

STATE OF CONNECTICUT
DEPARTMENT OF SOCIAL SERVICES

CONTRACT AMENDMENT

Contractor: Connecticut Legal Services, Inc.
Contractor Address: 62 Washington Street, Middletown, CT .06457
Contract Number: 083-1FZ-SBG-1/ 15DSS5001FZ
Amendment Number: A1
Amount as Amended: \$729,432.00
Contract Term as Amended: 10/1/2015 9/30/2016

The contract between Connecticut Legal Services and the Department of Social Services, which was executed by the parties and signed by the Department's Commissioner on 2/18/2016 is hereby amended as follows:

1. The total maximum amount payable under this contract is increased by \$364,716 from \$364,716 to \$729,432 in lieu of an additional six months.
2. The budget on page 14 of the original contract is deleted and replaced in its entirety by the budget on page 2 of this amendment.
3. The term of the contract is extended for an additional six months and the end date of the contract is changed from 3/31/16 to 9/30/16.

The terms and conditions of the original Contract, and any subsequent amendments thereto, which were not modified by this Amendment remain in full force and effect.

PART I

PROGRAM NAME:
PROGRAM NUMBER:

Connecticut Legal Services, Inc. (Composite)
083CLS-SBG-34 / 15DSS5011FZ - A1


Contract Amount	Requested	Adjustments	Approved
			\$ -
<i>For Amendments Only</i>			
Previously Approved Contract Amount	\$ 364,716		\$ 364,716
Amount of Amendment		\$ 364,716	\$ 729,432

Line #	Item	Subcategory (a)	Line Item Total (b)	Adjustments (c)	Revised Total (d)
1	UNIT RATE				
	1a. Bed Days	-	-	-	-
	1b. Client Advocate	-	-	-	-
	1c. Security Deposit	-	-	-	-
	1d. Other Unit Rate Costs	-	-	-	-
	TOTAL UNIT RATE		-		
2	CONTRACTUAL SERVICES				
	2a. Accounting	-	-	-	-
	2b. Legal	-	-	-	-
	2c. Independent Audit	837	-	846	1,683
	2d. Other Contractual Services	-	-	-	-
	TOTAL CONTRACTUAL SERVICES		837	846	1,683
3	ADMINISTRATION				
	3a. Admin. Salaries	4,741	-	4,745	9,486
	3b. Admin. Fringe Benefits	2,075	-	2,005	4,080
	3c. Admin. Overhead	-	-	-	-
	TOTAL ADMINISTRATION		6,816	6,750	13,566
4	DIRECT PROGRAM STAFF				
	4a. Program Salaries	240,316	-	240,895	481,211
	4b. Program Fringe Benefits	91,219	-	90,097	181,316
	TOTAL DIRECT PROGRAM		331,535	330,992	662,527
5	OTHER COSTS				
	5a. Program Rent	14,668	-	14,879	29,547
	5b. Consumable Supplies	1,202	-	1,244	2,446
	5c. Travel & Transportation	544	-	543	1,087
	5d. Utilities	2,843	-	3,223	6,066
	5e. Repairs & Maintenance	1,448	-	1,489	2,937
	5f. Insurance	1,245	-	1,260	2,505
	5g. Food & Related Costs	-	-	-	-
	5h. Other Project Expenses	3,578	-	3,490	7,068
	TOTAL OTHER COSTS		25,528	26,128	51,656
6	EQUIPMENT		-	-	-
7	PROGRAM INCOME				
	7a. Fees	-	-	-	-
	7b. Other Income	-	-	-	-
	TOTAL PROGRAM INCOME		-	-	-
8	TOTAL NET PROGRAM COST (Sum of 1 through 6, minus Line 7)		364,716	364,716	729,432

ACCEPTANCES AND APPROVALS

15DSS5001FZ A1/ 083-1FZ-SBG-1 A1

CONTRACTOR Connecticut Legal Services, Inc.



