work, shall be subject to correction by this Final Payment.
 - F. No payment, final or partial, shall act as a release to the Contractor or the Contractor's Surety from any obligations under this Contract.
22. **Recording and Documentation of Receipts and Expenditures:** The Contractor shall implement accounting procedures that provide for accurate and timely recording of all expenditures. Controls must be established which are adequate to ensure that expenditures under this Contract are for allowable purposes and that documentation is readily available to verify that such charges are accurate.
23. **Amendment to the Contract:** Formal written amendment of this Contract is required to change the terms and conditions of this Contract and any prior amendments with the exception of changes in work authorized by Change Orders in a construction contract provided the cumulative total of all changes in work does not exceed ten percent (10%) of the total bid amount.
24. **Officials Not to Benefit:** No member of or delegates to the Congress of the United States of America, no Commissioner, and no elected or appointed municipal official shall be admitted to any share or part hereof or to any benefit to arise here from.

25. **Suspension of Work on the Contract:** The Commissioner has the authority to suspend the Work wholly or in part, for such period or periods as the Commissioner considers to be in the best interests of the State, or in the interests of public necessity, convenience or safety. The Work suspension or delay order shall be issued by the Commissioner in writing. The Contractor shall cease operations upon receipt of such order. Work shall not resume until the Contractor receives a written notice from the Commissioner to resume the Work. During such periods the Contractor shall store all project materials and equipment in such a manner as to prevent them from being in any way damaged, lost or stolen, and the Contractor shall take precautions to protect the Work from damage.
- A. If the Contractor believes that the suspension or delay was for an unreasonable period of time (i.e. not originally anticipated, customary or inherent in the construction industry) and the Contractor believes that additional compensation and/or Contract Work Time is due as a result of such suspension or delay, the Contractor shall submit to the Commissioner, in writing, a request for a Change Order within seven (7) calendar days of receipt of the notice to resume work. The Change Order request shall set forth the specific reasons for adjustments to the Contract Work Time and Final Contract Value. Adjustments to the Final Contract Value may not include profit.
 - B. The Commissioner shall evaluate any such Change Order requests received. If the Commissioner agrees (a) that the cost and/or time required for the performance of the Work has increased as a result of such suspension and (b) that the suspension was caused by conditions beyond the control of and not the fault of the Contractor, its suppliers or subcontractors, and was not caused by weather, and that the requested adjustments are fair and correct, then the Commissioner may approve the Change Order.
 - C. No Contract adjustment will be made under this Article to the extent that (a) performance would have been suspended or delayed by any other cause within the Contractor's control or by any factor for which the Contractor is responsible under the Contract, or (b) such an adjustment is provided for or excluded under any other term or condition of this Contract.

APPENDIX B
SCHEDULE OF PAYMENTS

The maximum amount payable under this Contract is _____ dollars(\$_____).

The payments by the Commissioner shall allow for use of funds to meet allowable financial obligations incurred in conjunction with this Project, prior to expiration of this Contract, and shall be scheduled as follows, provided that the total sum of all payments shall not exceed the maximum Contract amount noted above.

- a. Funds shall be paid to the Contractor for the reimbursement of expenditures, contingent upon receipt by DEEP of detailed invoices with any required supportive documentation. Invoices shall be submitted not more frequently than_____. All payments to the Contractor are subject to review and approval by the Commissioner, at her sole discretion.
- b. If no reimbursement request is submitted within a six-month period, the Contractor is required to submit with its project status report the cause and what if any impact there is to the approved budget and/or Project schedule.
- c. The final payment shall be reimbursed following completion of the Project to the Commissioner's satisfaction, review and approval of a Final Report and associated documentation demonstrating that all the elements of Appendix A have been met. Payment shall be processed contingent upon receipt of detailed invoices with any required supportive documentation, subject to review and approval by DEEP.
- d. The total sum of all payments shall not exceed the maximum contract amount noted above. Should the total Project costs be less than the amount of payments made, any remaining funds must be refunded by the Contractor to the Department of Energy and Environmental Protection made by a check payable to "Treasurer- State of Connecticut" within 30 days of the Contract expiration date.

APPLICATION AND CERTIFICATION FOR PAYMENT
TO OWNER: PROJECT:

FROM CONTRACTOR: VIA ENGINEER

AIA DOCUMENT G702
APPLICATION NO:

PAGE ONE OF PAGES

Distribution to:
[] OWNER
[] ENGINEER
[] CONTRACTOR
[]
[]

PERIOD TO:

PROJECT NO'S:
COMMITMENT NO'S
CONTRACT DATE:

CONTRACT Stellar surfaces

CONTRACTOR'S APPLICATION FOR PAYMENT

Application is made for payment, as shown below, in connection with the Contract. Continuation Sheet, AIA Document G703, is attached.

- 1. ORIGINAL CONTRACT SUM \$
2. Net change by Change Orders \$
3. CONTRACT SUM TO DATE (Line 1 + 2) \$
4. TOTAL COMPLETED & STORED TO DATE (Column G on G703) \$
5. RETAINAGE:
a. 10 % of Completed Work (Column D + E on G703) \$
b. % of Stored Material (Column F on G703) \$
Total Retainage (Lines 5a + 5b or Total in Column I of G703)
6. TOTAL EARNED LESS RETAINAGE (Line 4 Less Line 5 Total) \$
7. LESS PREVIOUS CERTIFICATES FOR PAYMENT (Line 6 from prior Certificate) \$
8. CURRENT PAYMENT DUE \$
9. BALANCE TO FINISH, INCLUDING RETAINAGE (Line 3 less Line 6) \$

Table with 3 columns: CHANGE ORDER SUMMARY, ADDITIONS, DEDUCTIONS. Rows include: Total changes approved in previous months by Owner, Total approved this Month, TOTALS, NET CHANGES by Change Order.

The undersigned Contractor certifies that to the best of the Contractor's knowledge, information and belief the Work covered by this Application for Payment has been completed in accordance with the Contract Documents, that all amounts have been paid by the Contractor for Work for which previous Certificates for Payment were issued and payments received from the Owner, and that current payment shown herein is now due.

CONTRACTOR:

By: Date:

State of: County of:
Subscribed and sworn to before me this day of
Notary Public:
My Commission expires:

ENGINEER'S CERTIFICATE FOR PAYMENT

In accordance with the Contract Documents, based on on-site observations and the data comprising the application, the Engineer certifies to the Owner that to the best of the Architect's knowledge, information and belief the Work has progressed as indicated, the quality of the Work is in accordance with the Contract Documents, and the Contractor is entitled to payment of the AMOUNT CERTIFIED.

AMOUNT CERTIFIED \$

(Attach explanation if amount certified differs from the amount applied. Initial all figures on this Application and on the Continuation Sheet that are changed to conform with the amount certified.)

ARCHITECT:

By: Date:

This Certificate is not negotiable. The AMOUNT CERTIFIED is payable only to the Contractor named herein. Issuance, payment and acceptance of payment are without prejudice to any rights of the Owner or Contractor under this Contract.

CONTINUATION SHEET

AIA DOCUMENT G703

PAGE OF PAGES

APPLICATION NO:

APPLICATION DATE:

PERIOD TO:

NNI's PROJECT NO:

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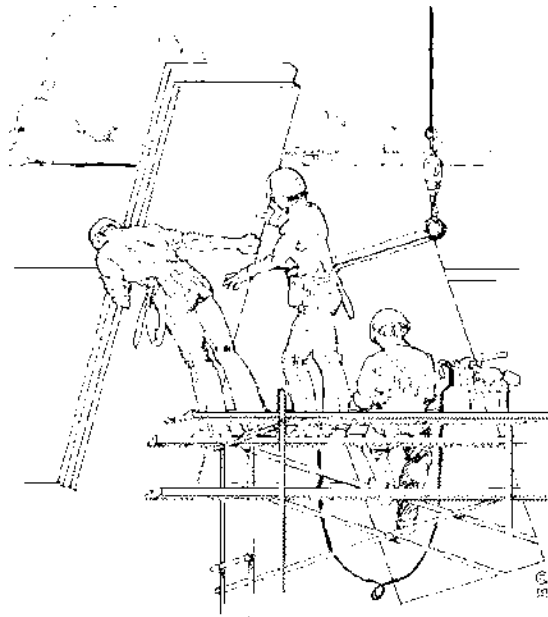
~NOTICE~

TO ALL CONTRACTING AGENCIES

Please be advised that Connecticut General Statutes Section 31-53, requires the contracting agency to certify to the Department of Labor, the total dollar amount of work to be done in connection with such public works project, regardless of whether such project consists of one or more contracts.

Please find the attached "Contracting Agency Certification Form" to be completed and returned to the Department of Labor, Wage and Workplace Standards Division, Public Contract Compliance Unit.

O Inquiries can be directed to (860)263-6543.



CONNECTICUT DEPARTMENT OF LABOR
WAGE AND WORKPLACE STANDARDS DIVISION
CONTRACT COMPLIANCE UNIT

CONTRACTING AGENCY CERTIFICATION FORM

I, _____, acting in my official capacity as _____,
Authorized representative title

For _____, located at _____,
Contracting agency address

do hereby certify that the total dollar amount of work to be done in connection with

_____, located at _____,
Project name and number address

Shall be \$ _____, which includes all work, regardless of whether such project
consists of one or more contracts.

CONTRACTOR INFORMATION

Name: _____

Address: _____

Authorized Representative: _____

Approximate Starting Date: _____

Approximate Completion Date: _____

Signature

Date

Return to: Connecticut Department of Labor
Wage & Workplace Standards Division
Contract Compliance Unit
200 Folly Brook Blvd.
Wethersfield, CT 06109

Date Issued: _____



AFFIRMATIVE ACTION POLICY STATEMENT

PURPOSE

The Department of Energy & Environmental Protection (DEEP) is an affirmative action employer and is committed to the policies and procedures that promote equal employment opportunity. Affirmative Action and Equal Employment Opportunity have been established as immediate and necessary agency objectives. The ultimate purposes of DEEP's Affirmative Action Program are to:

- ensure equality at DEEP;
- avoid discrimination – either intentional or inadvertent;
- develop a workforce that is representative of all segments of the state's population; And
- improve the operation of DEEP's services.

DEFINITIONS

“Affirmative Action” is a program of positive action, undertaken with conviction and effort, to overcome the present effects of past practices, policies or barriers to equal employment opportunity and to achieve the full and fair participation of women, Blacks and Hispanics and any other protected group found to be underutilized in the workforce or affected by policies and practices having an adverse impact.

“Equal Employment Opportunity” is employment of individuals without consideration of the following: race; color; religious creed; age; sex; pregnancy; sexual orientation; workplace hazards to reproductive systems, gender identity or expression; marital status; national origin; ancestry; retaliation for previously opposed discrimination or coercion; intellectual disability; genetic information; learning disability; physical disability (including, but not limited to, blindness); mental disability (past/present history thereof); status as a victim of domestic violence; military or veteran status; or criminal record in state employment, unless the provisions of §46a-80(b) or 46a-81(b) of the Connecticut General Statutes are controlling; unless there is a bona fide occupational qualification excluding persons in one of the above protected groups. Equal Employment Opportunity is the purpose and goal of Affirmative Action under §46a-68-75 through 46a-68-114 of the Regulations of Connecticut State Agencies.

DEEP'S INTERNAL COMPLAINT PROCESS

The Department of Energy & Environmental Protection has developed and established internal complaint procedures to be utilized in the investigation of internal complaints of alleged discrimination. All DEEP employees are provided with a copy of the Department's internal complaint procedure and policy statements, which outline their protections under equal opportunity laws.

DEEP'S AFFIRMATIVE ACTION PROGRAM

DEEP has created an Affirmative Action Program to overcome the present effects of any past policies, practices and barriers to equal opportunity. In our Affirmative Action Plan, we identify the achievements that have been made through the application of our good faith efforts and, through the full and fair participation of all of our employees in all of the Agency's undertakings. We also recognize the hiring difficulties experienced by the physically disabled and by many older persons, and will set program goals to achieve the full and fair utilization of these persons in the workforce.

The Department fully supports all federal and state constitutional provisions, laws, regulations, guidelines, and executive orders that prohibit or outlaw discrimination. In accordance with these requirements, no person or facility of this Agency shall be used in the furtherance of any discriminatory practice, nor shall we become a party to any agreement, arrangement, contract or plan that has the effect of sanctioning discriminatory practices. All education and training programs and all employment practices conducted by, sponsored by, or with the approval of, DEEP shall be open to all qualified persons.

Our policy is posted on DEEP's policy bulletin boards throughout the agency and on DEEP's website. Each employee has the right to review and comment upon the agency's Affirmative Action Plan. All responses should be addressed to Renée Lombard, the agency's Human Resources Specialist – Equal Employment Opportunity, or Katya Hunt, the agency's Leadership Associate/ Human Resources Associate – Equal Employment Opportunity, who have been assigned all affirmative action duties. Ms. Lombard can be reached at the Department of Administrative Services, Equal Employment Opportunity Unit, 450 Columbus Boulevard, Suite 1501, Hartford, CT 06103, or at renee.lombard@ct.gov. Her phone number at the agency is (860) 713-5258. Ms. Hunt can be reached at the Department of Administrative Services, Equal Employment Opportunity Unit, 450 Columbus Boulevard, Suite 1501, Hartford, CT 06103, or at katya.hunt@ct.gov. Her phone number at the agency is (860) 713-5407.

COMMITMENT

DEEP will use viable affirmative action measures in all stages of the employment process as outlined in Section 46a-68-87 of the Regulations of Connecticut State Agencies and in the DEEP Affirmative Action Plan and will provide services and programs in a fair and impartial manner.

As Commissioner of DEEP, I readily assume the ultimate responsibility for ensuring the success of our Affirmative Action programs and goals, within the timetables stated in our Plan, and stress that the effectiveness of our programs will depend on the complete cooperation of all administrative and supervisory staff. I ask that each share in this responsibility and act accordingly.

We recognize that programs without effort are meaningless and that effort undirected by specific procedures prevents achievement. I personally pledge my support and commitment to Affirmative Action and Equal Employment Opportunity. I ask each employee to review this policy and be familiar with it. More importantly, however, each employee is expected to commit him/herself to its ideals and objectives as I have done.

Katie Dykes

Katie Dykes

Commissioner, Department of Energy & Environmental Protection

4/5/2023

Date



Connecticut Department of

ENERGY & ENVIRONMENTAL PROTECTION

ZERO TOLERANCE SEXUAL HARASSMENT PREVENTION POLICY

In accordance with Title VII of the Civil Rights Act of 1964, 42 United States Code Section 2000e, et seq., as amended, as well as Section 46a-60(a) (8) of the Connecticut General Statutes, it is the established policy of the Department of Energy and Environmental Protection (DEEP) to provide equal employment opportunity in all aspects of the employment process without consideration to an individual's sex. Sexual harassment is illegal. It is a form of discrimination based on a person's sex and it undermines the integrity of the workplace and the personal dignity of the individual. The definition of sexual harassment includes harassment based on a person's gender identity or experience or sexual orientation.

Sexual harassment is defined by Connecticut State law as any unwelcome sexual advances or requests for sexual favors or any conduct of a sexual nature when: (A) submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment, (B) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (C) when such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

The following are examples of prohibited conduct, however, this is not an inclusive list:

- Sexual flirtation, propositions or threats; sexting;
- Lewd comments, jokes, stories, E-mail, or cards; conversations with sexual innuendo;
- Using crude and offensive language;
- Unwanted or inappropriate touching such as patting, pinching, massaging or hugging; , Sexual gestures;
- Use or display of sexually suggestive photographs, magazines, objects or pornographic pictures or calendars;
- Obscene noises or leering;
- While in a supervisory position, condoning or ignoring sexual harassment of which one has knowledge or has reason to have knowledge; and
- Derogatory comments about another person's sex, gender or sexual orientation.

The Department of Energy and Environmental Protection is committed to maintaining a work environment free of all forms of discrimination including sexual harassment and will not tolerate any behavior that may violate this policy. Supervisory personnel and all other employees are directed to adhere to this policy, to familiarize themselves with the laws and statutes stated, and to be receptive to complaints made by afflicted personnel. The DEEP further prohibits sexual harassment in any form whether in the workplace, at assignments outside the workplace, at work sponsored functions, or elsewhere. Off-duty or non-duty behavior that affects the workplace may also be considered sexual harassment. Sexual harassment by employees against non-employees is also prohibited. Employees should be aware that some forms of sexual harassment may be subject to civil or criminal penalties. More importantly, anyone found to be in violation of this policy will be subject to appropriate disciplinary action up to and including termination.

79 Elm Street • Hartford, CT 06106-5127
www.ct.gov/deep
Affirmative Action/Equal Opportunity Employer

Complaints alleging a violation of this policy must be filed with the Affirmative Action Office within 30 days off the alleged violation and/or with the Commission on Human Rights and Opportunities (CHRO) within 180 days of the alleged discriminatory action. Complaints filed with CHRO must be submitted to the office which serves the town where the alleged discriminatory action took place. The CHRO offices are listed in the Affirmative Action Complaint Procedure.

This policy also protects employees, applicants, and program participants from retaliation for filing and/or participating in the investigation of a complaint alleging discrimination. All employees are expected to cooperate fully with all administrative complaint investigations and any actions taken by the DEEP as a result of such investigations.

The remedies available to victims of sexual harassment include the following: cease and desist orders, back pay, compensatory damages, and hiring/promotion or reinstatement. At no time will the internal investigation of a complaint be terminated or suspended because the complainant has filed a complaint with the CHRO or the Equal Employment Opportunity Commission or any similar enforcement agency.

To ensure that all employees are aware of the DEEP commitment to provide a work environment free of all forms of harassment, this policy will be posted on all bulletin boards and educational workshops will be conducted for staff, as needed. It will also be distributed once a year to all employees. Supervisors are responsible for making their employees aware of this policy. The determination of whether violation of this policy has occurred will be made from the facts and the context in which the alleged incident(s) took place.

Contractors, suppliers, consultants, or any other agency we do business with must comply with all applicable State and Federal Laws and Regulations protecting persons against sexual harassment.



Robert J. Klee, Commissioner

Date

2 /26/16

_____, _____

Supervisor (Print Name) and Signature

certify that this policy was discussed with

Employee (Print Name) and Signature

Date

Please indicate if this is a _____ permanent employee or _____ seasonal employee.

The employee by signing this policy statement acknowledges that it was discussed with him/her, and that he/she understands it. THIS STATEMENT IS AVAILABLE IN LARGE PRINT OR ON AUDIOTAPE FROM THE AFFIRMATIVE ACTION OFFICE BY CALLING (860) 418-5937

PART III- CONSTRUCTION

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SECTION III.B. Specifications

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U.S. Army Corps of Engineers, Geneal Permit Verification Letter; File Number NAE-2023-00351; 10/25/2024

CT DEEP Dam Bureau of Water Protection and Land Reuse, Dam Safety Emergency Authorization;
Authorization No. DS-202506378-01EA; 12/24/2025

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GENERAL CONDITIONS

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1. DEFINITIONS

Whenever the following terms, or pronouns in place of them, are used, the intent and meaning shall be as follows:

- A. Additional or Deleted Work: Work required by the Commissioner which, in the judgment of the Commissioner, involves any addition to, deduction from or modification of the Work required by the Contract Documents. See Article # 15 - Change Orders/Compensation herein.
- B. Additional Insured: An assured party specifically named under an insurance policy that is not automatically included as an Insured under the policy of another, but for whom the named Insured's policy provides a certain degree of protection. An endorsement is typically required to effect additional insured status.
- C. Bid Bond: A surety bond in an amount stated as a percentage of the Bid, executed by the Bidder as Principal and by a surety insurer licensed by the Connecticut Insurance Department, to guarantee that the Bidder will enter into a contract within the specified time and furnish the required bond as mandated by Connecticut General Statute (CGS) Section 4b-92.
- D. Bidder: An individual, partnership, firm, corporation or other business organization submitting a bid on the Proposal Form for the Work contemplated.
- E. Bid Proposal Form: The form on which the bidder is to submit a bid for the Work contemplated.
- F. Bid Security: The Bid Bond submitted with the Bid Proposal Form, which provides that the Bidder, if awarded the Contract, will execute the Contract in accordance with the requirements of the Contract Documents and guarantee payment of damages up to the stated amount of the Bid Bond, which damages may result from failure to so execute.
- G. Change Order: Written authorization signed by the Commissioner, authorizing a modification, addition or reduction or deletion in the Work, an adjustment in the monetary value of a Contract Work Item or Items, or an adjustment in the Contract Work Time.
- H. Commissioner: The Commissioner of the Department of Energy & Environmental Protection or designee, acting directly or through specifically authorized DEEP personnel.
- I. Construction Inspector: An employee of the Department of Energy & Environmental Protection, or its Project Engineer, duly authorized to perform duties listed in Article # 5 - Authority of the Construction Inspector herein.
- J. Contract Documents: The Invitation to Bid, Proposal Form, Wage Rates, Notice to Bidders, these General Conditions, Supplemental Conditions, Technical Specifications, Plans, Contract, Bonds and Insurance Certificates, all of which shall constitute the Contract.
- K. Contract Execution Date: The date the Contract is approved by the Attorney General's office.
- L. Contract Expiration Date: The date by which all construction, post construction and administrative actions must be completed. This is not the Work End Date.
- M. Contract Period: The period from the Contract Execution Date continuing until the Contract Expiration Date.

- N. Contract Work Time: The Contract Work Time is the number of calendar days, allotted in the bidding documents, for execution and completion of the Work, including adjustments authorized by Change Order. The Contract Work Time is the sum of all working and non-working calendar days and will be reiterated in the Notice to Proceed.
- O. Contractor: An individual, partnership, firm or corporation, under direct Contract with the Department of Environmental Protection, responsible for performing the Work under the Contract Documents.
- P. DEEP: Department of Energy & Environmental Protection.
- Q. Equal: The recognized equivalent in substance and function; considering quality, workmanship, economy of operation, durability and suitability for purposes intended, and not constituting a change in the work specified. Whenever the words "equal" or "equals" or words of like import are used, it shall be understood they mean "equal" in the opinion of the Commissioner.
- R. Execution: The Contract shall be fully executed when it has been signed by authorized representatives of the parties, and if it is for an amount exceeding three thousand dollars (\$3,000.00), by the authorized representative of the state Attorney General's office.
- S. Final Contract Value: The final approved total monetary value of the completed Contract Work based on the unit prices bid multiplied by the actual final measured quantities for unit price work items, completed Lump Sum work items, and as adjusted by approved Change Order(s).
- T. WPMD: The Water Planning and Management Division of the Bureau of Water Protection and Land Reuse of the Department of Energy & Environmental Protection.
- U. WPMD Department Representative: The WMPD Staff designated to manage this Contract.
- V. WPMD Director: The Director of the Water Planning and Management Division of the Bureau of Water Protection and Land Reuse of the Department of Energy & Environmental Protection.
- W. Labor and Material Bond: A bond in which the Contractor and the Contractor's surety guarantee to the DEP that the Contractor will pay for labor and materials furnished for use in the performance of the Contract, as required by Connecticut General Statute Section 49-41.
- X. Liquidated Damages: A sum established in the Contract Documents, as a fixed sum per day, as a measure of damages for extra Contract inspection and administration costs to be paid to the DEP if a Contractor fails to complete the Work by the Work End Date.
- Y. Lump Sum: An item or category priced as a whole rather than broken down into its elements.
- Z. Notice to Proceed: Following Contract approval by the Attorney General's office, written Notice to Proceed will be issued by the Commissioner, to the Contractor authorizing the Contractor to proceed with the Work. The Notice to Proceed will establish the Work Start Date and Work End Date based on the Contract Work Time.
- AA. Performance Bond: A surety bond in which the Contractor and the Contractor's surety insurer guarantee to the Commissioner that the Work will be performed in accordance with the Contract Documents, as required by Connecticut General Statute Section 49-41.

- BB. Plans or Drawings: All plans, drawings, reproductions of drawings, and appurtenances pertaining to the construction of the Work.
- CC. Principal Superintendent: The employee of the Contractor who was identified on the bidding documents as available to oversee this contracted work and who has overall charge of the construction activities at the site of the Work.
- DD. Project Engineer: An employee of the DEEP or a person, partnership, corporation or other business organization under Contract with the DEEP, commissioned to perform construction administration and inspection duties during construction.
- EE. Project Specific Conditions: These are Supplemental Conditions applicable to specific and special requirements and conditions of the project.
- FF. Properly Executed Invoice: Following the Commissioners approval and signature of periodic payment invoice and the invoice being date stamped in the DEEP Bureau of Financial and Support Services a periodic payment invoice shall be deemed a properly executed invoice.
- GG. Shop Drawings: Drawings, diagrams, schedules, performance charts, brochures and other materials prepared by the Contractor or subcontractors, manufacturers or distributors which provide additional detail of portions of the Work. The Shop Drawing submission and review process is specified in Article # 11 - Shop Drawings, Catalog Cuts and Samples herein.
- HH. Special Risk Insurance: Coverage designed to provide financial protection against risks or hazards of a special or unusual nature.
- I. Subcontractor: A person, partnership, corporation or other business organization under direct contract with the Contractor supplying labor and/or materials for the Work.
- JJ. Supplemental Conditions: Supplementary general and project specific conditions and requirements which extend and modify the General Conditions to apply to any and all portions of Work under the Contract.
- KK. Technical Specifications: The description, provisions and other requirements pertaining to the method and manner of performing the Work specified under each Work Item and pertaining to the quantities and quality of materials to be furnished under the Contract and methods of measurement and payment.
- LL. Total Bid Amount: The cost summation of the Contract lump sum bid items plus the unit priced bid items based on the estimated quantities of work for the unit priced items that are shown on the proposal form.
- MM. Unit Price: A Contract per-unit price corresponding to the unit used to measure the completed and accepted quantity of an item for payment in accordance with the Contract.
- NN. Work: The construction and services required by the Contract Documents, and including all plant, labor, materials, services, supplies, equipment and other facilities provided or to be provided by the Contractor to fulfill the Contractor's obligations for completion of all the Work Items under the terms of the Contract.

- OO. Work Item: The specific construction and services required by the Contract Documents for which a separate description and payment method is provided on the Proposal Bid Form and in the Technical Specifications.
- PP. Work Start Date: The date work is to begin as established in the Notice to Proceed.
- QQ. Work End Date: The date work is to be completed as established in the Notice to Proceed unless adjustments to the Contract Work End Date are authorized by approved change orders.

2. WORK TO BE PERFORMED

The Work to be performed by the Contractor consists of furnishing all necessary plant, materials, equipment, supplies, labor and transportation, including fuel and water, necessary to perform all Work as required by the Contract Documents in strict accordance with the Technical Specifications, Plans and Construction Progress Schedules, all of which are made a part hereof, and including any supplemental detail drawings as may be furnished from time to time during the prosecution of the Work in explanation of said Plans.

3. INTENT OF DOCUMENTS

The Technical Specifications, with the accompanying Plans, are intended to describe and illustrate all materials and labor necessary to complete the Work.