Steven Eppler-Epstein, Executive Director

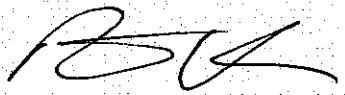
3/28/16
Date

DEPARTMENT OF SOCIAL SERVICES

Kathleen M. Brennan
KATHLEEN M. BRENNAN, Deputy Commissioner

03/31/16
Date

OFFICE OF THE ATTORNEY GENERAL


Asst. Atty. General (Approve As to Form) 4/14/16
Robert W. Clark Date



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Affidavit
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

AFFIDAVIT:

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of

an oath. I am Executive Director of Connecticut Legal Services, Inc., an entity
Signatory's Title Name of Entity

duly formed and existing under the laws of Connecticut.
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of

Connecticut Legal Services, Inc. and that Connecticut Legal Services, Inc.
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut

General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Rock
Authorized Signatory

Steven D. Eppler- Epstein
Printed Name

Sworn and subscribed to before me on this 30th day of March, 2016.

Michael Sebron
Commissioner of the Superior Court/
Notary Public

Commission Expiration Date



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – New Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

CERTIFICATION OF RESOLUTION:

I, **Steven Eppler-Epstein, Executive Director of Connecticut Legal Services, Inc.**, an entity duly formed and existing under the laws of the State of Connecticut, certify that the following is a true and correct copy of a resolution adopted on the 9th day of June, 2015 by the governing body of Connecticut Legal Services, Inc., in accordance with all of its documents of governance and management and the laws of the State of Connecticut and further certify that such resolution has not been modified or revoked, and is in full force and effect.

RESOLVED: That the policies of **Connecticut Legal Services, Inc.** comply with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

The undersigned has executed this certificate this 9th day of September, 2015
9/3/15 Month Year
Steven Eppler-Epstein Date



**STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

Written or electronic certification to accompany a State contract with a value of \$50,000 or more, pursuant to C.G.S. §§ 4-250, 4-252(c) and 9-612(f)(2) and Governor Dannel P. Malloy's Executive Order 49.

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful 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 initial contract execution 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. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

CHECK ONE: Initial Certification 12 Month Anniversary Update (Multi-year contracts only.)

Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or 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 request 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.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding Gifts by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a Gift to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after January 1, 2011, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(f)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(f)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after January 1, 2011 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(f)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Connecticut Legal Services, Inc.

Printed Contractor Name

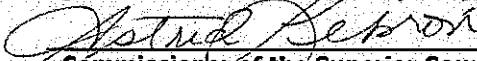


Signature of Authorized Official

Steven D. Eppler-Epstein

Printed Name of Authorized Official

Subscribed and acknowledged before me this 30th day of March, 2016



Commissioner of the Superior Court (or Notary Public)

My Commission Expires





STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: 0]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Consultant's Name and Title Name of Firm (If applicable)

Start Date End Date Cost

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

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

Connecticut Legal Services, Inc. Signature of Principal or Key Personnel Date 3/30/16

Steven D. Eppler-Epstein DSS

Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this 30th day of March, 2016.

Signature of Notary Public
Commissioner of the Superior Court or Notary Public

My Commission Expires



STATE OF CONNECTICUT
AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

Written or electronic affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq

INSTRUCTIONS:

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

CHECK ONE:

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.
I am a contractor who has already filed an affirmation, but I am updating such affirmation either (i) no later than thirty (30) days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

IMPORTANT NOTE:

Within fifteen (15) days after the request of such agency, institution or quasi-public agency for such affirmation contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

AFFIRMATION:

I, the undersigned person, contractor, subcontractor, consultant, or the duly authorized representative thereof, affirm (1) receipt of the summary of State ethics laws* developed by the Office of State Ethics pursuant to Connecticut General Statutes § 1-81b and (2) that key employees of such person, contractor, subcontractor, or consultant have read and understand the summary and agree to comply with its provisions.

* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website

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

Connecticut Legal Services, Inc.
Printed Contractor Name

Signature of Steven Eppler-Epstein, Executive Director

State Department on Aging
Awarding State Agency

Subscribed and acknowledged before me this 3rd day of Sept, 2015

LINDA C. SPADA
Notary Public

My Commission Expires Oct. 31, 2016

Signature of Linda C. Spada
Commissioner of the Superior Court or Notary Public



STATE OF CONNECTICUT

Written or electronic PDF copy of the written certification to accompany a large state contract pursuant to P.A. No. 13-162 (Prohibiting State Contracts With Entities Making Certain Investments In Iran)

Respondent Name: Connecticut Legal Services, Inc.

INSTRUCTIONS:

CHECK ONE:

Initial Certification.
Amendment or renewal.