4. ALL WORK SUBJECT TO CONTROL OF THE COMMISSIONER

- A. In the performance of the Work, the Contractor shall abide by all orders, directions, and requirements of the Commissioner.
- B. The Commissioner shall determine the amount, quality, acceptability, and fitness of all parts of the Work, shall interpret the Plans, Technical Specifications, Contract Documents and Change Orders and shall decide all other questions in connection with the Work.
- C. Only the Commissioner can act in matters involving revoking, altering, enlarging or relaxing any requirement of the Contract Documents. Change Orders must be authorized by the Commissioner and shall be guided by the provisions of Article 15 - Change Orders/Compensation herein.
- D. The Contractor shall use no plant, equipment, materials, methods, or workers to which the Commissioner objects and shall remove no plant, materials, equipment or other facilities from the site of the Work without the permission of the Commissioner. Upon request, the Commissioner will confirm any oral order, direction, requirement, or determination in writing.
- E. During the progress of the Work, the Contractor's Principal Superintendent who was identified on the bidding documents as available for this Work, and other identified workers shall remain on the job unless found to be unsatisfactory to the Commissioner. The Principal Project Superintendent shall be explicitly familiar with the Contract Documents, Specifications and Plans.

5. AUTHORITY OF THE CONSTRUCTION INSPECTOR

- A. The Construction Inspector employed by the DEEP or its Project Engineer, under the supervision of the Project Engineer or WPMD Department Representative, shall inspect all Work done and

materials furnished for conformance to the Contract Documents. The Construction Inspector is authorized to reject all Work found to be defective, unacceptable, and nonconforming to the Contract Documents. Such inspections and rejections may extend to all or any part of the Work, and to the preparation or manufacture of the materials to be used.

- B. The Construction Inspector is not empowered to revoke, alter, enlarge, or relax any requirements of the Contract Documents, or to issue instructions contrary to the Contract Documents. The Construction Inspector shall in no case act as foreman or perform other duties for the Contractor, nor shall the Construction Inspector interfere with the management of the Work by the Contractor. Any advice which the Construction Inspector may give the Contractor shall in no way be construed as binding the DEEP in any way, nor releasing the Contractor from fulfillment of the terms of the Contract documents.
- C. In any dispute arising between the Contractor and the Construction Inspector with reference to inspection or rejection of the Work, the Construction Inspector may suspend work on the non-compliant portion of the Work until the dispute can be referred to and decided by the Commissioner.

6. CONDITIONS OF WORK

- A. The Contractor shall carefully examine and study the conditions under which the Work is to be performed, the site of the Work, the seasonal items, constraints, water control requirements, the Plans and Technical Specifications, the form of the Contract, the General Conditions, the Supplemental Conditions, the Bonds and all other Contract Documents associated with the Work contemplated; and it will be assumed that the Contractor is satisfied as to all the requirements of the Contract Documents.
- B. The Contractor shall verify all dimensions and obtain all necessary measurements at the site. Any deterrent conditions at the site of the contemplated work, which are and were obvious and apparent during examinations of the site but are not indicated on the Plans shall be corrected by the Contractor without additional compensation.
- C. In performing the Work, the Contractor must employ such methods or means as will not cause any interruption of or interference with the work of any other contractor, nor any inordinate disruption with the normal routine of the DEEP operating at the site.
- D. No claims for additional compensation will be considered when additional costs result from conditions made known to, discovered by, or which should have been discovered by, the Contractor prior to bidding.
- E. No claims for additional compensation will be considered when additional costs result from cold weather conditions or rising water, unless specifically authorized in the Technical Specifications.

7. PLANS AND SPECIFICATIONS AT THE SITE

The Contractor shall maintain in good order at the work site two (2) copies of all Plans, Contract Documents, addenda, approved Shop Drawings, Change Orders and other modifications, schedules, and instructions. At least one copy is to be marked to record all changes made during construction. These shall be available at all times to the Project Engineer and the Commissioner. At the conclusion of construction, the Contractor shall turn one (1) marked up / corrected set over to the Project Engineer.

8. STANDARD SPECIFICATIONS

All references made to Standard Specifications and Plans refer to the latest editions in effect at the date of the proposal. The Connecticut Department of Transportation's ("CT DOT") Standard Specifications for Roads, Bridges and Incidental Construction, Form 818, original version dated 2020, as modified by subsequent supplements thereof, shall apply and be considered a part of this Specification as though it were bound herein, unless specifically noted otherwise. The Standard Specification is available online at [ConnDOT Publications - Manuals \(ct.gov\)](https://www.conndot.gov/publications-manuals).

9. COMMENCEMENT AND COMPLETION OF THE WORK

- A. The Work shall start upon the Work Start Date as given in the Notice to Proceed or thereafter. The Contractor shall complete all the Work within the number of days specified in the Contract Work Time as stated in the Notice to Proceed and on the Proposal Form.
- B. Time is of the essence with respect to the Contract Work Time. By executing the Contract, the Contractor confirms and agrees that the Contract Work Time is a reasonable number of calendar days to perform the Work and that the work will be completed by the Work End Date. The Contractor may plan to complete the Work in less time than the Contract Work Time.
- C. If the Contractor is delayed at any time in the progress of the Work by acts of God such as fire or flood or any action, injunction or stop order issued by any court, judge or officer of the court or any other court action beyond the DEEP's control, then the Contract Work Time may be increased by Change Order for such reasonable time as demonstrated by the Contractor's schedule and as the Commissioner may determine that such event has delayed the Work. To receive consideration, the Contractor shall submit a request for Change Order in writing, with a full statement of the reasons thereof, within (7) seven days of the occurrence of the delay. In any event, the granting of additional Contract Work Time shall be solely within the discretion of the Commissioner.
- D. There will be no winter shutdown and related time extension for this project. If weather conditions occur that cause unsafe working conditions and the Contractor has to cease operations for a period of time, then the Contractor may, after the shutdown, submit in writing a request for additional contract time as outlined in Article #9 subparagraph C above.
- E. Except as otherwise may be provided herein, increases in the Contract Work Time shall be the Contractor's sole remedy for delays outlined in Article #9 subparagraph C. above. No payment or compensation of any kind shall be made to the Contractor for damages because of hindrance in the orderly progress of the Work caused by the causes outlined in Article # 9 subparagraph C. herein.
- F. Any increase in the Contract Work Time shall be by Change Order pursuant to Article # 15 - Change Order/Compensation herein.

10. LIQUIDATED DAMAGES

Time is an essential element of the Contract. It is important that the project be pressed vigorously to completion. The cost to the DEEP of the administration of the Contract, including engineering, inspection and supervision, will also be increased as the time for project completion is lengthened. Therefore for each calendar day that the work shall remain uncompleted after the Contract Work time has expired, the per diem sum of liquidated damages specified in the Supplemental Conditions under Project Specific Conditions paragraph 2.J herein, shall be deducted from any money due the

Contractor. Liquidated damages are not a penalty but are a reasonable estimate of the damages caused by such delay. There will be no bonus or additional funds offered to the Contractor because of the Contractor's decision to complete the project before the end of the Contract Work Time.

The Commissioner has the right to deduct the amount of the liquidated damages assessed against the Contractor from any estimated payment for work performed under the Contract or to recover such sums by process of law.

- A. The Liquidated Damages, provided for in the Bidding Documents, will be assessed against the Contractor for each day beyond the current Work End Date needed for completion of the Work.
- B. The Liquidated Damages or any portion thereof may be waived at the sole discretion of the Commissioner.
- C. No payment by the DEEP, either partial or final, shall be construed to waive the Commissioner's right to seek Liquidated Damages.

11. SHOP DRAWINGS, CATALOG CUTS AND SAMPLES

- A. Shop drawings, catalog cuts and samples shall be submitted in the number of copies and manner as directed by the Technical Specifications and shall show all work and materials in detail. Details on the shop drawings shall be large scale and/or full size.
- B. The Contractor shall review the shop drawings, catalog cuts and samples, stamp with approval and submit them with such promptness and in orderly sequence to the Project Engineer as to cause no delay in the Work. Shop drawings, catalog cuts and samples shall be properly identified as specified for item, material, workmanship (when required), and project. At submission, the Contractor shall inform the Project Engineer, in writing, of any deviation in the shop drawings, catalog cuts and samples from the requirements of the Contract Documents.
- C. The Project Engineer shall review shop drawings, catalog cuts and samples with reasonable promptness but only for conformance with the design concept of the project and with the information given in the Contract Documents.
- D. The Contractor shall make any corrections required by the Project Engineer and shall resubmit the required number of corrected copies of shop drawings, catalog cuts and samples.
- E. The Project Engineer's review and approval of shop drawings, catalog cuts and samples will be general only and shall not relieve the Contractor of responsibility for errors in dimensions, for construction and fit, or for any departure from the Contract requirements unless such departure has received the Commissioner's written approval.
- F. No work governed by shop drawings, catalog cuts or samples shall be fabricated, delivered, or installed until final approval by the Commissioner is obtained.

12. SEPARATE CONTRACTS

- A. The Commissioner reserves the right to perform work in connection with the Contract with its own forces, or to let separate contracts relating to the Work site or for work on adjoining sites. In such cases, the Contractor shall afford such parties reasonable opportunity for storage of materials and equipment and for the installation of their work.

- B. Contractors working in the same vicinity shall cooperate with one another and, in case of dispute, the decision of the Commissioner shall be complied with by all contractors involved.
- C. The Contractor shall assume all liability, financial or otherwise, in connection with this Contract and shall protect and hold harmless the DEEP from any and all damages or claims that may arise because of inconvenience or delay which the Contractor may cause other contractors. If the Contractor experiences a loss because of the presence and operations of other contractors working adjacent to or within the limits of the same project, the Contractor shall bear such loss.
- D. In no event shall the DEEP be responsible for any claim or damages that are the result of the Contractor's failure to coordinate the Work with any contractor or subcontractor.

13. USE OF PREMISES, SPECIAL WORKING CONDITIONS

- A. The Contractor shall confine the Contractor's apparatus, storage of materials, supplies, equipment and operations to the areas bounded by the Contract and grading limits, and as directed by the Project Engineer.
- B. Parking for Contractor's employees will be limited to an area designated by the Project Engineer.
- C. Existing walks, driveways and parking areas shall be kept free and clean at all times. Any damage to these areas caused by the Contractors activities shall be repaired to the same or better condition prior to the completion of the work at the site.

14. QUALITY CONTROL

The Contractor shall establish and maintain quality control for all items set forth herein. The Contractor shall record on daily reports any problems in complying with statutes, laws, regulations and ordinances and the corrective actions that were taken.

15. CHANGE ORDERS/COMPENSATION

- A. If such Change Orders make the Work less expensive for the Contractor, the proper deductions shall be made from the applicable Work Items and will reflect in the Final Contract Value, said deductions to be computed in accordance with the provisions listed below in this Article.
- B. The Contractor may request, and the Commissioner may grant, through a change order, additional Contract Work Time when, in the opinion of the Commissioner, the Contractor has demonstrated that such additional work cannot be performed concurrently with the original Work.
- C. The amount of compensation to be paid to the Contractor for any additional or deleted work so ordered shall be determined in one of the following manners:
 - i) By unit prices stated in the Contract Documents.
 - ii) By a lump sum and computed as follows:
 - a) The cost of labor performed, and materials and equipment used by the Contractor or the Contractor's subcontractors with their own forces.

b) The cost of Worker's Compensation, Federal Social Security and Connecticut Unemployment Compensation at established rates as well as all fringe benefits applying to the particular trades involved.

c) The Contractor's overhead and profit on work performed by the Contractor's own forces and subcontractors' overhead and profit on work performed by their own forces shall not exceed:

Change Order Amount (\$)	Overhead & Profit
0 to 5,000.00	20%
over 5,000.00 to 15,000.00	17%
over 15,000.00 to 25,000.00	15%
over 25,000.00	12%

If the work to be performed results in a credit to the DEEP, no percentage of overhead and profit will apply.

d) On work performed by a subcontractor, the Contractor's mark up for overhead and profit shall not exceed 6%.

e) The Contractor shall, when requested, promptly furnish in a form satisfactory to the Commissioner itemized statements of the cost of work so ordered, including but not limited to certified payrolls and copies of accounts, bills, and vouchers to substantiate the above actual costs.

D. If unit prices are not applicable and the parties cannot agree upon a lump sum, the Commissioner may:

i) Order the work done and compensated for in the following manner: by actual cost of the material; wages of applied labor including allowed travel, room and board where applicable, insurance and taxes imposed by law on labor employed on the work; engineering and drafting; rental for equipment (other than tools); as well as all fringe benefits applying to the particular trades involved. The Contractor shall receive the listed overhead and profit as indicated in Article# 15 subparagraph C.ii.c and d herein.

ii) Omit any part of the work ordered and shall adjust the Total Bid Amount in the amount as the Commissioner determines.

E. If the Contractor wishes to make a request for an increase in the Final Contract Value or for any damages sustained as a result of changes in the Work, the Contractor shall give the DEEP, through the Project Engineer, written notice thereof within seven (7) calendar days after the occurrence of the event giving rise to such request. No such request shall be valid unless the notice is in writing. In addition, the Contractor shall file with the DEEP, via Project Engineer, daily or weekly itemized statements of the details and cost of such work performed, or damage sustained as may be required by the Commissioner. The Commissioner or designee in their sole discretion may allow or disallow the claim.

16. CONTRACTOR'S INSURANCE

A. The Contractor shall not commence work under this Contract until the Contractor has obtained all insurance required by the Contract Documents and until such insurance has been approved by the Commissioner. The Contractor shall not allow any subcontractors to commence work on their subcontracts until all similar insurance required of the subcontractors has been so obtained and approved or the Contractor's insurance provides coverage on behalf of the subcontractors. Presented below is a narrative summary of the insurance required.

- i) Commercial General Liability insurance including contractual liability, products/completed operations, broad form property damage, premises and operations, and independent contractors. The limits shall be no less than \$1,000,000 each occurrence and \$2,000,000 annual aggregate.
 - ii) Owner' and Contractor's Protective Liability insurance providing a total limit of \$1,000,000 for all damages arising out of bodily injury or death of persons in any one accident or occurrence and for all damages arising out of injury or destruction of property in any one accident or occurrence and subject to a total (aggregate) limit of \$2,000,000 for all damages arising out of bodily injury to or death of persons in all accidents or occurrences and out of injury to or destruction of property during the policy period. This coverage shall be for and in the name of the State of Connecticut.
 - iii) Automobile Liability insurance providing a \$1,000,000 combined single limit per accident per bodily injury. Coverage Extends to owned, hired and non-owned automobiles. In cases where an insurance policy shows an aggregate limit as part of the automobile liability coverage, the aggregate limit must be at least \$2,000,000. This coverage shall be provided on a primary basis. Should the Contractor not own any motor vehicles, the automobile & liability requirement shall be amended to allow the Contractor to maintain only hired and non-owned liability.
 - iv) Excess Liability (other than Umbrella Form) insurance in the amount of \$5,000,000 for bids of \$1,000,001 to \$10,000,000 and in the amount of \$10,000,000 for bids of \$10,000,001 to \$20,000,000.
 - v) Workers' Compensation and Employer's 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 and \$100,000 disease each employee. When the Work is on or contiguous to navigational bodies of waterways and ways adjoining, the Contractor shall include Federal Act endorsement for U.S. Longshoremen's and Harbor Workers Act.
- B. Each insurance policy required to be maintained by the Contractor, except Workers' Compensation, shall endorse the State of Connecticut and the Project Engineer as an Additional Insured. Additional Insured endorsements shall provide coverage on a primary basis.
- C. The Contractor's insurer shall have no right of recovery or subrogation against the State.

17. ESTIMATED QUANTITIES

The Estimated Quantities for the Work have been furnished on the Proposal Form and have been used to compute the Total Bid Amount. Within the limits of the Total Bid Amount, Change Orders notwithstanding, the Contractor will be required to complete the work specified herein at the prices submitted in the Proposal, whether it involves quantities greater or lesser than the Estimated Quantities. The Contractor will be compensated only for work actually performed and materials actually used.

18. CORRECTION OF WORK BEFORE FINAL PAYMENT

- A. The Commissioner shall issue written notice to the Contractor of rejected materials that fail to conform to the Contract Documents. Upon receipt of such notice, the Contractor shall promptly, without expense to the DEEP, remove from the work site all such materials whether incorporated into the Work or not.

- B. The Commissioner shall issue written notice to the Contractor of unacceptable Work that fails to conform to the Contract Documents. Upon receipt of such notice, the Contractor shall promptly, without expense to the DEEP, make good all work including the work of other contractors or subcontractors that was destroyed or damaged during the process of rectifying the unacceptable work.
- C. If the Contractor fails to remove such rejected or unacceptable materials within the time fixed in the notice, the DEEP may remove and store such materials at the expense of the Contractor. The DEEP's removal will not affect the obligation of the Contractor to replace the complete assembly and installation of the Work and to bear the expenses referred to above. Costs incurred by the DEEP for necessary removal and storage will be recovered by the processing of a Change Order reducing the value of the appropriate bid item or by alternative Contract value adjustment method.
- D. If the Commissioner deems it inexpedient or undesirable to correct any portion of the Work not done in accordance with the Contract Documents, the reduction in the final value of the Work will be recovered by the processing of a Change Order reducing the value of the appropriate bid item or by alternative Contract value adjustment method.

19. GUARANTEE AND WARRANTIES: CORRECTION OF WORK AFTER FINAL PAYMENT

- A. The Contractor shall warrant that the equipment, materials and workmanship are of good quality and new, unless permitted elsewhere by the Contract documents, and that the Work shall be free from defects not inherent in the quality required or permitted and that the Work conforms to the Contract Documents. Final payment to the Contractor shall not relieve the Contractor of the responsibility for the defects in materials or workmanship.
- B. Unless expressly provided for otherwise in the Contract Documents, the Contractor shall remedy any defective work appearing within one (1) year from the date of completion and shall pay for any damage to other work caused by such defective work or occasioned in correcting the same.
- C. The Contractor shall supply copies of any written manufactures' warranties or guarantees to the Commissioner.

20. WAGE RATES

- A. In accordance with the provisions of Connecticut General Statutes Section 31-53 the following applies:
"The wages paid on an hourly basis to any mechanic, laborer or workman employed upon the work herein contracted to be done and the amount of payment or contribution paid or payable on behalf of each such employee to any employee welfare fund, as defined in subsection (h) of Section 31-53 of the Connecticut General Statutes, shall be at a rate equal to the rate customary or prevailing for the same work in the same trade or occupation in the town in which such public works project is being constructed. Any contractor who is not obligated by agreement to make payment or contribution on behalf of such employees to any such employee welfare fund shall pay to each employee as part of his wages the amount of payment or contribution for his classification on each pay day."

Pursuant to Connecticut General Statutes Section 31-53 (g) "[t]he provisions of this section shall not apply where the total cost of all work to be performed by all contractors and subcontractors in connection with new construction of any public works project is less than four hundred thousand

dollars or where the total cost of all work to be performed by all contractors and subcontractors in connection with any remodeling, refinishing, refurbishing, rehabilitation, alteration or repair of any public works project is less than one hundred thousand dollars."

- B. The Contractor shall provide a certified copy of the payroll for all persons working on the site to the Project Engineer for each pay cycle.

21. POSTING WAGE RATES

The Contractor shall post at conspicuous points on the site of the Work a schedule showing all determined wage rates for all trades and all authorized deductions, if any, from wages to be paid.

22. PREFERENCE IN EMPLOYMENT

- A. Should this Contract be for the construction or repair of any building, then in the employment of labor to perform the Work specified herein, preference shall be given to citizens of the United States, who are, and continuously for at least three (3) months prior to the date hereof have been, residents of the labor market area, as established by the State of Connecticut Labor Commissioner, in which such work is to be done, and if no such qualified person is available, then to citizens who have continuously resided in the county in which the Work is to be performed for at least three (3) months prior to the date hereof, and then to citizens of the State who have continuously resided in the State at least three (3) months prior to the date hereof. In no event shall said provisions be deemed to abrogate or supersede, in any manner, any provision regarding residence requirements contained in a collective bargaining agreement to which the Contractor is a party.
- B. Should the Contract be for a public works project other than for the construction, remodeling or repairing of public buildings covered by Connecticut General Statute Section 31-52 then in the employment of mechanics, laborers or workers to perform the Work specified herein, preference will be given to residents of the State who are, and continuously for at least six (6) months prior to the date hereof have been, residents of this State, and if no such person is available then to residents of other states.
- C. The provisions of this Article shall not apply where the State or any subdivision thereof may suffer the loss of revenue granted or to be granted from any agency or department of the federal government as a result of this Article or regulations related thereto.

23. WORKING CONDITIONS

In prosecuting the work of this Contract, the Contractor shall provide working conditions on each operation that shall be as safe and healthful as the nature of the operation permits. The Contractor shall comply with all safety and sanitary rules, laws, and regulations.

24. WORKING HOURS

Unless specifically authorized by the WPMD Department Representative, no work shall be done between the hours of 6:00 p.m. and 7:00 a.m., nor on Saturdays, Sundays, or legal holidays, except as necessary for the proper care and protection of the Work already performed. If it becomes necessary (as approved by the Commissioner) to perform work at night, the Project Engineer shall be informed at a reasonable time in advance of the beginning of the performance of such work. Only such work shall be performed at night as can be done in a satisfactory manner and at a level of workmanship in conformance with all requirements of the Contract Documents. Adequate lighting and all other necessary facilities for carrying out and inspecting the work in compliance with all applicable State

and Federal health and safety requirements shall be provided and maintained at all locations where such work is being performed.

25. HOURS OF WORK

- A. No person shall be employed to work or be permitted to work more than eight (8) hours in any day or more than forty (40) hours in any week on any work provided for in this Contract.
- B. The operation of such limitation of hours of work may be suspended during an emergency, upon the approval of the Commissioner.

26. MATERIALS: STANDARDS

- A. Unless otherwise specifically provided for in the Contract Documents, all equipment, materials, and articles incorporated in the Work are to be new and of the best grade of their respective kinds for the purposes. Wherever in the Contract Documents a particular brand or make of material, device or equipment is shown or specified, such is to be regarded as the standard. If two or more brands are shown or specified, they are to be regarded as equal.
- B. Any other brand or make of material, device, or equipment which, in the opinion of the Commissioner, is the equal in substance and function to that specified, considering finish, workmanship, durability, economy of operation and suitably for the purposes intended, will be accepted.
- C. Prior approval by the Commissioner for the use of other than specified materials, devices or equipment shall be obtained before the Contractor proceeds with the work. The Commissioner's decision in this regard shall be final and binding on the Contractor.
- D. No extension of time will be allowed for the time required for consideration of any article or material proposed as a Substitute by the Contractor; neither will any extension of time be allowed nor any responsibility be assumed by the DEEP when the Contractor submits a request for changes in articles or materials or form of construction from those shown or specified, whether such request be granted or denied.
- E. The Contractor shall purchase no materials or supplies for the Work which is subject to any chattel mortgage or which is under a conditional sale or other agreement by which an interest is retained by the seller. The Contractor warrants that the Contractor has good title to all materials and supplies used in the Work.
- F. Existing materials on site which can be approved for use or re-use for work under this Contract shall be used or reused whenever possible. The actual quantities of existing materials that are used in the work shall be measured and the value of such material shall be negotiated and be factored into the quantities estimates for payment requisitions so that the State receives credit for the value of such materials.

27. SUBSTITUTE MATERIALS

The Commissioner and/or Project Engineer reserve the right to reject a proposed Substitute Material. If required, the Contractor must submit data from either the material supplier / manufacturer or a testing laboratory certifying that the proposed material is equivalent to the material specified in the Contract documents. In addition, the Commissioner and/or the Project Engineer may require that such

material have been used and approved by the Connecticut Department of Transportation on other projects successfully under similar conditions for up to two (2) years, and the Project Engineer must observe a location of such usage of the material and validate its performance. The Commissioner reserves the right to withhold payment for any Substitute Material for up to one year while the Substitute Material is confirmed to function as designed.

28. ROYALTIES AND PATENTS

- A. If the Contractor desires to use any design, device, material, or process covered by a patent or copyright, the Contractor shall provide for such use by suitable legal agreement with the holder of such patent or copyright. The Contractor shall furnish a copy of this legal agreement to the DEEP.
- B. The Contractor and the Surety shall indemnify and hold harmless the DEEP for any costs, expenses, and damage which it may be obligated to pay by reason of any infringement of a patent or a copyright at any time during the prosecution or after the completion of Work.

29. DELIVERY, STORAGE AND HANDLING

All materials and equipment shall be delivered, stored and handled so as to prevent intrusion of foreign matter and any damage by weather or breakage. Packaged materials shall be delivered and stored in original packaging. Packages, materials and equipment showing evidence of damage shall be rejected and replaced at no additional cost to the DEEP.

30. FOREIGN MATERIALS

- A. Preference shall be given to articles or materials manufactured or produced in the United States, conditions of quality and price with duty being equal.
- B. Only domestic articles or materials will be used unless a statement is submitted with the proposal that enumerates the foreign articles or materials proposed to be used and such proposal is accepted by the DEEP. The foregoing provisions shall not apply to foreign articles or materials required by the Contract Documents.

31. CUTTING, FITTING, PATCHING AND DIGGING

- A. The Contractor shall perform, or shall require the subcontractors to perform, all cutting, fitting or patching of the portion(s) of the Work that may be required to make the several parts thereof join and coordinate in a manner satisfactory to the Commissioner and in accordance with the Plans and Specifications.
- B. The primary responsibility for defective or ill-timed work shall be with the Contractor, but such responsibility shall not in any way relieve the subcontractors who performed such work. Except with the consent of the Commissioner, the Contractor will not permit any of the subcontractors to cut or alter the work of any other contractors or their subcontractors.

32. DISPOSAL OF SURPLUS AND UNSUITABLE MATERIAL

The Contractor shall obtain an off-site disposal site, satisfactory to the Commissioner, at the Contractor's own expense for disposal of surplus and unsuitable materials. The Contractor shall obtain any required permits and pay the costs associated with removing and transporting the material.

33. REMOVAL OF REJECTED OR CONDEMNED MATERIALS

The Contractor shall remove from the site of work, without delay, all rejected and condemned materials of any kind brought to or incorporated in the Work. No such rejected or condemned materials shall again be offered for use by the Contractor.

34. CONSTRUCTION EQUIPMENT

- A. The Contractor shall furnish and maintain, at the Contractor's own cost and risk, all the equipment and utilities and fuel necessary for the construction, control of water, and safety of personnel during the execution of the Work of this Contract. This includes providing, installing, and maintaining all the tools, apparatus, appliances, hoists, cranes, coffer dams, sheet piling, scaffolding, runways, ladders, temporary supports and bracing and all similar items necessary for access to the work and safe construction and inspection activities. All such items shall be subject to the approval of the Commissioner as to general stability, type and location, but the responsibility for proper design, strength and safety shall remain with the Contractor. All such items shall comply with OSHA regulations and all other applicable codes, statutes, rules and regulations.
- B. The Contractor shall provide all drains, drainage, ditches and pumping apparatus (including power and attendance for same) that may be necessary to keep all excavations and subgrade work free from water.

35. INSPECTION AND TESTS

- A. The purpose of the inspections and tests will be to assure that the Work is performed in accordance with the Contract documents.
- B. All material and workmanship, if not otherwise designated by the Specification, shall be subject to inspection, examination and test by the DEEP at any and all times during manufacture and/or construction and at any and all places where such manufacture and/or construction is carried on. All tests shall be made at the Contractor's expense, except that laboratory tests will be carried out and paid for by the DEEP, unless they show the Work to be defective. Notice of the time of all tests to be made at the site shall be given to all interested parties.
- C. Without additional cost to the DEEP, the Contractor shall promptly furnish reasonable facilities, labor and materials necessary to coordinate and perform operational tests and checkout of the Work and to make all such testing safe and convenient. Special, full size and performance tests shall be as described in the Specifications.
- D. If, at any time before final acceptance of the Work, the Commissioner considers it necessary or advisable to examine any portion of the Work already completed by removing or tearing out the same, the Contractor shall, upon request, furnish promptly all necessary facilities, labor and materials. If such Work is found to be defective in any material respect, as determined by the DEEP, because of a fault of the Contractor or any of the Contractor's subcontractors, or if any work shall have been covered over without the approval or consent of the Commissioner (whether or not it is found to be defective), the Contractor shall be liable for testing costs and all costs of correction, including removal and/or demolition of the defective work, including labor, material, testing services of required consultants, additional supervision and administrative costs.

36. UTILITIES

- A. The accuracy and completeness of any utility information shown on the Plans is not guaranteed. The Contractor shall investigate the extent and location of utilities and of the possibility of relocation work by the utility companies and shall plan operations accordingly. No claim for any delays, damage or extra work occasioned thereby will be allowed.
- B. The Contractor shall allow others access to the Work for the purpose of placing, relocating or maintaining utilities, and shall cooperate in every way in the performance of this work.
- C. The Contractor shall notify the utility owners well in advance of the time the Contractor proposes to perform any work which would endanger their installations and shall cooperate with the utility owners in relocating and/or protecting such installations during construction operations.
- D. No payment will be made to the Contractor for locating, protecting and making arrangements for relocating public utilities or for any delays caused thereby. The Contractor shall include all costs of this work in other scheduled items of the Contract.
- E. The Contractor must contact Call Before You Dig at least two days prior to commencing any excavation on the site (toll free in Connecticut at 1-800-922-4455).

37. SURVEYS, PERMITS AND REGULATIONS

- A. Unless otherwise provided for in the Contract Documents, the Contractor shall furnish all surveys necessary for the execution of the Work. Surveys shall be performed by a licensed land surveyor. The DEEP will furnish the Contractor with one benchmark and necessary survey control, i.e., baseline. The Contractor shall complete the layouts from this data.
- B. The Contractor shall obtain and pay for permits and licenses necessary for the execution of the Work and the use of the completed Work.
- C. The Contractor shall give all notices and comply with all laws, statutes, ordinances, rules and regulations relating to the performance of the Work.
- D. The Contractor shall perform all layout work, field measurements and construction staking as may be required for the satisfactory execution of the Work as shown on the Plans and as specified herein.

38. PROTECTION OF THE WORK, PERSONS AND PROPERTY

- A. The Contractor shall continuously and adequately protect the Work against damage from any cause, shall protect all materials and supplies furnished by the Contractor or subcontractors, whether or not incorporated in the Work, and shall make good any damage, unless it is directly due to errors in the Contract Documents or is caused by agents or employees of the DEEP.
- B. To the extent required by law, public authority or made necessary in order to safeguard the health and welfare of the personnel or occupants of any state institutions, the Contractor shall adequately protect adjacent property and persons, and provide and maintain all facilities, including but not limited to passageways, guard fences, lights, barricades, and other facilities necessary for such protection.

- C. The Contractor shall take all necessary precautions for the safety of employees on the Work and shall comply with applicable provisions of federal, state, and municipal safety laws and building codes to prevent accidents or injury to persons on, about or adjacent to the Work site.
- D. The Contractor shall erect and properly maintain at all times, as required by the conditions and progress of the Work, all necessary safeguards for the protection of workers and the public and shall post danger signs warning against the hazards created by such things as protruding nails, well holes, elevator hatchways, scaffolding, window openings, excavations, tripping hazards, stairways and falling materials.
- E. The Contractor shall designate a qualified and responsible on-site staff person, whose duty shall be the prevention of accidents. The name and position of the designated person shall be reported to the DEEP at the commencement of the site Work.
- F. At all times the Contractor shall protect excavations, trenches, buildings and all items of the Work from damage by rain, water from melted snow or ice, surface water runoff, and subsurface water usual for the vicinity at the time of operations; and provide all pumps and equipment and enclosures to insure such protection.
- G. The Contractor shall construct and maintain all necessary temporary drainage and do all pumping necessary to keep excavations, basements, footings and foundations free of water.
- H. The Contractor shall remove all snow and ice as required for proper protection and execution of the Work.
- I. The Contractor shall install bracing, shoring, sheathing, sheet piling, coffer dams, caissons and any other underground facilities required for safety and proper execution of the Work, and shall remove them when no longer necessary. All such bracing, shoring, cofferdams, etc. shall be designed by an engineer licensed to practice in the State of Connecticut.
- J. During cold weather the Contractor shall protect the Work from damage. If low temperatures make it impossible to continue operations safely in spite of cold weather precautions, the Contractor may cease work, upon the approval of the Commissioner.
- K. The Contractor shall be held responsible for damage to any property or utilities caused by his operations.

39. WORK IN INCLEMENT WEATHER

During freezing, stormy and inclement weather no work shall be performed except as can be done satisfactorily and in such manner as to secure first-class construction throughout. In the event that the Contractor must suspend work due to inclement weather conditions, the Contractor shall protect the completed portions of the Work so that no damage will occur. See Article #9 subparagraph D for additional winter shutdown requirements.

40. DUST AND SPILLAGE CONTROL

- A. The Contractor shall take appropriate measures to control the generation and migration of dust from the Contractor's activities at the site. Water for dust control shall be provided and applied whenever required or as ordered by the Project Engineer or Commissioner.

- B. All vehicles utilized by the Contractor for delivery or removal of materials shall have appropriate covers to prevent spillage of material during transit.

41. WINTER EROSION CONTROL MEASURES

Seeding and plantings shall be performed March 15 to June 15 or August 15 to October 15. The Contractor shall submit a Winter Erosion Control Plan to the Project Engineer for approval prior to the start of construction. This plan shall indicate the methods and materials which shall be used during the winter months to prevent erosion, scour and general deterioration of the project and adjacent flora and fauna.

42. PROPERTY PROTECTION AND RESTORATION

Any property, including structures, utilities, access roads, driveways, drainage facilities, fences, etc., which is damaged by the Contractor's operations, shall be restored to its original condition at the Contractor's expense.

43. PROTECTION OF ENVIRONMENTAL RESOURCES

The environmental resources within the project boundaries and those affected outside the limits of permanent Work under this Contract shall be protected during the entire period of this Contract. The Contractor shall confine activities to areas defined by the Plans and Specifications. Environmental protection shall be as stated in the following subparagraphs:

- A. Prior to any construction, the Contractor shall identify all land resources to be preserved within the Contractor's work area. The Contractor shall not remove, cut, deface, injure or destroy land resources including trees, shrubs, vines, grasses, topsoil and land forms without special permission from the Commissioner. No ropes, cables or guys shall be fastened or attached to any trees for anchorage unless specifically authorized by the Project Engineer. Where such special emergency use is permitted, the Contractor shall provide effective protection for land and vegetation resources at all times as defined in the following subparagraphs.
- B. Prior to any construction, the Contractor shall mark the areas that are not required to accomplish the Work to be performed under this Contract. Isolated areas within the general work area which are to be saved and protected shall also be marked or fenced. Monuments and markers shall be protected before construction operations commence. Where construction operations are to be conducted during darkness, the markers shall be visible.
- C. Trees, shrubs, vines, grasses, landforms and other landscape features indicated and defined on the Plans to be preserved shall be clearly identified by marking, fencing or wrapping with boards, or any other approved techniques.
- D. Earthwork brought to final grade shall be finished as indicated and specified. Side slopes and back slopes shall be protected as soon as practicable upon completion of rough grading. All earthwork shall be planned and conducted to minimize the duration of exposure of unprotected soils. Except in instances where the constructed feature obscures borrow areas, quarries and waste material areas, these areas shall not initially be cleared in total. Clearing of such areas shall progress in reasonably sized increments as needed to use the areas developed as approved by the Commissioner.
- E. Runoff from the construction site shall be controlled by the construction of diversion ditches, benches and berms to retard and divert runoff to protected drainage courses, and any measures

required by area wide plans approved under Paragraph 208 of the Clean Water Act.

- F. The Contractor shall construct or install all temporary erosion control features as indicated on the Plans. Temporary erosion control measures such as berms, dikes, drains, grassing and mulching shall be maintained until construction of the project is completed.
- G. The Contractor's field offices, staging areas, stockpile storage and temporary buildings shall be placed in areas designated on the submitted Plan. Temporary movement or relocation of the Contractor's facilities shall be made only on approval by the Commissioner.
- H. Borrow areas shall be managed to minimize erosion and to prevent sediment from entering nearby watercourses.
- I. Spoil areas shall be managed and controlled to limit spoil areas and to prevent erosion of soil or sediment from entering nearby watercourses. Spoil areas shall be developed in accordance with the grading plan indicated on the Plans.

44. NONCOMPLIANCE WITH ENVIRONMENTAL LAWS, ETC.

The Commissioner will notify the Contractor in writing of any observed noncompliance with the aforementioned Federal, State or Local laws or regulations and other elements of the Contractor's Environmental Protection Plan. The Contractor shall, after receipt of such notice, inform the Commissioner of proposed corrective action and take such action as may be approved. If the Contractor fails to comply promptly, the Commissioner may issue an order stopping all or part of the work until satisfactory corrective action has been taken. No time extensions shall be granted or costs or damages allowed to the Contractor for any such suspension.

45. CLEAN UP

- A. The Contractor shall, on a daily basis, keep the Work site free from accumulations of waste material or rubbish.
- B. At the completion of the Work, the Contractor shall remove all rubbish from and about the site of the Work. The Contractor shall also remove all temporary structures, tools, scaffolding and surplus materials, supplies and equipment that the Contractor or any subcontractors may have used in the performance of the Work. In case of dispute, the DEEP may remove the rubbish and charge the cost of such removal to the Contractor.

SUPPLEMENTAL CONDITIONS

1. Definitions: The terms used herein are as defined in the General Conditions of a Construction Contract.
2. Project Specific Conditions:
 - A. Project Details: Seymour No. 4 Dam Improvements
 - B. Location of Project: Oxford, CT
 - C. Contract Expiration Date: 420 Calendar Days after Contract Execution
 - D. Project Engineer: Tata & Howard, Inc.
 - E. Temporary Utilities: Contractor is required to provide temporary electricity for whatever construction needs he may have. In addition, the Contractor shall provide necessary toilet accommodations and drinking water for the workers. Separate toilet facilities are required if women are employed at the site. be accessed where shown on the plans.
 - F. Site Trailer: The Contractor shall not be required to provide a trailer on site for the DEEP representative and for the Engineer.
 - G. Construction Pictures: The Contractor shall provide a comprehensive series of construction photographs showing different views of the progress of the work from the same vantage points and key elements of construction. Photographs shall be taken with a digital camera acceptable to the DEEP/WPMD, not modified or edited, and at least 100 shall be taken over the course of each month. Photographs shall indicate the subject and date taken of each picture and delivered each month to the Engineer on a card or USB drive.
 - H. Progress Meetings: Progress meetings will be held weekly at the job site for the purpose of reviewing, scheduling and coordinating the project's progress as well as other construction related matters.
 - I. Liquated Damage Rate Per Day: \$1,500.00
3. Commissioner: For the purposes of this Contract, "Commissioner" means the Commissioner of the Connecticut Department of Energy & Environmental Protection or designee.

4. Work: The Contractor shall perform the work in accordance with this contract, including all documents incorporated by reference, and all work required by Change Orders, and/or amendments to the contract.
5. Documents Incorporated by Reference: The parties to this contract, as part of the consideration hereof, agree that the following documents are incorporated herein by reference and made a part hereof and available at DEEP:
 - a. Bid Package which contains the Invitation to Bid, Instructions to Bidders, Proposal Form, Standard Bid Bond, Statement of Bidder's Qualification, Notice to Bidders, Instructions to Lowest Qualified Bidder, Wage Rates, Contract Compliance Information and Forms, Certificate of Insurance, Performance Bond, Labor and Material Bond, and any Addenda(s) to the Bid Package;
 - b. Technical Specifications: "Detailed Specifications for the Seymour No. 4 Dam Improvements"
 - c. Plans Entitled: "Seymour No. 4 Dam Improvements" dated February 2026
 - d. General Conditions of a Construction Contract: Work is to be performed in accordance with the General Conditions, which describe the conditions and how and when the work is to be performed.
 - e. Supplemental Conditions: The General Conditions are extended and modified by the Supplemental Conditions which include project specific conditions and special requirements applicable to all portions of the Work.
6. Contract Documents: The Contract Documents are complementary, and neither party to the Contract shall take advantage of any obvious error or apparent discrepancy in the Contract Documents. The Contractor shall give immediate written notification of any error or discrepancy discovered to the Project Engineer, who shall take the necessary actions to obtain such corrections and interpretations as may be deemed necessary for the completion of the Work in a satisfactory and acceptable manner. Where discrepancies or conflicts occur in the Contract Documents the following order of precedence shall be utilized:
 - a. Addenda to the Plans and Technical Specifications shall take precedence over previously issued Contract Documents.
 - b. Specifications shall take precedence over the Plans.
 - c. Stated dimensions shall take precedence over scaled dimensions.
 - d. Large-scale detail drawings shall take precedence over small-scale drawings.
 - e. Schedules shall take precedence over other data on the Plans.
7. Compliance with Local, State, and Federal Authority: The Contractor shall ensure the Project is in full compliance with all Local, State, and Federal laws and requirements for permitting or authorizations necessary for the work, including those for Flood Management and the NFIP.
8. Documents Furnished: Contractor will receive a pdf version of the contract documents for his use. Contractor will be responsible for printing any copies of the Plans and Specifications from the submitted pdf version.

9. Prior Approvals Needed for Subcontracts, Schedules, Shop Drawings, Plans, etc.: The Contractor shall obtain written approval from the Project Engineer and the Commissioner for all subcontracting, schedules, shop drawings, supplemental plans, and designs needed for the Construction Activity, prior to undertaking the related work.
10. Notice to Proceed / Contract Work Time: Following Contract approval, the Commissioner will issue written notice to the Contractor in the form of a Notice to Proceed, stating the Contract Work Time and establishing the Work Start Date and Work End Date. The Notice to Proceed authorizes the Contractor to proceed with the Work associated with the Contract. The Contractor shall submit the following within one (1) week of receipt of Notice to Proceed:
 - a. Schedule of Values: A Schedule of Values for the lump sum bid items for use when estimating periodic payments. The sum of the unit cost items and the Schedule of Values items shall equal the Total Bid Amount. The Schedule of Values shall break down the lump sum bid items into measurable quantities with unit costs and must reflect the true costs and be in sufficient detail to be an effective tool for monitoring the progress of the Work. Upon request, the Contractor shall supply to the Commissioner copies of supportive documentation, such as signed contracts or vendor quotations, which documents form the basis of the values assigned to the bid items.
 - b. Environmental Protection Plan: An Environmental Protection Plan for the approval of the Commissioner in accordance with the provisions herein specified. The Environmental Protection Plan shall include but not be limited to the following:
 - i. A list of Federal, State and Local laws and regulations concerning environmental protection, pollution control and abatement that are applicable to the Contractor's proposed operations and the requirements imposed by those laws and regulations.
 - ii. Methods for protection of features to be preserved within authorized work areas. The Contractor shall prepare a listing of methods to protect resources needing protection, i.e., trees, shrubs, vines, grasses and groundcover, landscape features, air and water quality, fish and wildlife, soil, historical, archeological and cultural resources.
 - iii. Procedures to be implemented by the Contractor to provide the required environmental protection and to comply with applicable laws and regulations. The Contractor shall set out the procedures to be followed to correct pollution of the environment due to accident, natural causes or failure to follow the procedures set out in accordance with the Environmental Protection Plan.
 - iv. The location of the nearest suitable solid waste disposal area and a permit allowing the Contractor to use those facilities.
 - v. Drawing showing locations of any proposed temporary excavations or embankments for haul roads, stream crossings, material storage areas, structures, sanitary facilities, and stockpiles of excess or spoil materials.
 - vi. Environmental monitoring plans for the job site, including land, water, air and noise monitoring as necessary, and if required by the Project Engineer.

- vii. Traffic control plan when necessary.
 - viii. Methods of protecting surface and ground water during construction activities.
 - ix. Work area plan showing the proposed activity in each portion of the area and identifying the areas of limited use or nonuse. The plan should include measures for establishing the limits of use areas.
 - c. Water Handling / Control Plan: The Contractor is responsible for all dewatering required to complete the Contract. This includes, but is not limited to pumping, wellpoints, trenches, excavations, water control structures and cofferdams, which may be required to properly complete the Work. Particular attention is called to the fluctuation of water levels due to precipitation. No extra compensation will be allowed due to water level fluctuation. The Contractor shall submit the Water Control Plan via the Project Engineer for the approval of the Commissioner within one (1) week after the Notice to Proceed. See above Item 5.B - Technical Specifications.
 - d. Soil Erosion and Sediment Control Plan: All watercourses shall be protected from sedimentation, both during and after construction. The Contractor shall control erosion and sedimentation problems in accordance with the 2023 Connecticut Guidelines For Soil Erosion and Sediment Control (available at local libraries) or download at: [SESCG_CleanFinal.pdf\(ct.gov\)](#), prepared by The Connecticut Council on Soil and Water Conservation in cooperation with the Connecticut Department of Energy and Environmental Protection. The Contractor shall submit a plan showing the proposed Sediment and Erosion Control measures via the Project Engineer for the approval of the Commissioner within one (1) week after the Notice to Proceed.
11. Certificate of Insurance/Performance Bond/Labor and Material Bond: Prior to commencement of any Work on the site, the Contractor is required to submit the signed Certificate of Insurance, Performance Bond, and Labor and Material Bond forms; available in Bid Package, see Item 5 A above.
12. Construction Project Schedule:
- a. Within one (1) week after receipt of the Notice to Proceed, and prior to commencement of any Work on site, the Contractor shall prepare a construction progress schedule. The construction progress schedule shall indicate proposed scheduling of the items of Work listed in the Technical Specifications such that the Work is completed by the Work End Date. The schedule shall also indicate the activities of all subcontractors to be utilized and the portions of the Work that they will be performing.
 - b. Within one (1) week after the Notice to Proceed, the Contractor shall initiate meetings with the Project Engineer and the Commissioner to present and evaluate the Construction Progress Schedule. The Contractor shall submit three (3) copies of the agreed upon Construction Progress Schedule to the Commissioner and one copy to

the Project Engineer.

- c. The Contractor shall continually, or at least weekly, evaluate the progress of the Work, comparing it to the schedule. If the Work is found to be behind schedule, the Contractor shall within three working days, initiate a meeting with all involved parties to reevaluate and revise the Construction Progress Schedule. Any time the Construction Progress Schedule is revised significantly either by alteration of priority or by Change Order, the Contractor shall submit the revised schedule to the Commissioner and Project Engineer.
13. Duration of the Project: All Work shall be performed within the period of calendar days defined in the General Conditions as the Contract Work Time and completed by the Work End Date as stated in the Notice to Proceed.
14. Address / Contact for Submission of Materials: For the purposes of this Contract, all correspondence, reports, products and/or change order requests shall be submitted to:

WPMD Department Representative: James Heaven

**Connecticut Department of Energy & Environmental Protection Bureau of
Water Protection and Land Reuse
Water Planning and Management Division 2nd Floor
79 Elm Street Hartford, CT 06106-5127**

15. Subcontracting Coordination: The Contractor is responsible for and shall control the activities of the Contractor's subcontractors and notify the Commissioner of all proposed subcontractors at least two weeks prior to award. The Commissioner reserves the right to disapprove subcontract awards. The subcontractors shall consult and cooperate with one another. Each subcontractor shall furnish all necessary information to other subcontractors and shall lay-out and install their own work so as to avoid any delays or interference with the work of others by failure to observe the above coordination requirements shall be borne by the Contractor.
16. Change Orders: The parties agree that the Commissioner may order changes in the contract work, including changes in quantities and alterations in work or work days, which are necessary for satisfactory completion of the project, without invalidating any provision of the contract, and without providing notice to the sureties, provided that the Commissioner authorizes the work change on a written Change Order form, and providing that the Commissioner does not exceed the funding limits for the project.

The Contractor shall submit in writing, to the Commissioner via the Project Engineer, all requests for changes in the quantities and alterations in the work including changes in workdays, on a Change Order Form (available at DEEP). The request must contain a detailed description of all changes requested, the reasons that the changes are necessary to satisfactorily complete the project, and all costs associated with the proposed changes, including quantities of and unit prices for the work and for any subcontracted work involved.

Failure of the Contractor to negotiate in good faith issues of the time and costs or failure of the Contractor to provide requested documentation within fourteen (14) days, or an

alternate time period accepted by the Commissioner, may result in the Commissioner issuing a unilateral Change Order in an amount deemed to be fair and equitable by the Commissioner.

The Commissioner has discretion to approve or disapprove the Contractor's request for a Change Order. If the request is approved, the Commissioner will provide the Contractor with a fully executed Change Order.

Upon receipt of the Change Order, the Contractor shall proceed with the work as provided in the Change Order. Work associated with a Contractor's requested change that begins before the Contractor has received the Commissioner's Change Order shall be at the Contractor's risk, and the Contractor may not be compensated for it. The amount of compensation to be paid to the Contractor for any deleted or additional work authorized by a Change Order shall be in accordance with the methods contained in the General Condition, Article 15 Change Order/Compensation, incorporated by reference.

17. Corrected Plans and Specifications: Following completion of the Project, the Contractor shall submit to the Project Engineer one (1) corrected set of Plans and Specifications (Plans, Specifications, Addenda, approved Shop Drawings, Change Orders and other Modification, Schedules and Instruction).
18. Change in the Principal Superintendent: Any changes in the Principal Superintendent, who was identified on the bidding documents as available to oversee this work, must be requested in writing and approved in writing by the Commissioner. In the event of any unapproved change in the Principal Superintendent, the Contract may be terminated or suspended at the Commissioner's sole discretion.
19. Periodic Payments:
 - a. The Contractor may submit periodic payment invoice requests no more than once a month to the Commissioner via the Project Engineer. The partial payment invoice requests shall be subdivided into items that correspond with the bid items in the proposal form and the approved Schedule of Values. Each periodic payment invoice request may include estimates of the value of the work completed to date and for materials suitably stored on the site.
 - b. The Project Engineer shall review the periodic payment invoice requests and documentation for accuracy, completeness, and compliance with the Contract and provide a recommendation to the Commissioner on whether to approve payment. The Project Engineer shall notify the Contractor of any discrepancies and/or problems with the invoice and/or the documentation and give the Contractor an opportunity correct the invoice and/or submit supporting documentation as agreed upon.
 - c. Upon approval of the periodic payment invoice, the Commissioner shall endeavor to make the payment of a Properly Executed Invoice within forty-five (45) days.
 - d. In making such periodic Payments for the Work, the Commissioner shall deduct two- and one-half percent (2.5%) of the estimated amount of each Partial Payment and retain it until the completion of the entire Contract in an acceptable manner. Reference is hereby made to Connecticut General Statute 49-41b.

20. Statement of Amounts Due: With any request for a Periodic Payment, the Commissioner reserves the right to require the Contractor to submit written, verified statements, in a form satisfactory to the Commissioner, showing in detail all amounts then due and unpaid by the Contractor or subcontractors for wages to persons employed by them under the Contract for the performance of the Work at the site, or to other persons for materials, equipment, or supplies delivered at the site.
21. Department of Energy & Environmental Protection's Right To Withhold Payments:
- a. The Commissioner may withhold a portion of any Periodic Payment due the Contractor that may, in the judgment of the Commissioner, be necessary:
 - i. To assure the payment then due and unpaid to any persons supplying labor or materials for the work.
 - ii. To protect the Commissioner from loss due to defective, unacceptable or non-conforming work not remedied by the Contractor.
 - iii. To protect the Commissioner from loss due to injury to persons or damage to the work or property of other contractors, subcontractors or others caused by the act or neglect of the Contractor or any of the Contractor's subcontractors.
 - b. The Commissioner may apply any amount withheld under this Article, as the Commissioner may deem proper. The amount withheld shall be considered a payment to the Contractor.
22. Final Payment Approval:
- a. Upon the completion of the work, the Project Engineer and Contractor shall make final measurements of all quantities of unit priced work and shall confirm that all lump sum work has been completed in accordance with the Contract. The Contractor shall submit a final payment requisition with the final amount (including Change Orders) to the Commissioner via Project Engineer. The final payment requisition shall be subdivided into items that correspond with the Work Items in the proposal form and Technical Specifications and shall include documentation of the final quantities and completeness of the Work and shall list all approved Change Orders.
 - b. The Project Engineer shall review the final payment invoice and documentation for accuracy, completeness, and compliance with the Contract and provide a recommendation to the Commissioner on whether to approve payment. The Project Engineer shall notify the Contractor of any discrepancies and/or problems with the invoice and/or the documentation and give the Contractor an opportunity correct the invoice and/or submit supporting documentation as agreed upon.
 - c. Upon approval of the final payment invoice, the Commissioner shall endeavor to make the payment of a Properly Executed Invoice within forty-five (45) days.
 - d. Upon approval of the final payment requisition, the Commissioner will authorize the Final Payment for the Final Contract Value that includes approved Change Orders and other adjustments. In making such final payment for the Work two- and one-half percent (2.5%) of the final amount shall be deducted and retained by the Commissioner. The retainage will be held for a period of time as determined by the Commissioner to be necessary to ensure that the Work is satisfactory and that all

conditions at the work site are acceptable. Reference is hereby made to Connecticut General Statute Section 49-41b.

- e. All prior estimates and payments, including those relating to extra or additional work, shall be subject to correction by this Final Payment.
 - f. No payment, final or partial, shall act as a release to the Contractor or the Contractor's Surety from any obligations under this Contract.
23. Overpayment: The total of all payments released from the Commissioner shall not exceed the Final Contract Value. The Final Contract Value is based on the final measured and accepted Work Items completed and includes approved Change Orders. Should total payments exceed the Final Contract Value, the overpaid funds must be returned to the Connecticut Department of Energy and Environmental Protection through a check made payable to "DEEP" within 30 days of written notice of overpayment.
24. Recording and Documentation of Receipts and Expenditures: The Contractor shall implement accounting procedures that provide for accurate and timely recording of all expenditures. Controls must be established which are adequate to ensure that expenditures under this Contract are for allowable purposes and that documentation is readily available to verify that such charges are accurate.
25. Amendment to the Contract: Formal written amendment of this Contract is required to change the terms and conditions of this Contract and any prior amendments, except for changes in work authorized by Change Orders in a construction contract.
26. Campaign Contributions: For all State contracts as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See attached SEEC Form 11.
27. Summary of State Ethics Laws: Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of the Contract as if the summary had been fully set forth in the Contract.
28. Officials Not to Benefit: No member of or delegates to the Congress of the United States of America, no resident Commissioner, and no elected or appointed municipal official shall be admitted to any share or part hereof or to any benefit to arise here from.
29. Severability: The provisions of this Contract are severable. If any part of it is found unenforceable, all other provisions shall remain fully valid and enforceable, unless the unenforceable provision is an essential element of the bargain.
30. Forum and Choice of Law: The Contract shall be deemed to have been made in the City of Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court

decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor 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.