A. Who must complete and submit this form. Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located.

Pursuant to P.A. No. 13-162, upon submission of a bid or prior to executing a large state contract, **the certification portion of this form must be completed** by any corporation, general partnership, limited partnership, limited liability partnership, joint venture, nonprofit organization or other business organization **whose principal place of business is located outside of the United States**. United States subsidiaries of foreign corporations are exempt. For purposes of this form, a "foreign corporation" is one that is organized and incorporated outside the United States of America.

Check applicable box:

Respondent's principal place of business is within the United States or Respondent is a United States subsidiary of a foreign corporation. Respondents who check this box **are not required to complete the certification portion of this form**, but must submit this form with its Invitation to Bid ("ITB"), Request for Proposal ("RFP") or contract package if there was no bid process.

Respondent's principal place of business is outside the United States and it is not a United States subsidiary of a foreign corporation. **CERTIFICATION required.** Please complete the certification portion of this form and submit it with the ITB or RFP response or contract package if there was no bid process.

B. Additional definitions.

- 1) "Large state contract" has the same meaning as defined in section 4-250 of the Connecticut General Statutes;
- 2) "Respondent" means the person whose name is set forth at the beginning of this form; an
- 3) "State agency" and "quasi-public agency" have the same meanings as provided in section 1-79 of the Connecticut General Statutes.

C. Certification requirements.

No state agency or quasi-public agency shall enter into any large state contract, or amend or renew any such contract with any Respondent whose principal place of business is located outside the United States and is not a United States subsidiary of a foreign corporation unless the Respondent has submitted this certification.

Complete all sections of this certification and sign and date it, under oath, in the presence of a Commissioner of the Superior Court, a Notary Public or a person authorized to take an oath in another state.

CERTIFICATION:

I, the undersigned, am the official authorized to execute contracts on behalf of the Respondent. I certify that:

Respondent has made no direct investments 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.

Respondent has either made direct investments 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, or Respondent made such an investment prior to October 1, 2013 and has now increased or renewed such an investment on or after said date, or both.

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

Connecticut Legal Services, Inc.

Steven Eppler-Epstein, Executive Director

Subscribed and acknowledged before me this 3rd day of September, 2015.


Linda C. Spada
Commissioner of the Superior Court (or Notary Public)

10/31/2016
My Commission Expires

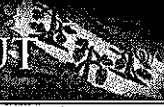
LINDA C. SPADA

Notary Public

My Commission Expires Oct. 31, 2016



STATE OF CONNECTICUT



Current User: marlene.hamilton@ct.gov
Biznet Menu
Log In/Out

CHRO Form

State of Connecticut

Commission On Human Rights and Opportunities (CHRO)
Workplace Analysis Affirmative Action Report
Employee Information Form

White - Not of Hispanic Origin
Black - Not of Hispanic Origin
Asian - Asian/Pacific Islander
Native - American Indian or Alaskan Native

Connecticut Legal Services, Inc.

ID	Job Category	Totals	White Male	White Female	Black Male	Black Female	Hispanic Male	Hispanic Female	Asian Male	Asian Female	Native Male	Native Female
13618	Officials/Managers	16	3	9	0	1	0	3	0	0	0	0
13619	Professionals	36	11	19	1	2	0	3	0	0	0	0
13620	Technicians	1	1	0	0	0	0	0	0	0	0	0
13621	Sales Workers	0	0	0	0	0	0	0	0	0	0	0
13622	Offices/Clerical	17	0	7	0	3	1	6	0	0	0	0
13623	Craft Workers (Skilled)	0	0	0	0	0	0	0	0	0	0	0
13624	Operatives (Semi-skilled)	0	0	0	0	0	0	0	0	0	0	0
13625	Laborers (Unskilled)	0	0	0	0	0	0	0	0	0	0	0
13626	Service Workers	0	0	0	0	0	0	0	0	0	0	0
Totals		70	15	35	1	6	1	12	0	0	0	0

Do you use minority business as subcontractors or suppliers? Yes No Explain: Not required

If CT based, do you post all employment openings with the State of Connecticut Employment Service? Yes No Explain:

Do you use an Affirmative Action Plan? Yes No Explain:

Describe your recruitment, hiring, training and promotion anti-discrimination practices. CLS created and implemented a hiring process that includes "behavioral interviewing". Behavioral interviewing is a method that is designed to concentrate on core competencies of a

The Department of Administrative Services - Business Network. [Review our Privacy Policy](#)
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