31. Subletting or Assigning Of The Contract: The Contractor shall not assign any interest in this Contract, and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of the Commissioner thereto: provided, however, that claims for money due or to become due the Contractor from the Commissioner under this Contract may be assigned to a bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished promptly to the Commissioner.
32. Indemnify / Hold Harmless: The Contractor shall at all times indemnify and save harmless the State of Connecticut, including the Department of Energy & Environmental Protection, and their respective officers, agents and employees, on account of any and all claims, damages, losses, litigation, expenses, counsel fees and compensation arising out of injuries (including death) sustained by or alleged to have been sustained by the officers, agents and employees of said State or Department, or of the Contractor, the Contractor's subcontractors or suppliers, and from injuries (including death) sustained by or alleged to have been sustained by the public, any or all persons on or near the Work, or by any other person or property, real or personal (including property of said State or Department) caused in whole or in part by the acts, omissions or neglect of the Contractor including but not limited to any neglect in safeguarding the Work or through the use of unacceptable materials in constructing the Work of the Contractor, any subcontractor, supplier or anyone directly employed by them or any of them while engaged in the performance of the Contract, including the entire elapsed time from the date of the Notice to Proceed or the actual commencement of the Work whichever occurs first until its completion as certified by the Department of Energy & Environmental Protection.
33. Termination: This agreement shall remain in full force and effect for the entire term of the contract period stated unless terminated by the Commissioner giving the Contractor written notice of such intention at least 30 days in advance. The Commissioner may terminate the Contract whenever the Commissioner determines that such termination is in the best interests of the State. Any such termination shall be effected by delivery to the Contractor of a written Notice of Termination specifying the extent to which performance of Work under the Contract is terminated, and the date upon which such termination shall be effective. The Commissioner reserves the right to recoup any overpayments if the contract is terminated.
 - a. In the event of such termination, the Contractor shall be entitled to reasonable compensation as determined by the Commissioner, however, no claim for lost overhead or profits shall be allowed.

- b. In the event of such termination, the Commissioner may take possession of and use materials and equipment on the site to complete the Work.
 - c. Materials obtained by the Contractor for the Work that have been inspected, tested as required and accepted by the Commissioner, and that are not incorporated into the Work, shall, at the option of the Commissioner, be purchased from the Contractor at actual cost as shown by receipted bills. To this cost shall be added all actual costs for delivery at such points of delivery as may be designated by the Commissioner, as shown by actual cost records.
 - d. Termination of the Contract shall not relieve the Contractor or its Surety of their responsibilities for the completed Work, nor shall it relieve the Contractor's Surety of its obligations to ensure completion of the Work and to pay any legitimate claims arising out of the Work.
34. Suspension of Work On The Contract: The Commissioner has the authority to suspend the Work wholly or in part, for such period or periods as the Commissioner considers to be in the best interests of the State, or in the interests of public necessity, convenience or safety. The Work suspension or delay order shall be issued by the Commissioner in writing. The Contractor shall cease operations upon receipt of such order. Work shall not resume until the Contractor receives a written notice from the Commissioner to resume the Work. During such periods the Contractor shall store all project materials and equipment in such a manner as to prevent them from being in any way damaged, lost or stolen, and the Contractor shall take precautions to protect the Work from damage.
- a. If the Contractor believes that the suspension or delay was for an unreasonable period of time (i.e. not originally anticipated, customary or inherent in the construction industry) and the Contractor believes that additional compensation and/or Contract Work Time is due as a result of such suspension or delay, the Contractor shall submit to the Commissioner, in writing, a request for a Change Order within seven (7) calendar days of receipt of the notice to resume work. The Change Order request shall set forth the specific reasons for adjustments to the Contract Work Time and Final Contract Value. Adjustments to the Final Contract Value may not include profit.
 - b. The Commissioner shall evaluate any such Change Order requests received. If the Commissioner agrees (a) that the cost and/or time required for the performance of the Work has increased as a result of such suspension and (b) that the suspension was caused by conditions beyond the control of and not the fault of the Contractor, its suppliers or subcontractors, and was not caused by weather, and that the requested adjustments are fair and correct, then the Commissioner may approve the Change Order.
 - c. No Contract adjustment will be made under this Article to the extent that (a) performance would have been suspended or delayed by any other cause within the Contractor's control or by any factor for which the Contractor is responsible under the Contract; or (b) such an adjustment is provided for or excluded under any other term or condition of this Contract.

SECTION III.B. SPECIFICATIONS

Page(s)

- General Requirements (13 pages)
- Technical Specifications (S-1 through S-14)

U.S. Army Corps of Engineers, General Permit Verification Letter; File Number NAE-2023-00351; 10/25/2024

CT DEEP Dam Bureau of Water Protection and Land Reuse, Dam Safety Emergency Authorization;
Authorization No. DS-202506378-01EA; 12/24/2025

Appendix A: Boring Logs

STATE OF CONNECTICUT

SEYMOUR NO. 4 DAM
IMPROVEMENTS
OXFORD, CONNECTICUT

GENERAL REQUIREMENTS

1. Scope of Work

The Contractor shall provide all labor, superintendence, materials (except materials to be furnished by the Owner), plant, tools, and equipment necessary for properly constructing within the time stipulated, the Seymour No. 4 Dam Improvements and all other work necessary for the proper completion of the project as shown on the Contract Drawings and specified herein.

2. Standards

Wherever reference is made in this Contract to the Standard of any technical society or other recognized organization, these shall be construed to mean the latest standard adopted and published at the date of advertisement for bids.

Abbreviations are defined as follows:

ASTM	- American Society for Testing and Materials
ANSI	- American National Standards Institute
ASA	- American Standards Association
ACI	- American Concrete Institute
AASHTO	- American Association of State Highway and Transportation Officials
ASME	- American Society of Mechanical Engineers
IEEE	- Institute of Electrical and Electronics Engineers
AWWA	- American Water Works Association
ACPA	- American Concrete Pipe Association
NEMA	- National Electrical Manufacturers Association

3. Lines and Grades

The Engineer will establish the location of structures and one benchmark at the dam; and will make surveys and measurements necessary for determining pay quantities. The Contractor shall provide such assistance as the Engineer may require for the principal layout work and measurements for determining pay quantities.

All intermediate lines, grades, measurements, etc., required for the construction shall be established by the Contractor, but will be checked by the Engineer whenever decided necessary, and the Contractor shall provide such facilities as may be necessary for checking.

After the required lines and grades have been established, they shall be properly protected by the Contractor to prevent movement or displacement.

The Contractor shall be solely responsible for all locations, dimensions and levels, and no data other than the information contained in the drawings and specifications, or written orders of the Engineer, shall justify departure from the dimensions and levels required by the Drawings.

The Contractor shall keep a transit and leveling instrument on or near the site at all times and a skilled personnel employed or obtained whenever necessary for layout of intermediate work.

The Contractor is hereby informed that they are to do no excavation or embankment work until the Engineer has completed all necessary cross sectioning. No payment will be made for work done prior to the Engineer's cross sectioning.

4. Contract Drawings and Working Drawings

The work is shown on the accompanying Contract Drawings. Such additional working drawings, as required because of changes or to provide greater detail, will be provided by the Engineer.

5. Alterations

The Engineer may make alterations to the line, grade, plan, form, dimensions, or materials of the work, or any part thereof, either before or after the commencement of the work. If such alterations increase the quantity of work, such increase will be paid for according to the quantity of such extra work actually done and at the prices stipulated for such work under unit price Items of the Contract. In case no unit price is applicable, the alterations will be paid for as extra work defined in the General Conditions.

6. Computer Generated Computations

The use of computer generated computations shall be considered satisfactory for estimating quantities where manual geometric and analytic methods would be comparatively laborious.

7. Contractor's Schedule of Operations

The Contractor shall submit, within ten (10) days after execution of the Contract, a preliminary schedule of operations for the project to the Engineer for approval. The approved preliminary schedule shall be used to prepare a detailed schedule of the principal construction events including all proposed purchase and delivery dates for items with critical delivery times. A supplemental bar graph shall also be prepared based on this construction schedule. The detailed schedule and bar graph shall be submitted for approval prior to the first estimate for payment.

The status of the project shall be evaluated monthly by the Contractor and shall be compared to the original schedule that shall be revised, if necessary, and reissued.

8. Coordination with Other Contractors and Utilities

During the progress of the work, other contractors and/or utilities may be engaged in performing work in the area. The Contractor shall coordinate the work to be done under this Contract with the work of others, in such a manner as the Engineer shall approve or direct. Eversource Electric transmission tower replacement work may be ongoing at the project site during the course of this Contract.

9. Cost Breakdown

Prior to the first estimate for payment to the Contractor, the Contractor shall submit to the Engineer for approval a detailed cost breakdown of the various amounts to be paid for within each Lump Sum Item and/or Subdivision of Item of the Proposal. It shall also include, but not necessarily be limited to, proportional amounts for bonds, insurance, and miscellaneous works which are to be paid for throughout the life of the Contract, and which are not specifically included for payment under other Items and/or Divisions of the Proposal.

10. Estimated Quantities

To aid the Engineer in determining quantities to be paid for, the Contractor shall, whenever requested, give the Engineer access to the proper invoices, bills of lading, or other pertinent documents and shall provide methods and assistance necessary for weighing or measuring materials.

11. Payment for Miscellaneous Work

No direct payment will be made to the Contractor for furnishing and providing miscellaneous temporary works, plant, and services, including sanitary requirements, water supply, power, tools, equipment, lighting, telephone systems, store houses, store yards, safety devices, permits, insurances, bonds, watchmen, clean up, and the like, or other items specified under these General Requirements, unless payment therefor has been specifically provided. Compensation for the same is understood to be included in the scheduled prices hereinbefore given for the various kinds of work contemplated.

12. Drawings and Information to be Furnished by the Contractor

The Contractor shall submit clearly legible PDF files of all product submittals, shop drawings, catalog cuts, setting schedules and such other drawings as may be necessary for the prosecution of the work in the shop and in the field as required by the Contract Drawings. Copies of results of all tests of materials and equipment shall be furnished by the Contractor immediately following the performance of required tests.

Submittals which are incomplete or difficult to read shall be rejected. Deviations from the Contract Documents shall be called to the attention of the Engineer at the time of the first submission of shop drawings and other drawings for consideration. The Engineer's review of any drawings shall not release the Contractor from responsibility for such deviations. Shop drawings shall be submitted with such promptness as to cause no delay in their work or the work of any other Contractor. Schedules for reinforcing steel shall receive the Contractor's immediate attention, upon award of Contract.

When submitted for the Engineers' review, all shop drawings shall bear the Contractor's certification that they have reviewed, checked and approved the shop drawings, that they are in compliance with the requirements of the Contract Documents, and that they have verified all field measurements and construction criteria, materials, catalog numbers and similar data. When submittals contain multiple model, catalog or series numbers, materials, finishes, or any other like information, the Contractor shall clearly note which they intend to supply.

All samples called for in the Specifications or required by the Engineer shall be furnished by the Contractor and shall be submitted to the Engineer for their review. Samples shall be furnished so as not to delay fabrication, and to allow the Engineer reasonable time for the consideration of the samples submitted.

Checking of submittals is only for general conformance with the design concept of the project and general compliance with the information given in the Contract Documents. Contractor is responsible for: dimensions which shall be confirmed and correlated at the job site; fabrication processes and techniques of construction; coordination of their work with that of all other trades; and the satisfactory performance of their work. Approval by the Engineer of shop drawings for any material, apparatus,

12. Drawings and Information to be Furnished by the Contractor (continued)

device, and layout shall not relieve the Contractor from the responsibility of furnishing same of proper dimension, size, quality, quantity, and all performance characteristics to efficiently perform the requirements and intent of the Contract Documents. Approval shall not relieve the Contractor from the responsibility for errors of any sort on the shop drawings. If the shop drawings deviate from the Contract Documents, the Contractor shall advise the Engineer of the deviations in writing, including the reasons for the deviation.

The Contractor may only proceed with fabrication and construction for items on returned submittals marked "No Exception Taken" or "Make Corrections Noted". Resubmit submittals if marked "Rejected" or "Revise and Resubmit".

In the event the Contractor obtains the Engineer's approval for material, manufactured items, or equipment, other than that which is shown on the Plans or specified herein, the Contractor shall, at their own expense, make any changes as required in the structures, buildings, piping, or any other portion of the work necessary to accommodate the approved material, manufactured item, or equipment.

The Contractor shall furnish such samples of material as may be required for examination and test. All samples of materials for tests shall be taken according to ASTM Specifications or as provided in the Contract Documents.

Submittals shall be sent directly to the Engineer for review via an email address provide by the Engineer for such use at the Pre-construction Meeting.

Files too large to send via email can be sent as a link to a Drop Box account or other similar service agreeable to both the Contractor and the Engineer. Services that require paid memberships will not be acceptable and shall not be used to transfer files.

Should the Contractor wish to send submittals in a file type other than PDFs, the Contractor shall confirm with the Engineer that they can receive and view the file format prior to sending the files to the Engineer.

Due to the anticipated extended time required for fabrication and the possible conflicts or interferences with other items of equipment to be furnished and installed under this Contract, the Contractor shall submit all shop drawings for the slide gate and appurtenances, and access hatch to the Engineer for approval within thirty (30) days after the award of Contract.

13. Substitution Clause

Wherever in the Plans and Specifications any item of equipment or material is designated by reference to a particular brand, manufacturer, or trade name, it is understood that an approved equal product, acceptable to the Engineer, may be substituted by the Contractor.

14. Contract Limits

The Contractor shall confine their activities to within street lines; easements and rights-of-way granted to the State of Connecticut; and property owned by the State of Connecticut.

The Contractor shall take particular care to protect trees and shrubs outside of the clearing limits and not marked for removal; they shall make good any damage to the satisfaction of the Engineer.

The Contractor shall not enter upon or make use of any private property along the line of work, outside the limits of the rights-of-way or easements, except when written permission is secured from the owner of said property and a copy delivered to the Engineer. The Contractor shall be held responsible for all damage or injury, done by themselves or those in their employ, to any private or public property of any character during the prosecution of the work. The Contractor shall restore or repair at their own expense, in a manner satisfactory to the Engineer, such property as may be damaged by their operations during the prosecution of the work.

In case of failure on the part of the Contractor to restore or repair such property in a manner satisfactory to the Owner, the Owner may, upon 48 hours notice to the Contractor, proceed with such restoration or repair. The expense of such restoration or repair shall be deducted from any moneys which are due or may become due the Contractor under this Contract.

The Owner will obtain photographs of the site prior to the start of work under this Contract and Agreement. These photographs will be used to judge the conditions of the site during the course of the work and the adequacy of restoration of the site after completion of the work.

15. Work in Easements

The Owner will obtain easements for construction work through private property. The Contractor shall confine their activities to the limits of the State Property and easements and shall take particular care to prevent damage to structures, trees, grass, shrubs, hedges, and all other private property outside of the Contract Limits. The Contractor shall make good all such damage to the satisfaction of the Engineer.

16. Cleaning Up Site

During the progress of the work, the Contractor shall keep the construction areas in a neat condition, free from accumulations of waste material and rubbish. Lunch papers, bottles, lumber cutoffs, drinking cups, and like rubbish shall be removed from the site daily. No alcoholic beverages or controlled substances will be permitted at the construction site(s).

16. Cleaning Up Site (continued)

On or before completion of the work and before acceptance and final payment shall be made, the Contractor shall clean and remove, from the site and adjacent property, all surplus and discarded materials, rubbish, and temporary structures and restore, in an acceptable manner, all property and leave the whole in a neat and presentable condition.

17. Storage of Materials

Materials shall be stored so as to ensure the preservation of their quality and fitness for the work. When considered necessary, they shall be placed on wooden platforms and covered and stored in a suitable building, as directed by the Engineer. Stored materials shall be located so as to facilitate prompt inspections.

Materials and equipment supplied by the Owner shall be jointly inspected by the Owner and the Contractor and shall, upon acceptance by the Contractor, become the Contractor's responsibility to make good any damage to the materials and equipment until they have been incorporated and accepted in the work.

18. Removal of Condemned Materials

The Contractor shall remove from the site of the work, without delay, all rejected and condemned materials of any kind brought to or incorporated in the work. No such rejected or condemned materials shall again be offered for use by the Contractor.

19. Hauling Materials

Before starting any work, the Contractor shall arrange, with the Municipal or State officials having jurisdiction, for the use of routes of travel for hauling materials, including surplus earth and rock, that will result in minimum inconvenience to the traveling public. Routes of travel so scheduled shall be adhered to throughout the course of the work, unless otherwise approved.

20. Temporary Roads

The Contractor shall be responsible for providing and maintaining such temporary access roads, as is necessary for transportation of materials and equipment. Where such roads are on private property he shall obtain permission for their construction and use and pay all costs pertaining thereto.

21. Dust Control

The Contractor shall take all necessary precautions to prevent and abate nuisance caused by dust arising from their operations by application of water spray.

22. Working Conditions

In prosecuting the work of this Contract, the Contractor shall provide working conditions on each operation that shall be as safe and healthful as the nature of the operation permits. The Contractor shall comply with all safety and sanitary rules, laws, and regulations.

23. Work in Inclement Weather

During freezing, stormy, or inclement weather, no work shall be performed except such as can be done satisfactorily and in such manner as to secure first-class construction throughout.

24. Working Hours and Overtime Work

(a) Working Hours: The Contractor's working schedule shall be confined to a five (5) day week, Monday through Friday, and an 8-hour working day confined between the hours of 7:00 a.m. and 4:30 p.m. current local time. If the Contractor desires to work more than 8 hours per day, the Owner's permission is required in advance. If work is permitted for more than an 8-hour day, the charge to the Contractor shall be One Hundred Twenty Dollars (\$120.00) per hour per working crew.

Unless otherwise especially permitted, no work shall be done between the hours of 4:30 p.m. and 7:00 a.m. except as necessary for the proper care and protection of the work already performed. If it shall become absolutely necessary to perform work between 4:30 p.m. and 7:00 a.m. the Engineer shall be informed, at least 24 hours in advance, of the beginning of the performance of such work. Only such work shall be done at night as can be done satisfactorily and in a first-class manner. Good lighting and all other necessary facilities for carrying out and inspecting the work shall be provided and maintained at all points where such work is being done. If work is permitted between the hours of 4:30 p.m. and 7:00 a.m., the charge to the Contractor shall be One Hundred Twenty Dollars (\$120.00) per hour per working crew.

(b) Saturdays, Sundays, or Holidays: If the Contractor elects to perform work on Saturdays, Sundays, or holidays, he shall pay the Owner a charge of One Hundred Twenty Dollars (\$120.00) per hour for Saturday or Sunday or holiday per crew working. The Contractor may work on Saturday, Sunday or holidays only with the express permission of the Engineer.

25. Emergency Work

The Contractor shall file, with the local Police and Fire Departments, and the Engineer, the name and telephone number of at least three persons authorized by them who may be contacted regarding emergency work at the job site that may be required during non-working hours for reasons of public safety. The contact information shall include office telephone numbers, home telephone numbers, mobile telephone numbers, and email addresses, as applicable. The list of emergency contacts shall be numbered to identify who to contact first, second and third.

The Contractor shall have staff readily available 24 hours a day, seven days a week during the duration of the contract and have full authority to deal with any emergency that may occur.

26. Sedimentation Control

All watercourses shall be protected from sedimentation, both during and after construction. This provision applies particularly to dewatering activities, storage of excavated or stockpiled material, trench or ditch excavation, and placement of compacted embankments. The Contractor shall control erosion and sedimentation in accordance with the publication entitled "Guidelines for Soil Erosion and Sediment Control", by the Connecticut Council on Soil and Water Conservation, latest revision, and as approved by the Engineer. Provisions shall be made so that water which flows downstream does not contain sediments. Provisions shall include, but not be limited to, hay bale check dams across the outlet channel and at the toe of all embankments under construction, pump discharges to filter bags, and temporary culverts at all stream crossings. The Contractor shall submit details of their sedimentation control plan to the Engineer for approval.

27. Work in Brook(s), Stream(s), and Pond(s)

The Contractor's attention is directed to that portion of the work of this Contract which is in and along water bodies. The Contractor shall operate all equipment and perform all construction operations so as to minimize pollution.

Care shall be taken to prevent, or reduce to a minimum, any damage to any water body from pollution by debris, sedimentation, or other material, or from manipulation of equipment and/or materials in or near such water bodies and on abutting property. Particular care shall be taken to prevent gasoline, diesel fuel, and other oils from entering any water body.

In all cases involving work in a water body, every effort should be made to return the water body to the highest possible standard for aesthetic value, water quality, and fish habitat. Sufficient flow of water shall be maintained at all times to sustain aquatic life downstream.

28. Work Within Areas Designated as Inland Wetlands

Portions of this project are to be constructed in wooded areas and areas classified as inland wetlands. The Contractor shall limit disturbance of these areas, to what is absolutely necessary for construction, and restore these areas, as closely as possible, to their original natural state.

The Contractor shall familiarize themselves with permits and maps held by the local municipality indicating the wetlands. The Contractor shall be required to strictly adhere to all requirements and restrictions imposed by said permits.

The Contractor shall carefully strip all topsoil, loam, or organic material prior to excavation and shall store them separately from all other materials during excavation. In areas designated inland wetlands, the upper strata to a depth of 2 feet shall be stripped and stored separately. During backfilling, these materials shall be replaced and finished, as they existed before construction began.

The Contractor shall not introduce any substantial quantities of fill materials into any areas designated as inland wetlands.

The Contractor shall maintain all backfilled excavations in proper condition until expiration of the guarantee period as provided in the Contract.

29. Soil and Groundwater Conditions

The Owner assumes no responsibility whatsoever with respect to ascertaining for the Contractor such facts concerning physical characteristics at the site of the project. The Contractor agrees that they will make no claim for and has no right to additional payment or extension of time for completion of the work, or any other concession because of any interpretations or misunderstanding on their part of this Contract, or because of any failure on their part to fully acquaint themselves with all conditions relating to the work.

Soil Boring Logs are provided in Appendix A. The subsurface information and data furnished therein are not intended as representations or warranties, but are furnished for information only and are not a part of this Contract. It is expressly understood that the Owner and the Engineer will not be responsible for the accuracy thereof or for any deduction, interpretation, or conclusion drawn therefrom by the Contractor. The information is made available in order that the Contractor may have ready access to the same information available to the Owner and the Engineer.

The Contractor is advised that the project is located at an existing dam and associated hydraulic features and other surface waters where groundwater and seepage are inherent site conditions. Whether or not groundwater levels are indicated in the available subsurface exploration data, the Contractor shall assume that significant groundwater will be encountered during excavation, foundation preparation,

29. Soil and Groundwater Conditions (continued)

and construction activities. No additional compensation will be provided for groundwater conditions associated with dam-related construction environments.

30. General Sanitary Requirements

Suitably enclosed chemical or self-contained toilets shall be provided for the use of the personnel employed on the work. They shall be located near the work site and secluded from observation insofar as possible. Said sanitary facilities shall be serviced at regular intervals, kept clean and supplied throughout the course of the work.

The Contractor shall maintain a safe drinking water supply readily available to all workers.

31. Water Supply and Electrical Energy

The Contractor shall make their own arrangements for obtaining the electrical energy and water supply necessary for construction purposes at no additional cost to the Owner.

32. Contractor's Office

It will not be necessary for the Contractor to maintain an office convenient to the site during the period of construction. Copies of the Contract and working drawings and of the specifications shall be kept on file at the site for reference at any time.

33. Resident Engineer's Office

It will not be necessary for the Contractor to construct or maintain an office for the use of the Engineer.

34. Explosives and Blasting

The use of explosives is prohibited.

35. Sheeting, Shoring, Bracing or Trench Boxes

Where necessary, the sides of trenches and excavations shall be supported by adequate sheeting, shoring, bracing or trench box. The Contractor shall be held accountable and responsible for the sufficiency of all sheeting, shoring, bracing or trench boxes used and for all damage to persons or property resulting from the improper quality, strength, placing, maintaining, or removing of the same. Where sheeting is approved to be removed, care shall be taken not to disturb the new work or existing utilities and structures.

No sheeting is to be left in place unless expressly permitted by the Engineer. No direct payment will be made for sheeting, shoring, and bracing, and compensation for such work and all expenses incidental thereto shall be considered as included in the unit prices bid for the various Items of this Contract.

All excavations into which workers may be caused to enter shall be protected according to OSHA 29 CFR Part 1926, Subpart P-Excavations.

36. Existing Structures

All known surface and underground structures, on or immediately adjacent to the work, are shown on the Plans. This information is shown for the convenience of the Contractor in accordance with the best information available but is not guaranteed to be correct or complete.

Guard rails, posts, guard cables, signs, poles, markers, mailboxes, fences, walls and stone walls, etc., which are temporarily removed to facilitate the Work shall be replaced and restored in their original condition to the satisfaction of the Owner or Engineer.

The Contractor's attention is called to State of Connecticut Public Act 77-350 and 81-146 which states "No person, public agency or public utility shall engage in excavation without having first ascertained...the location of all underground facilities of public utilities in the area. (The Contractor)...shall notify the central clearinghouse of such proposed excavation, at least 2 full days, excluding Saturdays, Sundays and holidays...before commencing...(the work)." The Call Before You Dig telephone number is 1-800-922-4455.

The Contractor shall, at their own expense, retain the services of a licensed surveyor to replace property or easement markers, on or adjacent to privately owned property, which have been disturbed during the course of construction.

37. Operation of Valves

Unless otherwise permitted or directed by the Owner, existing valves shall not be operated by the Contractor. Whenever the operation of a valve is necessary, the Contractor shall make arrangements, at least 24 hours in advance of the need, to have the Owner's forces perform the required operations. The Owner may elect to authorize and direct the Contractor to operate valves, under such circumstances approval and direction shall be made on a case-by-case basis.

38. Testing Laboratories

The Contractor shall provide, at no additional cost to the Owner, the services of approved testing laboratories to take samples of materials and perform tests as required under this Contract. Payment for these services shall be included under the applicable Items of the Contract.

39. Marking New Underground Plant

All new underground plant shall be marked with warning tape in accordance with State of Connecticut Public Act 16-345 and DPUC Regulations.

Tape shall be installed 12" to 18" below the ground or road surface above all underground plant in accordance with DPUC Regulations. Color-coding of tape for the various underground plants shall be as follows:

Green	-	Sanitary Sewers
Yellow	-	Gas, oil, petroleum products, compressed gasses and all other hazardous liquid
Red	-	Electric power lines or conduits
Purple	-	Radioactive materials
Orange	-	Communication lines or cables, including telephone, telegraph, cable television
Blue	-	Water

Green shall be utilized for the spillway and other outlet pipes.

Warning tape shall be Terra Tape Extra Stretch or approved equal consisting of 6 ply of high-grade copolymer film bonded together without adhesives, specifically formulated for prolonged use underground. Tape shall be highly resistant to alkalis, acids, and other destructive agents found in the soil. Tape shall have a minimum tensile strength of 80 lbs. per 3" wide strip and shall bear a continuous printed message every 16" to 36" warning of the installation buried below.

40. Safety

Contractor shall be responsible for initiating, maintaining, and supervising all safety precautions and programs in connection with the work, and shall comply with all applicable laws, ordinances, rules, regulations and orders of any public body having jurisdiction for the safety of persons or property.

It is not the function of the Engineer to supervise or direct the manner in which the work to be done under this Contract is carried on or conducted. The Engineer is not responsible for construction means, methods, techniques, sequences, or procedures, or for safety precautions and programs in connection with the work, and will not be responsible for the Contractor's failure to carry out the work in accordance with the Contract Documents.

41. Maintenance of Traffic

Unless permission to close the street is received in writing from the proper authority, vehicular and pedestrian traffic must be safely maintained at all times.

Chestnut Tree Hill Road, Naugatuck State Forest Oxford Reservoir Block parking areas, and electrical transmission line rights-of-way must remain open at all times.

If the Contractor chooses to close one lane of the road at any time for construction operations, the Contractor shall at their own expense, as directed by the local Police Chief, provide Police Officers and erect acceptable barricades, barrier fences, traffic signs, and all other traffic devices not specifically covered in a bid item, to protect the work from traffic, pedestrians, and animals. The Contractor shall provide sufficient temporary lighting such as lantern/flashers (electric battery operated) or other approved illuminated traffic signs and devices to afford adequate protection to the traveling public, at no additional cost to the Owner.

The Contractor shall furnish all construction signs that are deemed necessary by and in accordance with Part VI of the Manual on Uniform Traffic Control Devices (MUTCD) as published by the U.S. Department of Transportation, latest revision. Size and exact wording of signs shall be per the MUTCD or as required by the Owner or Engineer.

The intent of policing is to ensure public safety by direction of traffic. Police officers are not to serve as watchmen to protect the Contractor's equipment and materials.

Nothing contained herein shall be construed as relieving the Contractor of any of their responsibilities for protection of persons and property under the terms of the Contract.

STATE OF CONNECTICUT

SEYMOUR No. 4 DAM
IMPROVEMENTS
OXFORD, CONNECTICUT

DETAILED SPECIFICATIONS

Site Work

Item 1

1.1 Work Included

Under this Item the Contractor shall supply all labor, tools, materials, and equipment necessary to do all clearing, grubbing, and stripping; removal and abandonment of existing structures; temporary barricades and signage; topsoiling and seeding; fisheries habitat enhancement; and to provide all sediment and erosion controls as required for the Seymour No. 4 Dam Improvements, except as specifically including in other Items of these Specifications.

Dam and Dike embankments shall be cleared of all woody vegetation, trees and shrubs, and the ground surface seeded with grass. Clearing limits shall extend to 25 feet from embankments and dam appurtenances as directed by the Engineer, and grubbing, and stripping limits shall be 10 feet from any change in grading, unless otherwise shown on the Contract Drawings or directed by the Engineer. The Contractor shall take all necessary precautions to protect trees located outside of the clearing and grubbing limits.

The dam shall be raised and a processed aggregate access road shall be constructed as shown on the Contract Drawings. The raising of the embankment crest shall be specified and paid for under Item 6, Compacted Embankments.

1.2 Clearing

Clearing shall include the cutting and/or removal, by approved means, of all vegetation above the surface of the ground, including trees, brush, and logs.

All vegetation, stumps, and trees shall be cut as close to the ground as practicable. All material, including chippings, shall be removed and disposed of off the site.

1.3 Grubbing

Grubbing shall include the removal of all stumps, roots larger than 2-inches in diameter, and other vegetation and organic debris to a depth of at least 12" below original ground surface, unless otherwise permitted. Grubbed materials shall be removed and disposed of off the site. The Contractor shall fill and compact the holes and excavations that result from the grubbing activities.

1.4 Stripping

Stripping shall include the removal and stockpiling of the topsoil, as determined by the Engineer, from within the clearing, grubbing, and stripping limits. The minimum depth of stripping shall be 12" or as shown on the Contract Drawings. The topsoil shall be stockpiled and used in the final topsoiling of the dam. Material unsuitable for use in the final topsoiling or grading of the site shall be disposed off site.

1.5 Removal of Existing Structures

The Contractor shall remove, and legally dispose of off site, the following existing structures as shown on the Contract Drawings: stone masonry endwall and outlet pipes; 18-inch reinforced concrete pipe at the right end of dam; and concrete spillway culverts.

1.6 Abandonment of Existing Structures

The Contractor shall abandon in place the existing 8-inch asbestos cement (AC) blowoff pipe. The downstream end shall be bulkheaded and the pipe filled with grout.

Cement for grout shall be Portland Cement Type I or II. Grout shall be cement, sand, and water mixed in proportions as directed by the Engineer. Sand shall be clean masons sand. Grout shall be mixed in a mortar mixer and kept thoroughly mixed during grouting operations. The mix shall be 188 pounds of sand per bag of cement and 5.7 gallons of water. The Contractor has the option to order the grout from a ready-mix concrete company.

Grout shall be mixed and placed in a continuous manner until each pipe is filled to capacity. The sand and cement grout is to be placed by gravity.

1.7 Topsoiling and Seeding

The Contractor shall use the previously stockpiled topsoil and additional topsoil from outside sources. On all graded and disturbed areas, the Contractor shall grow an approved stand of grass. The Contractor shall be responsible for the satisfactory growth of grass throughout the one-year maintenance period.

Prior to placing topsoil, objectionable material such as sod, roots, and stones larger than 2" shall be removed. Unsuitable material removed shall be properly disposed off-site.

Surfaces that are to be topsoiled shall be properly graded and prepared prior to placement of the topsoil. Topsoil shall be placed to a compacted thickness of 6" on all disturbed surfaces. The topsoil shall be lightly compacted by roller, and shall be raked to provide an even, smooth surface at the required slopes and grades immediately before seeding.

Samples of the topsoil shall be taken by the Contractor and tested by a laboratory approved by the Engineer to determine fertilizing and liming requirements. Results shall be provided to the Engineer. The Contractor shall apply lime and fertilizer as recommended by the testing laboratory. Lime and fertilizer are to be delivered to the job site in clean, unopened containers showing the weight, analysis, and name of manufacturer.

All seeded areas shall be mulched. Erosion control blankets shall be used on all seeded embankment slopes and shall be Curlex as manufactured by American Excelsior Company or approved equal.

Grass seed shall be of the previous year's crop. It shall meet current standards of the Association of Official Seed Analysts. The seed mix shall contain the following:

<u>Kind of Seed</u>	<u>Percent by Weight</u>
Chewing Fescue	35
Hard Fescue	30
Colonial Bentgrass	5
Birdsfoot Trefoil	10
Perennial Ryegrass	20

Seed shall be delivered to the site in unopened containers with manufacturer's label attached.

The work shall include the preparation of the topsoil, application of seed, fertilizer, lime, mulching, watering, and all other operations necessary to provide a satisfactory growth of grass at the end of the one-year maintenance period. The first cutting of grass shall be done by the Contractor. All subsequent cuttings will be done by the Owner.

1.7 Topsoiling and Seeding (continued)

Maintenance of grassed areas shall begin immediately following seeding. Seeded areas shall be protected by watering, fertilizing, replanting, and application of weed, insect, and disease control measures as necessary to obtain an acceptable sod composed of the grasses specified, throughout the one (1) year maintenance period. Areas without acceptable sod at the end of the one (1) year period shall be replanted until satisfactory growth is obtained. The Engineer will be the sole judge of acceptance. The Contractor may use water from the Reservoir for watering the grass.

1.8 Fisheries Habitat Enhancement

The Fisheries Habitat Enhancement shall be installed where shown on the Contract Drawings. The fisheries enhancement shall consist of placing boulder clusters along the shoreline to enhance the fish habitat. The Contractor shall notify Joseph Cassone, Fisheries Biologist with the Connecticut DEEP at (860) 424-3792 at least one week prior to starting work on the Fisheries Habitat Enhancement.

1.9 Environmental Protection

The Contractor shall furnish, install, maintain and remove sediment and erosion controls as shown on the Contract Drawings and any additional controls that may be required to meet field conditions. Sediment and erosion controls shall be in accordance with the Publication entitled "Connecticut Guidelines for Soil Erosion and Sediment Control" by the Connecticut Council on Soil and Water Conservation, latest revision, and specified therein.

The Contractor shall be responsible for the removal of any sediment or material tracked onto public roads by sweeping or other approved means at the end of each working day. All watercourses and wetlands shall be protected from sedimentation, both during and after construction. Provisions shall be made so that water that flows downstream does not contain sediments. Provisions shall include, but not be limited to, silt fences around stockpiled material, sediment barriers at the toe of all embankments under construction, and erosion control blankets on all topsoiled embankment slopes. All sedimentation and erosion controls shall be maintained until permanent vegetation or erosion controls are established, at which time they shall be removed by approved methods.

Pump settling basins shall be located outside of wetlands and watercourses and shall, at a minimum, meet the requirements of the detail provided on the Contract Drawings. The Contractor, at their own cost, provide a pump settling basin of sufficient size and filtration capacity to accept and treat the flows discharged to it. Other methods of pump sediment discharge control may be submitted by the Contractor and are subject to approval by the Owner and Engineer.

1.10 Spill Prevention

Prior to mobilization, machines and equipment shall be inspected for oil leaks and/or damaged hoses or lines. If any problem is found, it shall be corrected before the machine is allowed onsite. Machines shall be thoroughly cleaned to remove excess grease and dirt prior to their delivery onsite. Once onsite, the machines shall be checked daily for leaks or damaged hoses or lines. Daily onsite maintenance may consist of greasing machines, checking oil levels, and refueling. Impervious tarps and oil containment booms shall be placed around machinery while maintenance is being performed.

The Contractor shall store all fuel, oil, paint, solvents or other hazardous chemicals and petroleum products in an approved, secured secondary containment system with an impervious floor during non-working hours. Secondary containment shall be provided for petroleum fueled generators and pumps whether or not currently in operation.

The Contractor shall have a supply of absorbent spill response material, including booms and pads, available at all times to clean up potential spills of hazardous chemicals and petroleum products.

There shall be no discharge of vehicle or equipment fluids or detergent chemicals to the environment. Vehicles or equipment found to violate this requirement shall be immediately repaired or removed from the site. Refueling and maintenance of vehicles and equipment shall be conducted in the staging area. Spill equipment should be readily available during refueling activities.

In the event of a spill or release of hazardous chemicals or petroleum products, the Contractor shall, without delay, take diligent action to contain, remove or otherwise minimize the cause of the spill or release and institute whatever measures are necessary to prevent any repetition of the conditions or actions leading to, or resulting in, the spill or release.

In accordance with Connecticut General Statutes Section 22a-450, the Contractor shall immediately report all spills or releases of hazardous chemicals or petroleum products to the Connecticut Department of Energy and Environmental Protection (DEEP) Emergency Response Unit at 860-424-3338 or toll free 1-866-DEP-SPIL (1-866-337-7745), 24 hours/day. Should these numbers become unavailable for any reason, call 860-424-3333 (24 hours a day).

1.11 Temporary Barricades and Signage

The Contractor shall furnish, install, maintain, and remove temporary "TRAIL CLOSED DURING CONSTRUCTION" signage with support posts and snow fence barricades.

Signs shall be constructed of 0.08" aluminum sheet metal. Sign background shall be white; border and lettering shall be black. Ink shall be UV resistant. Size of sign shall be 18 inches wide by 12 inches high. Galvanized U-channel posts and mounting hardware shall be utilized to mount the signs.

Snow fence barricades shall be of highly visible bright orange fabric. Fabric shall be of UV resistant plastic. Four-foot high snow fence shall be supported by wood or steel posts.

One (1) barricade and sign shall be installed near the west access gate and a second barricade with sign installed at the trail, east of the proposed auxiliary spillway. Exact locations shall be subject to the Owner's approval.

Additionally, for any excavation which remains open during non-working hours such as nights, weekends or otherwise, a snow fence barrier shall encompass the perimeter of the excavation (minimum five feet from the edge) to warn and deter public access.

1.12 Payment

The lump sum bid under this Item shall include payment in full for all labor, tools, materials, and equipment necessary for clearing, grubbing, and stripping; removal and abandonment of existing structures; and topsoiling and seeding; temporary signage and barricades; fisheries habitat enhancement; stockpiling suitable material, and providing sediment and erosion controls, complete as shown and herein specified.

Control of Water During Construction

Item 2

2.1 Work Included

Under this Item the Contractor shall furnish all labor, tools, materials, and equipment to perform all work necessary to build, maintain, and remove, if required, all temporary cofferdams, fills, drains, well points, or other structures, and shall do all pumping or otherwise control water (impounded in the reservoir, inflows to the reservoir, and groundwater) during modifications to the dam. The Contractor shall keep all portions of the work free from ground or surface water during construction. All permanent work as shown and specified will be paid for under other Items.

The Contractor is advised that the project is located at an existing dam and associated hydraulic features and other surface waters where groundwater and seepage are inherent site conditions. Whether or not groundwater levels are indicated in the available subsurface exploration data, the Contractor shall assume that significant groundwater will be encountered during excavation, foundation preparation, and construction activities. No additional compensation will be provided for groundwater conditions associated with dam-related construction environments.

2.2 Control of Water

The watershed area tributary to Seymour No. 4 Dam is approximately 0.5 square-mile, and the water surface area is 40 acres. Available USGS information estimates an annual average inflow into Seymour No. 4 Reservoir of about 500 gallon per minute (gpm), with the Spring average inflow about 950 gpm. These inflows are furnished for information only and are not a part of this Contract. It is expressly understood that the Owner and the Engineer will not be responsible for the accuracy thereof or for any deduction, interpretation, or conclusion drawn therefrom by the Contractor. Rainfall can substantially increase the amount of inflow. The Contractor's measures for control of water shall have adequate capacity for conditions at the site.

The Contractor shall be responsible for controlling the inflow through the site during construction. The Contractor shall construct a temporary cofferdam around the work area as shown on the Contract Drawing. The cofferdam can be Jersey barriers, concrete blocks, Aquadam or other approved non-erodible material. Plastic sheeting and/or sandbags may be required to reduce the leakage through the cofferdam. The area downstream of the cofferdam shall be dewatered by the Contractor using bypass pumps to maintain the water level of the pond at about elevation 515 (about 17 feet below the existing spillway). The existing low level

2.2 Control of Water (continued)

outlet pipes may be used to lower the water level in the reservoir during construction, however inflow due to rainfall may exceed the outlet capacity and cause the reservoir level to rise.

After the new inlet structure is completed, the cofferdam and temporary pumping equipment shall be removed.

The Contractor shall submit a water control plan for approval prior to commencing work. The plan shall include provisions for controlling water during construction of the spillway structure. The plan shall include the construction of cofferdams, bypass pipes, and pumping, keeping intakes clear of debris, and all other maintenance of the system.

2.3 Pumping and Draining

All permanent construction as shown, specified, ordered, or directed shall be carried on in areas free from water. In addition to the requirements previously described, the Contractor shall do all ditching, draining, sheeting, bracing, and diking required to keep the work free from water.

The Contractor shall provide all necessary pumps, drains, well point systems, and other means for removing water. Before structures are built, the excavations shall be free from water and, if necessary, suitable drainage facilities shall be provided and maintained. Any drainage system used by the Contractor shall be subject to approval by the Engineer.

Excavation and dewatering, as required, shall be accomplished by methods which preserve the undisturbed state of subgrade soils. Subgrade soils which become soft, loose, "quick", or otherwise unsatisfactory for support of structures as a result of inadequate excavation, dewatering, or other construction methods shall be removed and replaced by suitable material, or shall be stabilized as required by the Engineer, at the Contractor's expense. Subgrade damaged by failure to properly dewater shall be repaired at the Contractor's expense.

Water from the excavation shall be disposed of or discharged to filter bags or pump settling basins in such a manner that it will cause no injury to public health, to public or private property, or to the work completed or in progress.

2.4 Payment

The Contractor shall receive the lump sum bid under this Item as full compensation for furnishing all labor, equipment, materials, and for meeting all other costs required to control the surface water and groundwater as shown, specified, or required. Payment for pumping, sheeting, draining and ditching, and the construction and removal of all temporary cofferdams, and other structures necessary to keep the work free of water during construction. Monthly payments for work under this Item shall be in proportion to payment for work done on other Items. Permanent work, including embankment, pipe, concrete work, and slide gate are included under other Items.

Excavation

Item 3

3.1 Work Included

Under this Item, the Contractor shall furnish all labor, tools, materials, and equipment necessary to do all excavations required to construct the spillway structure, complete as shown and specified.

This Item is divided for payment as follows:

Item 3A - Excavation

Item 3B - Rock Excavation

3.2 General

Excavations shall be made of every description and of whatever substances encountered, as required for the construction of the new concrete spillway structure and wingwalls, inlet and outlet pipes, energy dissipator, and downstream toe drains.

All structures shall be placed on firm, undisturbed ground, accurately trimmed by hand to final grade, except where the excavation is in unsuitable foundation material. In the opinion of the Engineer, if such material is encountered, it shall be removed and replaced with concrete to secure a satisfactory footing. Concrete ordered by the Engineer is specified and paid for under Item 4B.

All excavations shall be made in such manner and to such widths as will give ample room for properly installing and inspecting the pipe or structures that they are to contain, and for such sheeting and bracing, pumping, and draining as may be necessary. The Contractor shall use methods and equipment such that excavations shall be made accurately to the required width and depth, and not result in over-excavation. When excavations for structures are made below the required grade, they shall be brought to the correct grade, as directed, with concrete fill at the expense of the Contractor. The sides of excavations for the concrete spillway structure shall be shored or sloped back to permit proper compaction of backfill and provide a safe work area.

Excavation and dewatering, if required, shall be accomplished by methods which preserve the undisturbed state of subgrade soils. Subgrade soils which become soft, loose, "quick", or otherwise unsatisfactory for support of structures as a result of inadequate excavation, dewatering, or other construction methods shall be removed and replaced with suitable material, or shall be stabilized as required by the Engineer, at the Contractor's expense.

3.2 General (continued)

Suitable material from excavations shall be stored on the site for use in the compacted embankment and final grading of the site. Material from excavations that, in the opinion of the Engineer, are unsuitable for use in the compacted embankments or final grading shall be removed from the site and disposed of by the Contractor.

3.3 Unauthorized Excavation

All excavations carried outside of the lines and grades shown, unless specifically directed by the Engineer, shall be at the Contractor's expense and shall be filled by the Contractor at their own expense with suitable material as directed by the Engineer.

3.4 Storage and Disposal of Excavated Materials

Suitable material from excavations shall be stored on the site for use in backfilling. Material removed from excavations shall be stored in such a manner that it shall not interfere unduly with the work in progress.

Any excess material from excavations and material that, in the opinion of the Engineer, is unsuitable for use in backfilling, shall be disposed of off the site by the Contractor.

3.5 Sheeting and Bracing

The Contractor shall furnish, place, maintain, and remove (as permitted) such sheeting as may be required to support the sides of the excavations or to protect structures from possible damage.

All excavations into which workers may be caused to enter shall be protected according to OSHA 29 CFR Part 1926, Subpart P-Excavations.

The Contractor shall be responsible for the adequacy of all sheeting and bracing used, for failure to use sheeting where it is necessary, and for all damage to persons or property resulting from its failure or from its installation.

All sheeting and bracing systems shall be designed to resist, without failure, all loads that are intended or could reasonably be expected to be applied or transmitted to the system. Such system shall be designed by a licensed Professional Engineer in the State of Connecticut unless other approved OSHA options are used.

3.5 Sheeting and Bracing (continued)

Where the material to be excavated is of such character or other conditions are such as to render it necessary, the sheeting shall be closely driven to such depth below the bottom of the structure as may be required.

All sheeting and bracing shall be removed upon completion of the work, unless required to be left in place by the Engineer. Any sheeting or bracing left in place shall be cut off at least two feet below the finished ground surface elevation.

The cost of furnishing, placing, maintaining, and removing temporary sheeting and bracing, or cutting off sheeting and bracing left in place shall be included under this Item.

3.6 Rock Excavation

Rock shall be defined as solid ledge rock or boulders larger than one cubic yard which, in the opinion of the Engineer, require drilling and blasting or the use of a machine mounted hydraulically operated hammer, breaker, or other approved means for their removal.

The following material shall not be measured or allowed for payment as rock excavation:

- a. Soft, disintegrated rock, or boulders which can be removed with a backhoe.
- b. Loose or previously blasted rock.
- c. Broken stone in rock fills, walls, or elsewhere.
- d. Concrete, asphalt, or brick pavements or sidewalks.
- e. Concrete or stone curbs.
- f. Boulders less than one cubic yard in size.
- g. Concrete or stone masonry structures marked for removal on the Contract Drawings or specified herein

The use of explosives shall not be allowed.

Notification: When rock is encountered, it shall be uncovered, and the Engineer notified.

- a. The contractor shall provide the Engineer with cross-sections of rock surface or a profile of the rock where trenches are concerned.

3.6 Rock Excavation (continued)

- b. The Engineer shall be present when the cross-sections or profiles are taken.
- c. The average end area method shall be used in computing the volumes whenever practicable.

3.7 Limits of Excavation in Rock

Rock shall be excavated so that generally there will be a clear space of at least 1 foot from the outside of the structure, or barrel of the pipe, to the vertical side of the excavation. Isolated points of rock shall not come nearer than six inches to the outside of the structure, or pipes and at joints there shall be sufficient room for properly making the joint. At the bottom, the rock shall not come nearer than six inches to the outside of the barrel of the pipe.

Rock in miscellaneous excavations shall be excavated in accordance with the directions and to the limits directed by the Engineer.

The surface of the rock shall be stripped in sections satisfactory to the Engineer before rock is excavated so that proper measurements may be made.

In trenches, the rock shall be removed to the limits shown on Contract Drawings. Where excavation is carried beyond the above determined limits, the additional space shall be refilled at the Contractor's expense with concrete or other specified materials.

3.8 Measurement

The quantity to be paid for under Item 3B - Rock Excavation shall be as follows:

For excavation in rock for pipe trenches, the trench shall be computed as having vertical sides and a flat bottom. The width and depth of the trench from the surface of the rock to a plane outside of the pipe shall be as shown on the Contract Drawings.

For excavation in rock for structures, the payline shall be computed as having a width of 1-foot outside the structure, vertical sides, a flat bottom, and a depth from the surface of the rock to a plane 9-inches below the underside of the structure.

No payment will be made for additional width in pipe trenches at field joints or beyond the lines described above.

3.8 Measurement (continued)

For boulders and all rock excavated for purposes other than above described, measurement for payment will be made of the amount of rock actually removed as ordered.

3.9 Payment

The lump sum bid for Item 3A - Excavation shall be full payment for all labor, tools, equipment, materials, sheeting and shoring, and for other expenses necessary for all excavation, stockpiling of suitable materials, and disposal of unsuitable materials, complete as shown and specified herein.

The removal and disposal of existing RCP pipes and concrete structures are paid for under Item 1.

The unit price bid for Item 3B - Rock Excavation shall be full payment for all labor, tools, materials and equipment necessary to excavate and dispose of all rock necessary to complete the work as specified herein.

Concrete Work

Item 4

4.1 Work Included

Under this Item the Contractor shall furnish all labor, materials, tools, and equipment necessary to do all concrete work, complete as shown and specified herein. Included under this Item are all expansion joints, waterstops, sealant, construction joints, reinforcing steel and dampproofing.

This Item is divided for payment as follows:

Item 4A - Class "A" Concrete

Item 4B - Class "B" Concrete

4.2 Classification

Class "A" Concrete includes, in general, all reinforced concrete and that requiring considerable formwork. Included but not limited to concrete classified as Class "A" is that for the spillway structure, spillway wingwalls, energy dissipator, and auxiliary spillway.

Class "B" Concrete includes fill concrete, concrete cradles and leveling course, and concrete that requires simple formwork.

4.3 Cement

Portland cement shall conform to the Standard Specifications of ASTM Designation C150, latest revision, Type I or Type II cement. It shall be made by a well-known, acceptable manufacturer and the product of not more than one plant shall be used on the work. Cement shall be stored and handled in such a manner as to prevent deterioration or the intrusion of foreign matter. Any material which has deteriorated or which has been damaged shall not be used in the work. Fly ash or similar materials will not be allowed as a substitute for cement.

4.4 Aggregates

Aggregates shall conform to ASTM Designation C33, latest revision. Coarse aggregate for Class "A" concrete shall be size No. 67, nominal 3/4" to No. 4; coarse aggregate for Class "B" concrete shall be either size No. 67 or size No. 467,

4.4 Aggregates (continued)

nominal 1-1/2" to No. 4, unless permitted otherwise by the Engineer. The Contractor shall obtain the services of an approved commercial testing laboratory to sample and test the aggregates to ensure compliance with the above specification and shall submit the test results to the Engineer for approval before beginning work. Acceptance of samples shall not be considered as a guarantee of acceptance of all materials from the source and it shall be understood that any aggregates which do not meet with requirements of these specifications may be rejected at any time.

4.5 Admixtures

Admixtures other than an air entraining admixture shall not be used without the written approval of the Engineer. Air entraining admixtures shall be used and shall be Sika AER, or approved equal, conforming to ASTM Designation C260. The air content of the concrete with 3/4" maximum size aggregate shall be 6%, plus or minus 1.5% by volume. The air content for concrete with a 1-1/2" maximum size aggregate shall be 5%, plus or minus 1% by volume.

4.6 Water

Water used in mixing concrete shall in general be of drinking water quality and shall be clean and free from injurious amounts of oils, acids, alkalis, organic materials, salts, or other substances that may be deleterious to concrete or steel.

4.7 Storing and Handling Aggregates

All materials used for concrete must be kept clean and free from all foreign matter during transportation and handling and kept separate until measured and placed in the mixer. Bins or platforms having hard, clean surfaces shall be provided for storage. Suitable means shall be taken during hauling, piling, and handling to prevent segregation of the coarse and fine particles of the aggregate to such a degree as to disturb the gradation.

4.8 Measuring Materials

The proportions of cement and fine and coarse aggregate for each batch of concrete shall be determined by weight. Equipment for measurement of the amount of water used in each mix shall be readily adjustable and capable of measuring water in variable amounts within a tolerance of 1%.

4.8 Measuring Materials (continued)

All equipment for measuring and accurately controlling the quantities of materials shall be of approved design and shall be tested and calibrated before they are used. Tests shall be made of moisture content of aggregates and allowance shall be made for the variations in moisture content as required.

4.9 Proportions

Proportions of materials in the concrete and strength of concrete shall be approved by the Engineer and shall be subject to the following limitations:

<u>Class</u>	<u>Minimum 28-Day Compressive Strength psi</u>	<u>Maximum Net Water Content (Gals. Per Sack Cement)</u>	<u>Minimum Cement Content (Sacks Per Cubic Yard)</u>
A	4,000	5-1/2	7.0
B	3,000	7	5.5

Prior to the beginning of the concrete work, the Contractor shall submit a design mix consisting of a statement of the proportions of cement, fine aggregate, coarse aggregate, and water, and the gradations of the fine and coarse aggregates he proposes to use, for approval. He shall have standard test cylinders made and tested by an approved testing laboratory. Laboratory test reports shall show sources of materials, proportions of each material, including water used in the test mix, consistency, and the results of 7-day and 28-day compressive strength tests. Tests shall be made as described under Sections 4.11 and 4.12.

The exact proportions of materials used in the work shall be subject to the approval of the Engineer and shall not be changed without their approval. Slump tests shall be made from time to time during the progress of the work as specified under Section 4.11.

4.10 Slump Control

Class "A" and Class "B" concrete shall be furnished and placed at a slump of 2" to 4".

4.11 Slump Tests, Air Content Tests and Test Cylinders

The Contractor shall obtain the services of an approved testing laboratory for making slump tests, air content tests, and standard compression test cylinders as the work progresses, all at the direction of the Engineer, who shall be the sole judge of the number of tests and cylinders required.

4.11 Slump Tests, Air Content Tests and Test Cylinders (continued)

The Contractor shall furnish all necessary materials for the tests, including standard slump cones and molds for concrete test cylinders in conformance with ASTM Standard C470, latest revision. The Contractor shall provide proper storage for the cylinders.

Standard 6" x 12" test cylinders shall be made, stored, and cured in accordance with "Standard Method of Making and Curing Concrete Compression and Flexure Test Specimens in the Field", ASTM Designation C31, latest revision. A standard sample set shall consist of 6 test cylinders, 2 of which normally shall be broken at 7 days and 2 of which shall be broken at 28 days, and 2 spares.

Not less than 1 standard sample set shall be made for each 50 cubic yards, or fraction thereof, of concrete placed in any 1 day. The Contractor shall provide the services of an approved testing laboratory to test the cylinders. Tests shall be made as described under Section 4.12.

Slump tests shall be made in accordance with ASTM Designation C43, latest revision. The tests for air content shall conform to the requirements of "Test for Air Content of Freshly Mixed Concrete by the Pressure Method," ASTM Designation C231.

If tests do not show satisfactory results, the mix shall be adjusted as required. Concrete which does not meet the strength or air content requirements is subject to rejection and removal from the work or to such other corrective measures as approved by the Engineer to make the work acceptable, all at the expense of the Contractor.

4.12 Tests by Approved Laboratory

All testing shall be performed by a testing laboratory which conforms to the requirements of the "Standard Recommended Practice for Inspection and Testing Agencies for Concrete, Steel, and Bituminous Materials as used in Construction," ASTM designation E329 and is approved by the Connecticut Department of Transportation. The testing services shall be under the direction of a full-time licensed professional engineer.

Compression strength tests of cylinders shall conform to "Test for Compressive Strength of Molded Concrete Cylinders", ASTM Designation C39, latest revision.

4.12 Tests by Approved Laboratory (continued)

The cost of all testing work shall be borne by the Contractor. Within 24 hours after tests are made, the testing laboratory shall submit via email certified copies of the test results in PDF file format to the Contractor with the Engineer copied. Certified copies shall be sealed and signed by a licensed professional engineer.

4.13 Mixing

Concrete shall be mixed by an approved rotating type batch machine, except where hand mixing of very small quantities may be permitted. The arrangements shall provide for the correct weight of each ingredient before placing in the mixer and the ingredients to be used in each batch shall be governed by the size of the concrete mixer and shall not exceed the rated capacity specified for the mixer by the manufacturer. Unless otherwise permitted, the quantities shall be such as to require a whole number of bags of cement.

Mixing shall be thorough and all materials for each batch shall be mixed together at least 2 minutes while the drum revolves at the proper speed.

4.14 Transporting Concrete

The concrete shall be transported and placed in the work not more than one hour after the water is added to the dry ingredients. Care shall be taken to avoid spilling and separation of the mixture. No concrete in which ingredients have become separated shall be placed in the work. Retempering of partially set concrete will not be permitted. Suitable and approved equipment for transporting concrete from mixer to forms shall be used.

4.15 Transit Mixed Concrete

The Contractor shall submit full information as to the physical capability of the mixing plant and trucking facilities which are available and the estimated average amount which can be produced and delivered to the job site during a normal 8 hour day, excluding the output to other customers, for approval. The number of cubic yards of concrete placed daily will depend on the ability of the plant to deliver concrete to the site and is subject to the approval of the Engineer. The concrete shall be in accordance with the "Specification for Ready Mix Concrete", ASTM Designation C94, as amended, and all applicable requirements of this Item.

4.15 Transit Mixed Concrete (continued)

The Engineer shall have access to the mixing plant at all times. The concrete shall be mixed in revolving drum-type mixers which are in good condition and which produce thoroughly mixed concrete of the specified consistency and strength. Loads shall not exceed the proper capacity of the mixer.

Concrete shall be mixed for a minimum of 1-1/2 minutes after it arrives at the job site, or as recommended by the mixer manufacturer. The drum shall not mix while in transit. Mixing shall be continuous at proper speed until the concrete is discharged. Concrete shall be discharged from the mixer within 1 hour after water is added to the mix and shall have a slump as specified herein.

Adequate facilities shall be available for continuous delivery of concrete at the required rates. Concrete which does not meet the requirements of this specification will be rejected. Copies of the delivery slips shall be provided to the Engineer. Delivery slips shall be properly filled out indicating design mix requirements, water content, cement content and compressive strength, and the time the truck left the plant.

4.16 Forms

Forms shall be in accordance with the "Recommended Practice for Concrete Formwork" (ACI 347, latest revision), and shall be set and maintained so as to ensure that completed work is within the suggested tolerances of that Standard.

Forms shall be of plywood, plywood faced, or metal; shall conform to the shape, lines, and dimensions of the concrete as shown on the Contract Drawings; and shall be substantial and sufficiently tight to prevent leakage of mortar. The Contractor shall be responsible for the design and engineering of the formwork as well as its construction. The inside of forms shall be coated with a nontoxic, non-staining mineral oil or other approved material to prevent adhesion of concrete to the forms.

All edges and corners in the finished work shall be straight and true. External corners shall have a 3/4" chamfer unless otherwise shown. For all faces which are exposed in the finished work, forms shall be smooth and so built and treated that when removed; the concrete will be left with smooth, presentable surfaces, free from offsets, ridges, discoloration, or other unsightly defects. Deformed or otherwise defective forms shall be removed from the Work. The methods and materials used for tying forms in place shall be subject to approval and no wires shall be used for tying the forms on faces exposed in the finished work. Form ties shall be of bolts and rods of such design that the end of the internal member will be recessed by a removable cone at least 1" from the face of the finished concrete. Holes shall be closed in a workmanlike manner as specified under Section 4.22. Patches on exposed surfaces shall match the color of the surrounding concrete. Form tie systems which leave a void in the structure will not be permitted.

4.16 Forms (continued)

Concrete shall not be placed until all forms, bracing, and reinforcement are in final secure position. Formwork shall be completed and inspected prior to the placing of concrete. All pipes, sleeves, and other embedded items as shown on the Contract Drawings shall be in place before the concrete placing commences. Temporary openings shall be provided at the base of wall forms and at other points where necessary to facilitate cleaning and inspection.

4.17 Placing Concrete

Immediately before placing concrete, the forms shall be thoroughly cleaned and wet, and the space to be occupied by concrete shall be free from all dirt, chips, and foreign material. The concrete shall be carried up level along the whole length of the section under construction and shall be placed so as to avoid rehandling within the forms. Concrete shall be compacted by means of approved internal vibrators to produce dense, homogenous concrete without pockets or voids. Vibrators shall not be used to move the concrete along the form. Where spaces under pipes or other spaces are to be filled, concrete shall be forced under from one side until visible from the other side to prevent voids.

Chutes may be used for distributing concrete only when approved in writing by the Engineer. Requests for such approval shall be accompanied by sketches showing methods by which chutes will be employed. Chutes, if permitted, shall be designed with proper slopes and supports to permit efficient handling of the concrete without increasing the water-cement ratio.

Concrete shall not be permitted to free-fall within the form a distance exceeding 4'. "Elephant trunks" shall be used to prevent free fall and excessive splashing on forms and reinforcement.

When fresh and previously placed concrete are jointed, immediately before placing fresh concrete, the contact surface of the previously placed concrete shall be thoroughly cleaned using a stiff brush or other tools and a stream of water under pressure. The surface shall be clean and wet but free from pools of water at the moment the fresh concrete is placed. Any laitance, waste mortar, or other substance which will prevent complete adhesion shall be removed. A 1" thick coat of mortar of similar proportions to the mortar in the concrete shall be placed over the contact surface of the previously placed concrete and the fresh concrete shall be placed before the mortar has attained its initial set. No concrete shall be placed when the Engineer is not present.

The new concrete wall shall be poured in sections with joints at the locations shown on the Contract Drawings. Adjacent sections shall not be poured until the previous section has cured 7 days.

4.18 Weather Conditions and at Night

Concrete placement during cold or hot weather or at night shall conform to the following requirements:

Cold Weather: All methods and materials used for winter concreting shall be in accordance with the requirements of "Cold Weather Concreting", ACI 306, latest revision, and shall be subject to the approval of the Engineer. Plans to protect fresh concrete from freezing and to maintain temperatures not less than the permissible minimum during the first 7 days after placing shall be made before the first frosts are to occur. The temperature of the concrete placed shall not be less than 55°F or greater than 85°F and a temperature of between 50°F and 70°F shall be maintained for at least 7 days after placing. Means shall be provided, if necessary, to ensure that the ambient temperature shall not fall more than 30°F in the 24 hours following the 7 day period. Admixtures, except those approved by the Engineer, shall not be used. The cost of all materials furnished or required to protect against freezing shall be at the sole expense of the Contractor without extra charge therefor.

Hot Weather: All methods and materials used for hot weather concreting shall be in accordance with the requirements of "Hot Weather Concreting", ACI 305, latest revision, and shall be subject to the approval of the Engineer. Concrete deposited in hot weather shall have a placing temperature which will not cause difficulty from loss of slump, flash set, or cold joints.

At Night: No concrete shall be placed at night without permission of the Engineer, and the Contractor shall give at least 12 hours notice to the Engineer if he wishes to place concrete at night.

4.19 Quality of Concrete Work

Concrete shall be placed solidly against the forms and elsewhere so as to leave no voids. Every precaution shall be taken to make all masonry solid, compact, watertight, and smooth and to prevent the formation of laitance and to avoid cold joints. If for any reason the surfaces have voids or are unduly rough, or are in any way defective, such masonry shall be cut out to the extent ordered or permitted and shall be repaired to the satisfaction of the Engineer. The cost of all repairs shall be borne by the Contractor. No thin patches or plastering will be accepted.

Any concrete that is defective which, in the opinion of the Engineer, cannot be properly repaired as described above, shall be removed and replaced at the expense of the Contractor.

4.20 Care and Curing of the Concrete

All exposed surfaces of finished and unfinished concrete shall be kept constantly moist by sprinkling with water at short intervals, by covering with moist burlap, or by such other means as may be approved, for a period of not less than 7 days.

No exposed concrete shall be placed during rainstorms and freshly placed concrete shall be protected during storms to prevent erosion. Sufficient covering shall be provided and kept ready at hand for this purpose. All fresh work shall be carefully protected from injury.

4.21 Removal of Forms

Forms shall be removed in such manner as to ensure the complete safety of the structure. Reshoring will not be permitted. In no case shall the supporting forms or shoring be removed until the members have acquired sufficient strength to support safely their weight and the load thereon. The results of suitable control tests may be used as evidence that the concrete has attained such sufficient strength. The minimum time for removal of forms will be subject to the Engineer's approval.

4.22 Finish

Immediately after the concrete forms are removed, all extrusions shall be chipped off and all tie rod holes patched with 1 part cement to 2 parts sand mortar mix. Exposed vertical surfaces shall have a rubbed finish and shall be rubbed with carborundum stones no later than the day following form removal. During the rubbing, water shall be constantly applied to the concrete. Rubbing shall continue until the surface is brought to a smooth, even texture.

All horizontal surfaces shall be struck to the proper grade by moving a straight edged template back and forth across the placed surface in a saw motion until the required grade is reached. Shortly after the striking operation, while the surface is still plastic, it shall be floated with wood or magnesium floats. The process shall bring the surface to the true required grade. After the surface has reached the partial hardness stage, it may have to be refloated to secure a proper finish.

The various finishes required for the surfaces are as follows:

Rubbed: Exposed vertical surfaces.

Chipped of Extrusions and Tie Holes Patched: All surfaces below grade.

Wood/Magnesium Float: All horizontal surfaces except those receiving broom finish as described below.

Broom Finish: Spillway structure top slab.

4.23 Protection from Injury

Finished concrete surfaces shall be protected from injury and defacement until the work under the Contract is accepted.

4.24 Construction and Expansion Joints

Joints in concrete shall only be made where shown on the Contract Drawings or permitted by the Engineer. In either case they shall be made in accordance with the details shown on the Contract Drawings.

Expansion joint material shall be premolded concrete gray, open cell sponge rubber as manufactured by Williams Products, Inc., Troy, Michigan, or approved equal.

Horizontal waterstops shall be 6" x 1/4" steel plates.

4.25 Sealant

Sealant shall be a 1 component polyurethane based compound such as Sikaflex 1A, or approved equal. It shall be placed in accordance with the manufacturer's instructions. The depth of the joint shall be one-half the width.

4.26 Steel Reinforcement

Bars or rods shall be deformed bars of an approved type and shall be free from defects and kinks and from bends which cannot be readily and fully straightened in the field. They shall conform to ASTM Designation A615, Grade 60, latest revision. The Contractor shall furnish satisfactory test certificates. All bars shall be stored in clean, dry places until incorporated in the work.

4.27 Detailing, Fabrication, and Placing Reinforcement

All reinforcement at the time concrete is placed shall be free from loose rust, scale, or other coatings that will destroy or reduce the bond. All detailing and fabrication of reinforcement, unless otherwise noted, shall conform to "Details and Detailing of Concrete Reinforcement" ACI 315, latest revision, and "Manual of Engineering and Placing Drawings for Reinforced Concrete Structures" ACI 315R, latest edition. Metal supports, touching formed or exposed concrete surfaces, shall not be used. Reinforcement shall not be secured to forms by means of wire, nails, or other ferrous material. Metal chairs with plastic feet shall not be used to support reinforcement unless approved by the Engineer.

4.27 Detailing, Fabrication, and Placing Reinforcement (continued)

Wood spacers, concrete block spacers, nails with tie wires, or metal chairs with plastic feet shall not be used as side form spacers. Bent reinforcement bars shall be used as spacers between mats of reinforcement steel. Suitable means shall be provided to maintain the required space between reinforcement steel and side forms, such as attaching reinforcement steel to form ties. The Contractor shall submit their proposed means to the Engineer for approval.

During construction, impalement safety covers conforming to the requirements of OSHA 1926.701(b) shall be utilized.

4.28 ACI Code

Except as otherwise shown on the Contract Drawings or as specified herein, "Building Code Requirements for Reinforced Concrete", ACI 318, latest revision, shall apply.

4.29 Dampproofing

The Contractor shall apply dampproofing to the outside of the spillway structure inlet gate chamber and the back face of the energy dissipator , starting 6" below finished grade. Materials for this work shall conform to the requirements of Article M12.05 of Form 817 for Asphalt for Primer and Seal Coat or Tar for Primer and Seal Coat. All surfaces on which dampproofing is to be applied shall be cleaned of all loose and foreign material. The surface shall be dry before the primer is applied. One coat of primer shall be applied at the rate of 1/8 gallon per square yard, followed by the application of a seal coat at a rate of 1/10 gallon per square yard.

4.30 Measurement and Payment

The quantity to be paid for under Items 4A and 4B, Class "A" Concrete and Class "B" Concrete shall be measured for payment as the volume of concrete actually placed within the limits shown or directed, with no deductions made for openings less than 1 square foot in cross-section. Class "B" concrete used as fill concrete in areas of excess excavation shall be at the Contractor's expense.

The unit price per cubic yard bid under Item 4A, Class "A" Concrete, shall be payment in full for all labor, tools, materials, and equipment necessary to furnish and install the Class "A" Concrete, complete as shown and specified, including expansion joints, sealant, and reinforcing steel.

4.30 Measurement and Payment (continued)

The unit price per cubic yard bid under Item 4B, Class "B" Concrete, shall be payment in full for all labor, tools, materials, and equipment necessary to furnish and install the Class "B" Concrete, complete as shown and specified or directed.

Pipe, Valves, and Accessories

Item 5

5.1 Work Included

Under this Item the Contractor shall supply all labor, tools, materials, and equipment necessary to furnish and install the ductile iron pipes, mechanical joint fittings and gate valve, slide gate, extension stems, floor box, and appurtenances complete as shown and specified herein.

The concrete for the inlet and outlet pipe encasements and cradles is specified and paid for under Item 4B.

5.2 Ductile Iron Pipe

5.2.1 Pipe, Fittings, and Specials

Ductile iron pipe shall conform in all respects, except for ends, to AWWA C151, latest editions. Pipe shall be ductile iron thickness Class 52 with either push-on joint or mechanical joint as shown on the Contract Drawings, except where flanged ends are shown or required. Flanged end pipe shall be ductile iron thickness Class 53.

Pipe ends and fittings shall conform to AWWA C111, latest edition. Fittings shall be ductile iron and shall conform to AWWA C110 latest edition. Flanged ends shall conform to current ANSI Specification A21.15 for centrifugally cast pipe with factory applied screwed long hub companion flanges. Flanges shall be faced and drilled after being threaded to the pipe, be true 90° with the pipe axis, and shall be flush with the end of the pipe. Flanges shall be flat face, full thickness ductile iron flanges. Flanges shall conform to ANSI B16.1 Class 125.

Affidavit and drawings shall be furnished as specified in Section 11.6 of AWWA C111.

The manufacturer's certifications specified in Sections 51.4, 51.7, 51.9, and 51.14 of Specification ANSI A21.51 (AWWA C151) shall be furnished for ductile iron pipe. A statement shall also be furnished stating that the coating and lining have been installed in accordance with ANSI A21.4 (AWWA C104).

5.2.1 Pipe, Fittings, and Specials (continued)

All pipe and fittings shall be furnished with a bituminous sealcoat, double thickness cement mortar lining in accordance with ANSI A21.4 (AWWA C104), latest revision, and an exterior bituminous coating. Coating that is damaged during shipment or placement shall be touched up in the field with two (2) coats of an asphaltic coating fully resistant to water and chemicals.

All bolts, nuts, glands, gaskets, tie down straps and other jointing materials are included under this Item.

Each piece of pipe shall be plainly marked at the foundry with class number and weight.

Restrained joints shall be used at all new piping associated with the low-level outlet extension and upstream valve. Joints shall be restrained using mechanical joint pipe and fittings and MEGALUG multiple wedging action thrust restraint glands as manufactured by EBAA Iron, Inc. Push-on joint pipe with EBAA Iron, Inc. Series 1700 restraint harness will also be allowed. Restraint glands shall be installed in strict accordance with the manufacturer's instructions.

5.2.2 Laying Ductile Iron Pipe

All pipe installation shall conform to AWWA Standard C600, latest revision, unless otherwise modified by these specifications.

Pipe shall be installed on a concrete cradle and encased in concrete as shown on the Contract Drawings. The Contractor shall cast-in-place a concrete support at the location of the bell end of each pipe. The pipes shall be set on the concrete support and brought to grade by the use of steel shims. The pipes shall be tied to the supports or leveling course to prevent shifting or flotation during the pouring of the concrete cradles. The Contractor may submit, for the Engineer's approval, an alternate method of installation.

All pipe and fittings shall be lowered carefully into place by means of mechanical equipment in such a manner as to prevent them from being damaged. The insides of all bells and outsides of spigots shall be wire brushed and wiped clean and dry and shall be free from oil or grease. During the laying of the pipe, extra care shall be taken to see that no dirt, debris, tools, clothing, or other illicit materials are allowed to be left in the pipeline.

After the pipe is laid, the spigot end shall be centered in the bell and forced home. The Contractor shall install and joint the pipe in accordance with the manufacturer's instructions.

5.2.2 Laying Ductile Iron Pipe (continued)

The grooves in the bells of push-on joint pipe shall be carefully cleaned of all dirt and debris before inserting the gaskets. After applying a thin film of lubricant to the gasket, the spigot end of the pipe is pushed into the bell of the pipe. The joint shall be kept straight while pushing and any deflection made after the joint is home. When the pipe is cut in the field the spigot end shall be beveled with a heavy file or grinder to remove all sharp edges.

When necessary to cut pipe in the field, the cutting shall be done such that neither the pipe nor the lining shall be damaged and such that a smooth, right angle to axis cut is made. A machine designed for this purpose shall be used for the cutting. Field cutting will only be allowed on pipe which has been calibrated and identified as pipe suitable for cutting.

5.2.3 Handling and Distribution

Pipe shall be handled with care during delivery and distribution to avoid damage. The interior shall be kept free from dirt and foreign matter.

All pipe will be carefully inspected as it is installed, but will not be subject to a hydrostatic test.

5.3 Valves and Accessories

5.3.1 Slide Gate

The self-contained stainless steel slide gate assembly shall be furnished complete with non-rising stainless steel stem, and a flange for mounting to the concrete wall. The slide gate, extension stem, wall mounted stem guide and appurtenances shall be Series A-111 as manufactured by Rodney Hunt, SS-250 as manufactured by Waterman Industries, Hydro Gate or approved equal. The gate shall be fabricated of A304 stainless steel, conforming to AWWA Specification C561, latest revision. The 16-inch slide gate shall be designed for an unseating head of at least 20 feet of water and the leakage shall be less than allowable under AWWAA C561. Connection between the gate and the concrete wall shall be made with stainless steel anchor bolts and nuts, as shown on the Contract Drawings.

5.3.2 Extension Stems, Couplings, and Cast Iron Floor Box

Extension stems shall be either a solid stainless steel stem or stainless steel torque tube and shall be of adequate size to open the necessary valves with a maximum angular twist of 6 degrees. Couplings shall be of stainless steel, drilled and pinned. The top of the extension stem shall have a 2" operating nut.

5.3.2 Extension Stems, Couplings, and Cast Iron Floor Box (continued)

The cast in place floor box shall be furnished with a bronze bushing 1/4-inch larger in diameter than the extension stem and a 2-1/2 inch extension nipple. The floor box shall be as manufactured by Trumbull Industries or approved equal.

5.3.3 Installation and Inspection of Slide Gate, Extension Stem and Appurtenances

The slide gate, extension stem, and coupling, and stem guide shall be installed in accordance with the manufacturer's recommendations and instructions. If the Contractor is not, in the opinion of the Engineer, experienced in the installation of this type of equipment, the Contractor shall obtain and pay for the services of a qualified factory representative, who shall instruct the Contractor as to the proper procedures for installing the equipment.

At the completion of the installation, the Contractor shall arrange and pay for an inspection of the installation by a qualified factory representative prior to operating the gate. The Contractor shall be present during the inspection and shall provide assistance for making adjustments if required. The installation shall also be inspected with the pond full, and adjustments made as required.

5.3.4 Mechanical Joint Gate Valve

Gate valves shall be resilient seat, non-rising stem and shall be made from gray iron or ductile iron and conform to AWWA C509 latest revision or be made from ductile iron and conform to AWWA C515 (Standard for Reduced-Wall, Resilient-Seated Gate Valves). Valves shall have mechanical joint ends and two-inch (2") operating nut with embossed direction arrow. Mechanical joint ends shall have restraint glands as specified herein under Section 5.2.1. Valves shall have a pressure rating of 250 psi, as manufactured by Mueller Company A-2360 Series, American Flow Control Series 2500, American AVK Company - Series 25, or approved equal.

Valve body, bonnet, stuffing box, wedge and operating nut shall be constructed of gray iron or ductile iron for AWWA C509 valves or ductile iron for AWWA C515 valves. Valve wedge shall be fully encapsulated in nitrile, SBR or EPDM rubber. All bolts, nuts and washers shall be corrosion resistant. Valve stem shall be of high strength bronze or stainless steel with a minimum yield strength of 30,000 psi. Stuffing box shall be triple O-ring sealed to allow the upper stem seal to be replaced while the valve is under pressure and fully opened. Valves shall be hydrostatically shell tested at 500 psi at the factory.

Interior and exterior steel or cast iron surfaces of valves, except finished or bearing surfaces, shall be coated with a fusion bonded epoxy in accordance with AWWA C550. Extension stem shall be as specified herein under Section 5.3.2.

5.3.5 Installation of Gate Valves

Gate valves shall be installed in a neat and workmanlike manner and in accordance with the manufacturer's instructions. Heavy units shall be handled with suitable mechanical equipment. Valves which are dropped or otherwise mishandled or damaged prior to the Engineer's final certification shall be checked by a representative of the manufacturer, and repaired or replaced, if necessary, at the Contractor's expense.

All valves shall be built into their respective pipelines as shown on the Contract Drawings. They shall be cleaned and manually operated before installation. Valves shall be set in a closed position and shall be kept closed until otherwise directed by the Engineer. Valve joint installation shall conform to the appropriate requirements specified herein

Extension stems shall be installed in accordance with the manufacturer's recommendations and instructions and as shown on the Contract Drawings.

5.3.6 Appurtenances

All anchor bolts, studs, nuts, set screws, and similar items shall be stainless steel.

5.4 Payment

The lump sum bid for Item 5, Pipe, Valves and Accessories, shall include payment in full for all tools, labor, materials, and equipment necessary to furnish and install ductile iron pipes, mechanical joint fittings and gate valve, slide gate, extension stems, floor box, and appurtenances as shown on the Contract Drawings and specified herein.

Compacted Embankments

Item 6

6.1 Work Included

Under this Item the Contractor shall furnish all labor, tools, materials, and equipment necessary to do all backfill and compacted embankment work, complete as shown and specified. Included under this Item are the backfilling of the spillway structure and training walls; 16-inch inlet pipe; spillway outlet pipe; and energy dissipator; the construction of all embankments, including furnishing, transporting, placing, and compacting the materials; and constructing, maintaining, and removing temporary roadways for transporting embankment materials.

6.2 Embankment Materials

The earth for compacted embankments shall be furnished by the Contractor from approved outside sources or from excavations. Embankment material shall consist of clean earth, which does not contain vegetation or masses of roots, and shall be substantially free from loam or other organic matter. Material shall be readily compactable by mechanical means and shall upon compaction form a solid, stable, embankment. The embankment material shall not contain rocks larger than six inches in size. The embankment material shall be hardpan or glacial till such that 20-30% of the material passing a No. 4 sieve shall pass a No. 200 sieve. Samples of the proposed material, a sieve analysis and Standard Proctor test shall be submitted to the Engineer for approval. A 5-gallon sample of the approved material shall be kept on site in a sealed container.

6.3 Preparation of Surfaces Under Embankments

Prior to placing the embankment, all mud, water, loose dirt and rock, and foreign material shall be removed, and depressions shall be thoroughly filled to the surface with suitable materials which shall be compacted in place in a satisfactory manner. Immediately prior to placing embankment materials, the foundations shall be thoroughly plowed and broken to a depth of at least 8" and worked by harrowing or other approved means, with the addition of water, if required. The surface shall be rolled, as specified for the embankment. No material shall be placed in any section of the dam embankment until the foundation for that section has been dewatered and suitably prepared and has been approved by the Engineer.

6.4 Construction of Embankments

Materials for the construction of embankments shall be transported in approved conveying units of such size and having such bearing tread areas that the completed fill shall not be unduly rutted by their passage. Equipment shall not be used if it is heavy enough to cause non-uniform consolidation of the embankment. All embankment surfaces that are too smooth to bind properly with succeeding layers shall be loosened by disking or harrowing or other approved means before the succeeding layer is placed thereon. The embankment material shall be evenly and uniformly spread in horizontal layers for the entire length of the dam as nearly as practicable to 7" in thickness. The embankment shall be sloped to allow for drainage during construction.

Any stones greater than 6-inches in diameter and all roots and other perishable materials shall be removed prior to rolling. A rock rake or other approved means may be required to remove stones from the embankment material prior to compaction. All excavation, transportation, and placing operations shall be such as will produce a satisfactory mixture and gradation of material after it has been spread and compacted. No frozen material shall at any time be used in the construction of rolled embankment and no materials shall be placed on the embankment that is frozen or loosened by freezing. The spreading equipment shall be lightweight and no other equipment, except sprinklers or harrows as necessary, shall pass over any layer which is being prepared for rolling before rolling is complete. Dumping, spreading, sprinkling, and compacting shall be carried out systematically so as not to interfere with each other. Portions of embankment which are too near concrete structures or the outlet pipe, or for other reasons cannot be properly compacted with rolling equipment shall be thoroughly compacted in 3" layers by mechanical tampers.

Embankment shall be compacted to 95% of Standard Proctor maximum dry density at a moisture content close to the optimum moisture content determined by the standard procedure of ASTM D 698, latest revision. The Engineer's specific requirements as to selection of materials, water content, and degree of compaction necessary will be varied as necessary to obtain an impervious embankment of the required dry weight and stability.

6.5 Moisture Control

The moisture content of materials in the embankment shall be controlled to meet the above requirements. When necessary, moisture shall be added by use of approved sprinkling equipment. Water shall be added uniformly and each layer shall be thoroughly disked or harrowed to provide proper mixing. Any layer found too wet for proper compaction shall be allowed to dry before rolling. Placing or rolling of material on earth fills will not be permitted during or immediately after rainfalls that

6.5 Moisture Control (continued)

increase the moisture content beyond the limit of satisfactory compaction. The earthfill shall be brought up uniformly and its top shall be kept graded and sloped so that a minimum of rainwater will be retained thereon. Compacted earth fill damaged by washing shall be acceptably replaced by the Contractor.

6.6 Compaction

Approved vibratory pad foot rollers or other suitable tamping rollers shall be used for compacting all parts of the embankments that they can effectively reach. The Contractor shall demonstrate the effectiveness of the roller by actual soil compaction results of the soil to be used in the embankment with laboratory work performed by an approved soil testing laboratory. Smooth drum vibratory rollers will not be acceptable.

Adjacent roller trips shall overlap to ensure proper coverage. All parts of the embankment shall be compacted to the extent ordered by the Engineer in accordance with the results and requirements described and specified hereinabove. In the early part of the work, various numbers of roller trips will be tried in order to determine the proper compaction method. The Contractor shall vary the number of roller trips as directed and shall cooperate with the Engineer in obtaining a solid, tight embankment, uniformly compacted to not less than 95% of Standard Proctor maximum dry density.

To verify that the specified degree of compaction is obtained, the Contractor shall obtain the services of an approved testing laboratory to perform field in-place density tests and develop moisture density curves of the embankment materials used. A minimum four (4) in-place density tests shall be taken for every 1' vertical increment (two lifts) of embankment placed. Tests shall conform to the requirements of ASTM D 6938 density of soil in place by the nuclear density method. Corrections for over size particles shall conform to the requirements of ASTM D 4718. Moisture density curves shall be developed in accordance with ASTM D 4959. One sample shall be taken for every 1 foot vertical increment of the embankment placed for use in developing the moisture density curves. The Engineer shall select the location of the tests along the dam embankment.

The cost of all testing work shall be borne by the Contractor. Within 24 hours after tests are made, the testing laboratory shall submit via email certified copies of the test results in PDF file format to the Contractor with the Engineer copied. Certified copies shall be sealed and signed by a licensed professional engineer.

6.7 Finishing Embankments

The embankments shall be constructed to the elevations, lines, grades, and cross sections as shown on the Contract Drawings. The embankments shall be maintained in a manner satisfactory to the Engineer and surfaces shall be compacted and accurately graded before topsoil or gravel is placed on them. The Contractor shall check the embankment slopes to ensure that they conform to the slopes given on the Contract Drawings and are uniform for the entire length of the slope.

6.8 Roadways

The Contractor shall either use existing access roads and driveways or construct temporary haul roads as required to transport embankment materials to the dam. The Contractor shall be responsible for maintaining and repairing the haul roads during the course of the project. The Contractor shall make repairs as required and leave the existing roads and driveways in as good or better condition than they were prior to construction. Condition of existing roads and driveways used as haul roads will be digitally recorded by photographs and videos prior to the start of construction, these recordings will be used to establish the existing condition of the roads and the condition to which the Contractor must restore them. The Contractor shall control dust as directed by the Engineer for the duration of the project. Temporary haul roads shall be removed, and the areas restored to the satisfaction of the Engineer.

The costs for constructing, maintaining, and removing temporary haul roads and for maintaining and repairing existing roads shall be included in the lump sum price bid under this Item.

6.9 Payment

The lump sum bid under this Item shall include payment in full for all labor, tools, materials, and equipment necessary to do all backfill and embankment work, complete as shown and specified. Included under this Item are compaction testing and the maintenance of existing roads, and construction, maintenance, and removal of temporary haul roads.

Riprap

Item 7

7.1 Subdivisions of Item 7

This Item is subdivided for payment as follows:

Item 7A - Gravel Bedding
Item 7B - Standard Riprap

7.2 Work Included

Under this Item the Contractor shall supply all labor, tools, materials, and equipment required to furnish and place bedding and riprap at the various locations shown on the Contract Drawings or ordered by the Engineer. The riprap shall be placed to the thickness shown at the energy dissipator and to match the existing thickness at eroded areas of the upstream slopes. Riprap shall be brought up evenly to the required grade with surface voids filled by hand placing. Bedding and filter fabric shall be placed below the riprap on the left dike and the energy dissipator discharge channel, where shown or required by the Engineer.

Included under Item 7A is the furnishing and placing of bedding material for the riprap.

Included under Item 7B is the furnishing and placing of riprap.

7.3 Materials

Gravel bedding material shall be clean, well-graded bankrun gravel or crushed gravel, free from wood, sod and other deleterious materials and shall be approved by the Engineer. Gravel bedding shall conform to the requirements of Section M.02.06 of the State of Connecticut Department of Transportation Form 819, for Grading A.

Materials for riprap shall be stone obtained on site or from an approved source. Rock fragments for riprap shall be angular, dense, and sound rock, resistant to abrasion and able to resist long exposure to weathering. Rock fragments shall also be free from cracks, seams, and other defects that would tend to increase unduly their destruction by water and frost action.

7.3 Materials (continued)

Riprap shall be of the proper size to form a compact, solid blanket to protect the embankment and spillway channel and prevent erosion. Additional smaller rock may be required to fill the voids in the riprap.

Standard riprap shall conform to the requirements of Section M.12.02 of the State of Connecticut Department of Transportation Form 819.

Not more than 15% of the riprap shall be scattered spalls and stones less than 6 inch on any side.

No stone shall be larger than 30 inches on any side, and at least 75% of the weight shall be stones at least 15 inches.

7.4 Placing Bedding

Subgrade shall be fine graded to the required lines and grades prior to placement of bedding material.

The bedding material shall be spread and compacted to the required lines and grades. Final compacted thickness shall be 12". Bedding is not required where riprap is placed on concrete.

7.5 Placing Riprap

Riprap shall be placed to the thickness shown on the Contract Drawings and to the finished grades shown or directed. Where riprap is placed along upstream slopes to fill eroded areas, the thickness shall match that of the existing surrounding riprap. Care shall be taken in placing riprap to obtain a good gradation of materials so that the riprap will be firm and solid. Surfaces shall be leveled to the required alignment and slope by hand placing so as to fill large voids and to make the surface even.

7.6 Measurement

The quantity to be paid for under Item 7A, Gravel Bedding, shall be the actual number of cubic yards of bedding furnished and installed, measured in-place within the limits shown or ordered.

The quantity to be paid for under Item 7B shall be the actual number of square yards of standard riprap, measured in-place within the limits shown or ordered.

7.7 Payment

The unit price bid per cubic yard under Item 7A Gravel Bedding shall be full payment for all labor, tools, materials, and equipment used to furnish and place crushed stone bedding including filter fabric, as specified and shown or directed.

The unit price bid per square yard under Item 7B Standard Riprap shall be full payment for all labor, tools, materials, and equipment used to furnish and install standard riprap, as shown in the Contract Drawings and specified herein.

Miscellaneous Metal Work

Item 8

8.1 Work Included

Under this Item the Contractor shall supply all labor, tools, materials and equipment necessary to furnish and install miscellaneous metal work in conjunction with the spillway and energy dissipator structures and inlet pipes, as shown on the Contract Drawings and specified herein, including, but not limited to: expansion bolts; aluminum access hatch; ladder and safety post; water level gauge; inlet pipe bar screen; spillway structure and energy dissipator bar screens; and appurtenances, as shown on the Contract Drawings.

Furnishing and installing chain link fence is specified and paid for under Item 10, Chain Link Fence.

Furnishing and installing aluminum railings are specified and paid for under Item 11, Aluminum Railing.

8.2 Expansion Bolts

Expansion bolts shall be HILTI-Stainless Steel Kwik-Bolts as supplied by HILTI, Inc., Stamford, Connecticut, or approved equal.

8.3 Aluminum Access Hatch

The access hatch door shall be sized as shown on the Contract Drawings. The door and frame shall be aluminum. The hatch shall be equipped with channel frame and drain; the drain shall discharge into the inlet gate chamber. The hatch door shall be watertight and be equipped with automatic hold open arm, cover release, lifting mechanism, and handgrips. Hatch shall be provided with a recessed padlock hasp covered by a hinged lid flush with the surface of the door. The aluminum access hatch shall be Bilco Type Model #JAL or approved equal.

All aluminum surfaces which come in contact with dissimilar surfaces shall be backpainted with an approved bituminous paint.

Access hatch shall be designed to withstand a live load of 300 pounds per square foot.

8.4 Stainless Steel Ladder

The ladder shall be fabricated from Type 304 stainless steel and installed in the gate chamber in accordance with details shown on the Contract Drawings. Rungs shall be of slip resistant ribbed or corrugated design, spaced at a maximum of 12 inches vertically on center. Rungs shall be inserted into holes drilled into the rails and welded all around. The ladders shall be fabricated to meet all OSHA or other local and federal requirements. The Contractor shall submit shop drawings for approval prior to fabrication. All hardware for mounting the ladders on the walls shall be furnished and installed by the Contractor. Expansion bolts shall be as specified under Section 8.2. After fabrication, the ladder shall be stress relieved to prevent heat related corrosion.

All welding shall conform to the requirements of the American Welding Society.

The Contractor shall furnish and install on the ladder a stainless steel Ladder Up safety post as manufactured by The Bilco Company or approved equal. The device shall be manufactured of high strength stainless steel with telescoping tubular section that locks automatically when full extended. Upward and downward movement shall be controlled by a stainless steel spring balancing mechanism. Unit shall be completely assembled with stainless steel fasteners for securing to the ladder rungs in accordance with the manufacturer's instructions.

8.5 Water Level Gauge

The Contractor shall furnish and install a fiberglass water level gauge mounted on the exterior of the spillway structure where shown on the Contract Drawings. The gauge shall be a Fiberglass Stream Gauge with English Graduations as supplied by Foresty Suppliers, or approved equal. The gauge shall be 4" wide graduated to hundredths of a foot and marked at every foot and every tenth of a foot. Sections shall be provided as required to read from 0 to 8.0 feet for the gauge with zero set at spillway elevation. Mounting hardware shall be stainless steel.

8.6 Spillway and Outlet Structure Bar Screens

The spillway and outlet structure bar screens shall be fabricated from stainless steel and be comprised of 2-inch nominal inside diameter Schedule 40 stainless steel pipe, bars, plates, angles, dowel pins, anchor bolts, nuts and washers, as shown on the Contract Drawings. All joints shall be welded in accordance with the applicable specifications of the American Welding Society. The bar screens shall be installed where and as shown on the Contract Drawings. The bar screens shall be stress-relieved to prevent heat related corrosion. All bar screens shall be firmly attached with stainless steel hardware.

8.7 Intake Pipe Bar Screen

Bar screens shall be furnished and installed for the 16-inch inlet pipe and existing 10-inch low-level outlet intake as shown on the Contract Drawings.

Bar screens shall consist of 3/4-inch stainless steel rods, stainless steel nuts, oversized stainless steel washers, 3/4-inch Schedule 40 PVC pipe spacers, and a 3/8" thick stainless steel end plates. The stainless steel rods shall be threaded 6 inches at each end. Bar screens shall be installed as shown on the Contract Drawings.

8.8 Payment

The lump sum price bid for Item 8, Miscellaneous Metal Work, shall include payment in full for all equipment, materials, tools and labor necessary, to furnish and install the miscellaneous metal work as shown on the Contract Drawings and specified herein.

Additional Excavation and Disposal of Unsuitable Material

Item 9

9.1 Work Included

Under this Item, the Contractor shall do all excavation ordered by the Engineer which is not specifically included under other Items of the Contract and is necessary for the installation of structures and embankments. This Item applies particularly to excavation below grade to remove, if encountered, unsuitable material which, in the judgment of the Engineer, should be removed; and additional excavation required.

Furnishing and placing concrete refill under concrete structures is paid for under Item 4B.

Furnishing and placing backfill and compacted embankments, within the limits as shown on the Contract Drawings, is included and shall be as specified and paid for under Item 6.

Furnishing and placing additional backfill material to replace excavated unsuitable materials as specified under this Item, is paid for under Item 12.

9.2 Unsuitable Material

Unsuitable material, as defined by this Item, shall be additional material from excavations that contain organic material, or other material deemed unsuitable by the Engineer, and which are beyond the limits of excavation as shown on the Contract Drawings. Unsuitable material shall be disposed of offsite in an approved location and manner.

9.3 Measurement and Payment

The unit price bid per cubic yard for Item 9, Additional Excavation and Disposal of Unsuitable Material shall be measured in place as the actual number of cubic yards of material deemed unsuitable by the Engineer, removed and disposed of offsite.

The unit price bid per cubic yard for Item 9 shall include all labor, tools, materials, and equipment to excavate, load, haul, and dispose of unsuitable material.

Chain Link Fence

Item 10

10.1 Work Included

Under this Item, the Contractor shall supply all labor, tools, materials, and equipment necessary to furnish and install chain link fence at the energy dissipator, complete as shown and specified.

10.2 Chain Link Fence

Shop drawings shall be submitted to the Engineer, for approval, showing layout and details of construction and erection of fence, and accessories. The chain link fence shall be installed at the locations shown on the Contract Drawings.

The fence fabric shall be "Fused Bonded Fabric" PVC coated steel meeting the requirements of ASTM F668 Class 2B. Overall height shall be 4 feet. Core wire shall be No. 9 gage steel wire, hot dipped galvanized, with a coating thickness of 0.007 inches. Fabric shall be woven in a 2-inch mesh. Both selvages shall be knuckled. Color shall be black.

All tension bars; bands and ties shall be vinyl-coated in accordance to U.S. Specification RR-F-191/3C. Color shall match that of the fence fabric.

The chain link fabric shall be securely fastened to all terminal posts using 1/4" x 3/4" tension bars and heavy No. 16 gage steel tension bands. There shall be one band for each foot in the height of fence. The fabric shall be fastened to all intermediate posts, and top and bottom rails with No. 9 gage coated (O.D.) tie wires, spacing not to exceed 10 inches.

The fabric shall be stretched to proper tension between terminal posts and securely fastened to the framework members. The bottom of the fabric shall be held as uniformly as is practicable to the finished grade.

All posts and other appurtenances used in the construction of this fence shall be PVC coated schedule 40 steel pipe in accordance with RR-F-191/3C, Grade A.

10.2 Chain Link Fence (continued)

Weights and dimensions of fence posts and rails shall be as per the following schedule:

Description	Nominal Outside Diameter	Weight (lbs/ft)
	4' High	4' High
Gate Posts	3"	5.79
End and Corner Posts	2-1/2"	3.65
Intermediate Posts	2"	2.72
Top and Bottom Fence Rails	1-5/8"	2.27

Fence posts on concrete structures shall be welded to 6" x 6" x 3/8" steel anchor plates as shown on the Contract Drawings. A 1/4" drain hole shall be drilled into each railing post as shown on the Contract Drawings. The base plates shall be attached to the top of the concrete with stainless steel nuts and threaded rods grouted into the concrete with epoxy mortar such as Hilti HIT-HY 200 or approved equal.

Posts shall be furnished with pressed steel or malleable iron tops secured by screws.

The top rail shall be provided with couplings approximately every 20 feet. Couplings are to be outside sleeve type at least 6 inches long. The top rail is to pass through the line posts tops and form a continuous brace from end to end of each stretch of fence. The top and bottom rails shall be securely fastened to the terminal posts by heavy pressed steel brace bands and malleable rail end connections.

Installation shall be made in a workmanlike manner by skilled mechanics experienced in erection of this type of fence. The fence shall be erected on line and to grade with all posts plumb.

Vinyl-clad chain link fabric, posts, framework, and accessories shall be as manufactured by Boundary Fence and Railing Systems, Inc., Richmond Hill, New York or approved equal.

The Contractor shall field measure to verify all dimensions prior to fabrication.

10.3 Payment

The lump sum bid for this Item 10, Chain Link Fence, shall include all labor, tools, materials, and equipment required to furnish and install the chain link fence, complete as shown and specified.

Aluminum Railing

Item 11

11.1 Work Included

Under Item 11, the Contractor shall provide all labor, tools, materials and equipment necessary to furnish and install aluminum railings at the spillway structure. The Contractor shall provide temporary railings or fall prevention equipment for the use of the workers during construction.

11.2 Aluminum Railing

Posts and rails shall be fabricated aluminum pipe of the diameters and weights shown on the Contract Drawings. All pipe joints shall be notched and fully welded 360 degrees. All welding shall be in accordance with the American Welding Society.

The railing shall be constructed to the dimensions shown on the Contract Drawings. Posts shall be evenly spaced in the line of the railing no further apart than 6 feet on center.

Posts shall be anchored to the face of the spillway structure with aluminum mounting plates and stainless steel nuts and threaded rods grouted into the concrete with epoxy mortar such as Hilti HIT-HY 200, as shown on the Contract Drawings. Solid aluminum rod inserts shall be provided at mounting plates as shown on the Contract Drawings. The Contractor shall field measure to verify all dimensions prior to fabrication. The mounted handrail shall be capable of withstanding a minimum of 200 pounds applied in any direction at any point of the handrail..

All aluminum surfaces which come in contact with dissimilar surfaces shall be backpainted with an approved bituminous paint.

The manufacturer shall guarantee that the railings, when installed according to their recommendation, meet all requirements of the latest revision of OSHA and applicable building codes.

11.3 Payment

The lump sum bid for Item 11, Aluminum Railing, shall include all labor, tools, materials, and equipment required to furnish and install the aluminum railings, complete as shown and specified.

Additional Backfill Material

Item 12

12.1 Work Included

Under this Item the Contractor shall obtain from outside sources, deliver to the site of the work, and place additional backfill material necessary to replace excavated materials defined and specified under Item 9 to be unsuitable.

12.2 Materials

The materials to be furnished under this Item shall be approved embankment materials as specified under Item 6, Compacted Embankments. Embankment materials shall be placed as specified under Item 6.

12.3 Disposal of Unsuitable Materials

Unsuitable materials shall be disposed of as specified under Item 9, Additional Excavation and Disposal of Unsuitable Material.

12.4 Measurement and Payment

The quantity to be paid for under this Item 12, Additional Backfill Material, shall be the actual number of cubic yards measured in place within the limits ordered by the Engineer to replace unsuitable material as specified under Item 9.

Furnishing and placing concrete refill under concrete structures is paid for under Item 4B.

The unit price bid under this Item 12, Additional Backfill Material, shall be full payment for all labor, tools, materials, and equipment necessary for furnishing and placing additional backfill material at the excavation.

Toe Drains and Appurtenant Structures

Item 13

13.1 Work Included

Under this Item, the Contractor shall provide all labor, tools, materials, and equipment necessary for furnishing and installing toe drains at the downstream toe of the dam, complete as shown and specified.

13.2 Materials

PVC Pipe for toe drains shall be of 6-inch PVC gravity sewer pipe conforming to ASTM D 3034 SDR 35 with solvent weld joints. Slots shall be two lines of slots, 1/4-inch wide, one inch long and one inch on center. Slots shall be 60° on either side of the vertical centerline along the bottom of the pipe. Cleanout shall consist of two 45° Schedule 40 elbows with solvent weld ends and a solid PVC pipe riser as shown on the Contract Drawings. Discharge piping shall be non-perforated 6-inch PVC pipe conforming to ASTM D 3034 SDR 35.

Cleanout cover: The top of the cleanout shall be protected by a ductile iron riser, meter pit frame and cover set flush with the finished grade. Meter pit frame and cover shall be furnished with a plastic insert for frost protection and shall be Rexus ductile iron meter pit riser, frame and cover with plastic insert as supplied by E.J. Prescott or approved equal.

Crushed Stone shall be clean, hard, crushed rock conforming to Section M.01.01 of State Standard Specification Form 819, Grading No. 6.

Filter Fabric shall be a non-woven polyester fabric with a minimum weight of 6 ounces per square yard and shall be Geotex Model # 801 as manufactured by Synthetic Industries, Amoco Model # 4551 as manufactured by Amoco Fabrics and Fiber Company, or approved equal.

13.3 Construction

Toe drains and discharge piping shall be installed at the locations shown on the Contract Drawings or as directed by the Engineer. Pipe shall be placed at a constant slope of not less than 1/4 inch per foot. The crushed stone shall be placed to the dimensions and thicknesses shown on the Contract Drawings. No heavy equipment or rollers shall cross the toe drains or discharge piping until there is at least two feet of material over the pipe.

13.3 Construction (continued)

Cleanouts shall be installed at the upstream end of each toe drain with the frame and cover carefully set to the finished grade.

13.4 Measurement and Payment

The quantity to be paid for under Item 13, Toe Drains and Appurtenant Structures, shall be the length of toe drain actually installed, within the limits shown or directed, as measured along the centerline of the pipe.

The unit price per linear foot bid under Item 13, Toe Drains and Appurtenant Structures, shall be payment in full for all labor, tools, materials, and equipment necessary to furnish and install the toe drains, cleanout, complete with crushed stone and filter fabric, as shown and specified. Rock excavation, if required to install toe drains, shall be measured and paid under Item No. 3B - Rock Excavation.

Construction Stormwater General Permit

Item 14

14.1 Subdivisions of Item 14

This Item is subdivided for payment as follows:

Item 14A - Construction Stormwater General Permit

Item 14B - Allowance for Additional SPCP Measures

14.2 Work Included

Under this Item the Contractor shall apply for and acquire a National Pollutant Discharge Elimination System *General Permit for the Discharge of Stormwater from Construction Activities* (General Permit); including preparation of a stormwater pollution control plan and arrangements for all required inspections throughout the course of the work until acceptance of the completed work by both the Owner and the agency issuing the General Permit; and any additional measures stipulated by the permitting agency; complete as required for the work shown and specified herein.

Erosion and sediment controls, control of water, and other related work shown on the Contract Drawings and/or specified for payment under Item 1, Site Work, and Item 2, Control of Water During Construction, shall not be included in the work of the subdivision of this Item 14. Only additional work required by the General Permit and not covered under other Items of the work shall be included for payment under this Item 14.

Under Subdivision Item 14A, the Contractor shall apply for, acquire and adhere to the conditions of the General Permit, including acquiring the services of a Qualified Professional to prepare the General Permit application and stormwater pollution control plan; schedule and attend all necessary meetings; submit the permit application and other documents; pay all filing and other fees as applicable; furnish and install required signage; schedule Post-Construction, Final Stabilization, and Termination Inspections by a Qualified Professional and submission of inspection reports.

Under Subdivision Item 14B, the Contractor shall supply all labor, tools, materials, and equipment necessary for furnishing and installing additional measures in exceedance of what is shown on the Contract Drawings and specified under Item 1 Site Work, and Item 2, Control of Water During Construction, and which are conditions of the General Permit; including implementation of control measures, best management practices, and monitoring and record keeping as stipulated.

14.3 General

The Contractor shall serve as permittee and shall be solely responsible for obtaining and maintaining permit authorization, and compliance with all permit conditions. The Contractor shall bear all responsibility for enforcement actions, penalties, delays, fines, and corrective work arising from failure to comply with permit requirements.

No work shall begin on site until the permit approval has been received by the Contractor and provided for record to the Owner and Engineer. The General Permit shall remain in effect until the permitting agency accepts the Notice of Termination. Documentation of such termination shall be, immediately upon receipt, provided to the Owner and Engineer.

14.4 Qualified Professional

The Qualified Professional(s) shall meet the minimum requirements set forth in the General Permit and be subject to acceptance by the permitting agency.

14.5 Submittals

The Contractor shall submit to the Owner and Engineer for their record, the following:

- Name, qualifications, and contact information of their Qualified Professional.
- The full application package submitted to the permitting agency including the stormwater pollution control plan (SPCP) and any revisions thereto requested by said permitting agency.
- Any and all inspection reports, corrective action declarations, documentation of final stabilization, and the Notice of Termination filed with the permitting agency.

14.6 Materials

Materials for stormwater pollution control measures and other best management practices (BPMs) shall be as specified under Site Work Item 1 or as required by the approved SPCP. Materials shall comply with the "Connecticut Guidelines for Soil Erosion and Sediment Control" by the Connecticut Council on Soil and Water Conservation, latest revision.

14.6 Materials (continued)

Temporary signage, including the installation location, shall meet the requirements of the General Permit.

14.7 Measurement and Payment

The lump sum bid under Item 14A, Construction Stormwater General Permit, shall include all labor and services required to apply for, acquire and adhere to the conditions of a National Pollutant Discharge Elimination System *General Permit for the Discharge of Stormwater from Construction Activities* (General Permit).

An Allowance under Item 14B has been provided for reimbursement of charges associated with additional control measures implemented at the project site as stipulated by the General Permit approval, which exceeds such controls shown on the Contract Drawings or specified under other Items of the Work. Invoices of materials and from sub-contractors, and testing and disposal facilities, and itemized labor charges for the Contractor's employees shall be submitted by the Contractor for reimbursement for work performed under this Allowance.

In the event the actual charges, summed up at the end of the project, varies from the Allowance shown, the Allowance will be adjusted accordingly.

SEYMOUR NO. 4 DAM IMPROVEMENTS

CT DAM ID No: 10809

U.S. Army Corps of Engineers, General Permit Verification Letter; File Number NAE-2023-00351; 10/25/2024



DEPARTMENT OF THE ARMY
U.S. ARMY CORPS OF ENGINEERS, NEW ENGLAND DISTRICT
NEW ENGLAND DISTRICT OFFICE
696 VIRGINIA ROAD
CONCORD MASSACHUSETTS 01742-2751

October 25, 2024

Regulatory Division

Chuck Lee
Connecticut Department of Energy and Environmental Protection
79 Elm Street
Hartford, Connecticut 06106
Via Email: Charles.Lee@ct.gov

Dear Mr. Lee:

This letter is in response to the application you submitted to the New England District on February 21, 2023 for a Department of the Army general permit verification. This project has been assigned the file number NAE-2023-00351. This file number should be referenced in all correspondence with this office.

A review of the information provided indicates the proposed work includes the placement of approximately 6,834 square feet of fill in wetlands to replace an existing concrete spillway including grading the slope, replacement of spillway structures, and the placement of riprap. The project is located in freshwater wetlands adjacent to Toby Brook; adjacent to Chestnut Tree Hill Road, at Latitude 41.450000° and Longitude - 73.090280°; in Oxford, New Haven County, Connecticut. The work is shown on the enclosed plans titled "Seymour No. 4 Dam Improvements", on 7 sheets, undated.

Based on the information you have provided, we verify that the activity is authorized under General Permit General Permit 2 of the December 15, 2021, Federal Permit known as the Connecticut General Permits (GPs). If the extent of the project area and/or nature of the authorized impacts to waters are modified, a revised application must be submitted to this office for written approval before work is initiated. A copy of these permits can be found at:

<https://www.nae.usace.army.mil/Missions/Regulatory/State-General-Permits/>

Any deviation from the terms and conditions of the permit, or your submitted plans, may subject the permittee to the enforcement provisions of our regulations. Therefore, in the event changes to this project are contemplated, it is recommended you coordinate with this office prior to proceeding with the work. This office must approve any changes before you undertake them. You must perform this work in compliance with the terms and conditions of the GPs listed above, and also in compliance with the following special conditions:

Project Specific Special Conditions:

1. The permittee shall complete and return the enclosed Work-Start Notification Form to this office at least two weeks prior to the anticipated construction start date.
2. The permittee shall complete and return the enclosed Completion Certification Form to this office at least one month following the completion of the authorized work.
3. You must maintain the activity herein in good condition and in conformance with the terms and conditions of this authorization. You are not relieved of this requirement if you abandon the permitted activity, although you may make a good faith transfer to a third party in compliance with a General Condition of this GPs. Should you wish to cease to maintain the authorized activities, or should you desire to abandon it without a good faith transfer, you must obtain a modification of this authorization from this office, which may require restoration of the area.
4. Compensatory mitigation shall consist of purchasing 0.16 credits from the Connecticut In-Lieu Fee (ILF) program. The permittee must send a cashier's check or bank draft for the amount calculated on the enclosed "Connecticut In-lieu Fee Project Impact Worksheet" to: Executive Director, National Audubon-Society, Inc., Connecticut Chapter, Attn: ILF Program, 185 East Flat Hill Road, Southbury, CT 06488. The check shall payable to "National Audubon Society, Inc." and include the Corps file number "NAE-2023-00351" and the statement, "For ILF account only". The enclosed "Connecticut In-lieu Fee Project Impact Worksheet" must accompany the check to ensure proper crediting. Work shall not begin until the Corps receives a copy of the confirmation letter from the Audubon-CT to the permittee stating that Audubon-CT has received and the check and accepts responsibility for mitigation. The in-lieu fee amount is valid for one year from the date of this verification letter and is subject to change.

This verification is valid until December 15, 2026. You must commence or be under contract to commence the work authorized herein by December 15, 2026 and complete the work by December 15, 2027 (one year after verification expiration). If not, you must contact this office to determine the need for further authorization before beginning or continuing the activity. It is recommended that you contact this office before this authorization expires to discuss if permit reissuance is a possibility.

This general permit verification and any associated authorizations does not preclude the necessity to obtain any other Federal, State, or local permits, licenses, and/or certifications, which may be required.

This determination becomes valid only after the Connecticut Department of Energy & Environmental Protection (DEEP) issues or waives the following applicable State permits: Certificate of Permission (COP); General Permit (LIS-GP); Tidal Wetlands Permit; Structures and Dredging and Filling Permit; Water Quality Certification (WQC) as required under Section 401 of the Clean Water Act; and/or a Section 307 Coastal Zone Management Act consistency determination. In the event the DEEP denies any of these permits, this determination becomes null and void. The address of the DEEP office for your area is provided in the enclosed GP.

If you have any questions related to this verification or have issues accessing documents referenced in this letter, please contact Jana Jacobson at (207) 233-2117, or by email at cenae-r-ct@usace.army.mil. This agency continually strives to improve our customer service. In order to better serve you, please complete the Customer Service Survey located at: <https://regulatory.ops.usace.army.mil/customer-service-survey/>.

Sincerely,



Jon Coleman
Team Leader
Technical Regional Execution Center
North Atlantic Division

Enclosures

Cc (w/enclosures):
William Andres, Tata and Howard, Inc. (via Wandres@tataandhoward.com)

Work-Start Notification Form

File Number: NAE-2023-00351

State: Connecticut County: New Haven

Permittee: Connecticut Department of Energy and Environmental Protection,

Date Verification Issued: 10/25/2024

Project Manager: Jana Jacobson

At least two weeks prior to commencing the activity authorized by this permit, sign this certification and return it to the following address:

**US ARMY CORPS OF ENGINEERS
New England District
Attn: Jana Jacobson
696 VIRGINIA ROAD
CONCORD MASSACHUSETTS 01742-2751
or
cenae-r-ct@usace.army.mil**

Please note that your permitted activity is subject to a compliance inspection by a U. S. Army Corps of Engineers (USACE) representative. Failure to comply with any terms or conditions of this authorization may result in the USACE suspending, modifying or revoking the authorization and/or issuing a Class I administrative penalty, or initiating other appropriate legal action.

The people (e.g. contractor) listed below will do the work, and they understand the permit's conditions and limitations.

Contractor Name/Contractor Firm: _____

Business Address: _____

Contractor Phone and Email: _____

Proposed Construction Dates: Start: _____ **Finish:** _____

Signature of Permittee

Date

Compliance Certification Form

File Number: NAE-2023-00351

State: Connecticut County: New Haven

Permittee: Connecticut Department of Energy and Environmental Protection,

Date Verification Issued: 10/25/2024

Project Manager: Jana Jacobson

Within one month of completion of the activity authorized by this permit and any mitigation required by the permit (you must submit this form after mitigation is complete, but not the mitigation monitoring, which requires separate submittals), sign this certification and return it to the following address:

**US ARMY CORPS OF ENGINEERS
New England District
Attn: Jana Jacobson
696 VIRGINIA ROAD
CONCORD MASSACHUSETTS 01742-2751
or
cenae-r-ct@usace.army.mil**

Please note that your permitted activity is subject to a compliance inspection by a U. S. Army Corps of Engineers (USACE) representative. Failure to comply with any terms or conditions of this authorization may result in the USACE suspending, modifying, or revoking the authorization and/or issuing a Class I administrative penalty, or initiating other appropriate legal action.

I hereby certify that the work, and mitigation (if applicable), authorized by the above referenced permit has been completed in accordance with the terms and conditions of the said permit including any general or specific conditions.

Date Authorized Work Started: _____ **Completed:** _____

Describe any deviations from permit (attach drawing(s) depicting the deviations):

***Note: The description of any deviations on this form does not constitute approval by the USACE.**

Signature of Permittee

Date

SEYMOUR NO. 4 DAM IMPROVEMENTS

CT DAM ID No: 10809

CT DEEP Dam Bureau of Water Protection and Land Reuse, Dam Safety Emergency Authorization;
Authorization No. DS-202506378-01EA; 12/24/2025



DAM SAFETY EMERGENCY AUTHORIZATION

To: DEEP State Dams
Ramona Goode, Supervising Civil Engineer
79 Elm Street
Hartford, CT 06106

Authorization No.: DS-202506378-01EA
Authorization Type: Dam Repair Emergency Authorization
Town: Oxford
Project: Emergency Repairs to Seymour Reservoir #4 Dam
CT Dam #10809, Hazard Class B (Significant Hazard Potential)

Pursuant to Connecticut General Statutes Sections 22a-6k(a) and 22a-403 the Commissioner of the Department of Energy and Environmental Protection (DEEP) hereby grants an emergency authorization to the dam owner, DEEP State Dams (“Licensee”) to conduct emergency repairs at Seymour Reservoir #4 Dam in the Town of Oxford. This work shall be in accordance with the plans submitted as a part of the Emergency Authorization application.

In granting this emergency authorization the Commissioner has found that (1) such authorization is necessary to prevent, abate or mitigate an imminent threat to human health or the environment; and (2) such authorization is not inconsistent with the federal Water Pollution Control Act, the federal Rivers and Harbors Act, the federal Clean Air Act or the federal Resource Conservation and Recovery Act.

AUTHORIZED ACTIVITY

Specifically, the Licensee is authorized to perform the following activities: replace the existing twin 24-inch concrete culvert spillway with a new concrete drop inlet spillway with a 48-inch discharge pipe and an energy dissipator at the downstream end; install a new 16-inch outlet pipe controlled by a stainless-steel slide gate in the drop inlet spillway structure and a new valve and extension stem on the existing low-level outlet at the upstream side of the dam at the bottom of the reservoir; construct a 100-foot-long auxiliary spillway with a concrete core wall; clear trees from the embankments and fill the downstream slope in the vicinity of the new spillway discharge pipe and energy dissipator; and repair eroded areas on the crest and raise the top of the earth embankment one foot. The proposed work will be completed as depicted on plans entitled “State of Connecticut Seymour No. 4 Dam Improvements CT Dam ID# 10809 Oxford, Connecticut”, dated July 2024, revised through November 13, 2025; prepared by Tata & Howard, Inc., signed and sealed by William S. Andres, P.E./L.S.

The work shall be completed within one year of the issuance of this emergency authorization.

This authorization does not derogate any present or future property rights or other rights or powers of the State of Connecticut, conveys no property rights in real estate or material nor any exclusive privileges, and

is further subject to any and all public and private rights and to any federal, state, or local laws or regulations pertinent to the property or activity affected hereby.

LICENSEE'S FAILURE TO COMPLY WITH THE TERMS AND CONDITIONS OF THIS AUTHORIZATION SHALL SUBJECT LICENSEE AND CONTRACTOR(S) TO ENFORCEMENT ACTIONS AND PENALTIES AS PROVIDED BY LAW.

This authorization is subject to the following conditions:

SPECIAL CONDITIONS

1. All of the construction activities authorized herein shall be performed under the supervision of a Professional Engineer licensed in CT.
2. Within ten (10) days of the completion of the construction authorized herein, the Licensee shall notify the Commissioner in writing of the completion of said construction including a photo report.

GENERAL CONDITIONS

1. Pollution Prevention/Best Management Practices
Licensee shall not cause or allow the authorized activity, including any construction associated therewith, to result in pollution or other environmental damage and shall employ the best management practices to prevent such damage. Licensee shall, in addition to employing any other best management practices necessary to prevent such damage, perform the following:
 - (A) Controlling Erosion. Licensee shall install and maintain in optimal condition erosion and sedimentation controls to prevent erosion and discharge of material into any waters of the state, including wetlands, as a result of the authorized work or any construction associated therewith. Such controls shall be installed and maintained in conformity with the Connecticut Guidelines for Soil Erosion and Sediment Control with an effective date of March 30, 2024, published by the Connecticut Council on Soil and Water Conservation pursuant to Section 22a-328 of the General Statutes.
 - (B) Disposing of Excess Material Properly. All excess material and solid waste generated during any construction associated with the authorized activity shall be disposed of in accordance with applicable federal, state and local laws.
2. Recording and Reporting Violations
Within 48 hours after the Licensee learns of a violation of this authorization, he shall report the violation in writing to the Commissioner. Such report shall include the following information:
 - (A) the provision(s) of the authorization that has been violated;
 - (B) the date and time the violation(s) was first discovered and by whom;
 - (C) the cause of the violation(s), if known;

- (D) if the violation(s) has ceased, the duration of the violation(s) and the exact date(s) and time(s) it was corrected;
- (E) if the violation(s) has not ceased, the anticipated date when it will be corrected,
- (F) steps taken and steps planned to prevent a reoccurrence of the violation(s) and the date(s) such steps were implemented or will be implemented;
- (G) the signatures of Licensees and of the individual(s) responsible for actually preparing such report.

3. Modification of Authorized Work

The Licensee may not make any alterations, except de minimis alterations, to any structure, facility, or activity authorized by this emergency authorization. A de minimis alteration means a change in the design, construction or operation authorized under this emergency authorization that does not increase environmental impacts or substantively alter the construction of the project as authorized. If during the process of construction, unforeseen conditions are found on the site and the Licensee and their engineer determine that it would be appropriate to modify the design, then the Licensee shall notify DEEP within 24 hours of any potential design changes. DEEP shall determine if the design modifications will be an activity that can be categorized as a de minimis activity when compared to the authorized design. No work shall take place which was not included as part of the authorized design until DEEP responds to this determination request.

4. Contractor Notification

If the authorized activity will be constructed by a person(s) under contract to the Licensee, the Licensee shall (1) give a copy of the emergency authorization and of their approval of authorization hereunder to such contractor(s) prior to the start of construction, and (2) for one year after completion of construction, retain a written receipt for such copy, signed and dated by such contractor(s).

5. Expiration of Authorization

This authorization shall expire one year from the date of issuance unless extended by authorization of the commissioner.

OTHER CONDITIONS

1. Reliance on Request for Authorization

In evaluating Licensee's request for authorization, the Commissioner has relied on information provided by the Licensee and their consultant. If such information proves to be false or incomplete, this approval of authorization may be suspended or revoked in accordance with law, and the Commissioner may take any other legal action provided by law.

2. Other Applicable Law

Nothing in this authorization shall relieve the Licensee of their obligation to comply with any other applicable federal, state and local law, including the obligation to obtain any other lawfully required authorization.

3. Other Rights

This authorization is subject to and does not derogate any present or future rights or powers of the State of Connecticut and conveys no rights in real or personal property nor any exclusive privileges, and is subject to all public and private rights and to any federal, state and local laws pertinent to the property or activity affected by such authorization. In conducting any activity hereunder, the Licensee may not cause pollution, impairment or destruction of the air, water or other natural resources of this State. The issuance of this authorization shall not create any presumption that this authorization should or will be renewed.

4. Certification of Documents

Any document, including but not limited to any notice, information or report, which is required to be submitted to the Commissioner under this emergency authorization shall be signed by Licensee or their duly authorized representative, and by the individual or individuals responsible for actually preparing such document, each of whom shall certify in writing as follows:

“I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that, based on reasonable investigation, including my inquiry of those individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief. I understand that a false statement made in this document or its attachments may be punishable as a criminal offense, in accordance with Section 53-157b of the General Statutes, and in accordance with any other applicable statute.”

Issued as an Emergency Authorization of the Commissioner of the Department of Energy and

Environmental Protection on: December 24, 2025



Brian Thompson
Acting Bureau Chief
Bureau of Water Protection and Land Reuse

SEYMOUR NO. 4 DAM IMPROVEMENTS

CT DAM ID No: 10809

Appendix A: Boring Logs

(603) 437-1610

New England Boring Contractors

Fax: (603) 437-0034

P.O. Box 165

Derry, NH 03038

E-Mail: nebc@neboring.com

Boring # B-1

Project: Seymour #4 Dam

Project # C16011

Project Address: Seymour #4 Dam

City: Oxford

State: CT

Zip: 06478

Date Start: 08/11/22

Date End: 08/11/22

Location: See Plan

Casing Type & size: SA 4"

Sampler: SS 1 3/8

Core Barrel: NQ

Hammer wt.: 300lb.

Hammer wt.: 140lb.

Size: 2 dia

Hammer fall: 30".

Hammer fall: 30".

GROUNDWATER OBSERVATION

Date:	Depth:			Casing:			Stabilization Period
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C	SAMPLE DESCRIPTION
-	S-1	0' - 2'	24"	0"	WOR/24"		1' TOPSOIL Light brown, silty CLAY and very fine to fine SAND, some medium Sand, (very soft)
-							
-							
-	C-1	4' - 9'	60"	45"	<u>FT/MIN</u> 1:45-9-2- 20-23	4'	4' REFUSAL - start core
5'0"							
-							
-							
-							
-						9'	
-							EOB 9'
10'0"							
-							
-							
-							
-							
-							
15'0"							
-							

Driller: Dave DeAngelis

Helpers: Neven Pasay

Inspector: Harold Hill

Remarks:

S/#: Sample

PEN: Penetration

REC: Recovery

S/C: Strata Change

(603) 437-1610		New England Boring Contractors P.O. Box 165 Derry, NH 03038 E-Mail: nebc@neboring.com			Fax: (603) 437-0034		
Boring # B-2		Project: Seymour #4 Dam			Project # C16011		
Project Address: Seymour #4 Dam			City: Oxford		State: CT Zip: 06478		
Date Start: 08/11/22		Date End: 08/11/22			Location: See Plan		
Casing Type & size: SA 4"		Sampler: SS 1 3/8		Core Barrel: NQ			
Hammer wt.: 300lb.		Hammer wt.: 140lb.		Size: 2 dia			
Hammer fall: 30"		Hammer fall: 30"					
G R O U N D W A T E R O B S E R V A T I O N							
Date:	Depth:		Casing:			Stabilization Period	
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C	
						SAMPLE DESCRIPTION	
-	S-1	0' - 2'	24"	13"	2-8-18-39		3" TOPSOIL / 3" fine to medium SAND and SILT, some coarse Sand, little fine Gravel, trace rocks.
-						2.5'	1' Highly decompressed ROCK
-	C-1	3' - 8'	60"	35.5"	<u>FT/MIN</u> 1-1-1:30- 5-4:30		2.5' AUGER REFUSAL
-						8'	
5'0"							EOB 8'
-							
-							
10'0"							
-							
-							
-							
-							
15'0"							
Driller: Dave DeAngelis		Helpers: Neven Pasay			Inspector: Harold Hill		
Remarks:							
S/#: Sample		PEN: Penetration		REC: Recovery		S/C: Strata Change	

(603) 437-1610

New England Boring Contractors

Fax: (603) 437-0034

P.O. Box 165

Derry, NH 03038

E-Mail: nebc@neboring.com

Boring # B-3

Project: Seymour #4 Dam

Project # C16011

Project Address: Seymour #4 Dam

City: Oxford

State: CT Zip: 06478

Date Start: 08/10/22

Date End: 08/10/22

Location: See Plan

Casing Type & size: SA 4"

Sampler: SS 1 3/8

Core Barrel: NQ

Hammer wt.: 300lb.

Hammer wt.: 140lb.

Size: 2 dia

Hammer fall: 30"

Hammer fall: 30"

GROUNDWATER OBSERVATION

Date:	Depth:			Casing:			Stabilization Period
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C	SAMPLE DESCRIPTION
-	S-1	0' - 2'	24"	14"	4-10-10-9		Brown, fine to medium SAND and GRAVEL, some fine Gravel, trace Silt.
-							
-							
5'0"	S-2	5' - 7'	24"	16"	9-8-10-13		Brown/dark brown fine to medium SAND, some Silt, little coarse Sand and fine Gravel.
-							
-							
-							
10'0"	S-3	10' - 12'	24"	14"	5-5-8-9		Brown/dark brown fine to medium SAND, some Silt, little coarse Sand and fine Gravel.
-							
-							
-							
15'0"	S-4	15' - 16'	12"	2"	WOH-WOH- 50/0"	16'	Gray, fine to coarse SAND and fine GRAVEL.
-							16' Rock
-							
-							
20'0"	C-1	20' - 25'	60"	35.5"	<u>FT/MIN</u> 2:30-3:00- 3:30-1:00- 1:00		
-							
-							
-						25'	
25'0"							EOB 25'
-							
-							
-							
-							
30'0"							
-							

Driller: Dave DeAngelis

Helpers: Neven Pasay

Inspector: Harold Hill

Remarks:

S/#: Sample

PEN: Penetration

REC: Recovery

S/C: Strata Change

(603) 437-1610		New England Boring Contractors P.O. Box 165 Derry, NH 03038 E-Mail: nebc@neboring.com			Fax: (603) 437-0034	
Boring # B-4		Project: Seymour #4 Dam			Project # C16011	
Project Address: Seymour #4 Dam		City: Oxford		State: CT Zip: 06478		
Date Start: 08/10/22		Date End: 08/10/22		Location: See Plan		
Casing Type & size: SA 4"		Sampler: SS 1 3/8		Core Barrel: NQ		
Hammer wt.: 300lb.		Hammer wt.: 140lb.		Size: 2 dia		
Hammer fall: 30".		Hammer fall: 30".				
G R O U N D W A T E R O B S E R V A T I O N						
Date:	Depth:		Casing:			Stabilization Period
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C
-	S-1	0' - 2'	24"	8"	4-5-6-5	
-						
-						
-						
5'0"	S-2	5' - 7'	24"	10"	3-3-8-11	
-						
-						
-						
10'0"	S-3	10' - 12'	24"	6"	WOH-3-	11'
-					38-22	
-						
-						
-						
15'0"	S-4	15' - 15'	0"	0"	50/0"	14'
-						boulder
-						
-						
-	S-5	20' - 20'2"	0"	0"	50/2"	
20'0"	C-1	20' - 25'	60"	41"	<u>FT/MIN</u>	
-					1:00-1:50-	
-					2:00-2:50	
-					2:30	
-						25'
25'0"						
-						
-						
-						
-						
30'0"						
-						
Driller: Dave DeAngelis		Helpers: Neven Pasay			Inspector: Harold Hill	
Remarks:						
S/#: Sample		PEN: Penetration		REC: Recovery		S/C: Strata Change

(603) 437-1610		New England Boring Contractors P.O. Box 165 Derry, NH 03038 E-Mail: nebc@neboring.com			Fax: (603) 437-0034		
Boring # B-5		Project: Seymour #4 Dam			Project # C16011		
Project Address: Seymour #4 Dam		City: Oxford		State: CT Zip: 06478			
Date Start: 08/11/22		Date End: 08/11/22		Location: See Plan			
Casing Type & size: SA 4"		Sampler: SS 1 3/8		Core Barrel:			
Hammer wt.: 300lb.		Hammer wt.: 140lb.		Size:			
Hammer fall: 30".		Hammer fall: 30".					
G R O U N D W A T E R O B S E R V A T I O N							
Date:	Depth:		Casing:			Stabilization Period	
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C	
						SAMPLE DESCRIPTION	
-						8"	Probe - 18" BOULDER
-							
-						3'-6'	Some coarse Gravel, little Cobbles.
-							
5'0"							
-							
-						7'	Small boulder
-							
-						9'	Auger REFUSAL, possible Boulder.
-							EOB 9'
10'0"							
-							
-							
-							
-							
15'0"							
-							
Driller: Dave DeAngelis		Helpers: Neven Pasay			Inspector: Harold Hill		
Remarks:							
S/#: Sample		PEN: Penetration		REC: Recovery		S/C: Strata Change	

(603) 437-1610**New England Boring Contractors****Fax: (603) 437-0034****P.O. Box 165****Derry, NH 03038****E-Mail: nebc@neboring.com****Boring # B-6****Project: Seymour #4 Dam****Project # C16011****Project Address: Seymour #4 Dam****City: Oxford****State: CT Zip: 06478****Date Start: 08/11/22****Date End: 08/11/22****Location: See Plan****Casing Type & size: SA 4"****Sampler: SS 1 3/8****Core Barrel:**

Hammer wt.: 300lb.

Hammer wt.: 140lb.

Size:

Hammer fall: 30".

Hammer fall: 30".

GROUNDWATER OBSERVATION

Date:	Depth:			Casing:			Stabilization Period
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C	SAMPLE DESCRIPTION
-							
-							
-							
-						4'-6'	Probe
5'0"							
-							
-						7.5'	7.5' REFUSAL possible Boulder.
-							EOB 7.5'
-							
-							
10'0"							
-							
-							
-							
-							
15'0"							
-							
Driller: Dave DeAngelis			Helpers: Neven Pasay			Inspector: Harold Hill	

Remarks:

S/#: Sample	PEN: Penetration	REC: Recovery	S/C: Strata Change
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(603) 437-1610**New England Boring Contractors****Fax: (603) 437-0034****P.O. Box 165****Derry, NH 03038****E-Mail: nebc@neboring.com****Boring # B-6****Project: Seymour #4 Dam****Project # C16011****Project Address: Seymour #4 Dam****City: Oxford****State: CT****Zip: 06478****Date Start: 08/11/22****Date End: 08/11/22****Location: See Plan****Casing Type & size: SA 4"****Sampler: SS 1 3/8****Core Barrel:**

Hammer wt.: 300lb.

Hammer wt.: 140lb.

Size:

Hammer fall: 30".

Hammer fall: 30".

G R O U N D W A T E R O B S E R V A T I O N

Date:		Depth:		Casing:			Stabilization Period
DP	S#	DEPTH	PEN	REC	BLOWS/6"	S/C	SAMPLE DESCRIPTION
-	S-1	0' - 2'	24"	8"	5-11-11-7	1'	Gray ROAD BASE, Fine to coarse GRAVEL and fine to coarse SAND.
-							1' - Brown, fine to medium SAND, some Silt and coarse Sand, little fine Gravel.
-							
-							
5'0"	S-2	5' - 7'	24"	16"	8-14-19-27	5.5'	
-						6'	5.5' - 2" layer orange/brown very fine SAND and SILT, trace fine Sand.
-							6' - light brown, very fine to fine SAND, little coarse Sand, Trace fine Gravel.
-							
-							
10'0"	S-3	10' - 10'5"	5"	0"	50/5"	10'	10' - Light brown / light gray coarse to fine SAND and fine GRAVEL.
-						10'5"	
-							EOB 10.5'
-							
-							
-							
15'0"							
-							

Driller: Dave DeAngelis**Helpers: Neven Pasay****Inspector: Harold Hill****Remarks:****S/#: Sample****PEN: Penetration****REC: Recovery****S/C: Strata Change**