

STATE OF CONNECTICUT  
DEPARTMENT OF SOCIAL SERVICES

CONTRACT AMENDMENT

**Contractor:** New Opportunities, Inc.  
**Contractor Address:** 232 North Elm Street, Waterbury, CT 06702  
**Contract Number:** 15DSS1401TO / 151C-FIP-08  
**Amendment Number:** Amendment 2  
**Amount as Amended:** \$238,303.00  
**Contract Term as Amended:** 7/1/2015 to 6/30/2019

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The contract between New Opportunities, Inc. ("Contractor") and the Connecticut Department of Social Services ("Department"), which was last executed by the parties and approved by the Office of Attorney General on 12/9/15, and previously amended on 7/26/16, is hereby further amended as follows:

1. The term of the contract has been extended for an additional two (2) years and the end date of the contract is changed from 6/30/2017 to 6/30/2019.
2. The total maximum amount payable under the contract has increased by \$92,063 (\$45,124 in SFY 18 and \$46,939 in SFY 19) from \$146,240 to \$238,303 to provide funding for the extended term of the contract.
3. For the period 7/1/17 through 6/30/19, Part I, Section B. labeled DESCRIPTION OF SERVICES, subsection 2 of the contract shall be supplemented by the addition of the following:
  2. The Contractor shall serve an additional 100 individuals through the two years of this contract; 50 in 2018 and 50 in 2019, resulting in a grand total of at least 250 individuals served over the four year contract period. If the final numbers of clients to be served falls within a 10% variance of the targeted number each year, the department will accept and acknowledge those final numbers as successfully achieving the contract deliverable.
4. Part I, Section P. labeled MISCELLANEOUS PROVISIONS of the contract is hereby amended by the addition of the following section 5. And 6. As follows:
5. **Lobbying**

Federal grant funds provided under this award may not be used by the grantee or any sub-grantee to support lobbying activities to influence proposed or pending Federal or State legislation or appropriations. This prohibition is related to the use of Federal grants funds and is not intended to affect an individual's right or that of any organization, to petition Congress, or any other level of Government, through the use of other resources.
6. **Pro-Children Act**

In accordance with Part C of Public Law 103-227, the "Pro-Children Act of 1994," smoking may not be permitted in any portion of any indoor facility owned or regularly used for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs whether directly or through State or local governments. Federal programs include grants, cooperative agreements, loans and loan guarantees, and contracts. The

law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities and used for inpatient drug and alcohol treatment.

5. DSS contract/contact person on page 1 of the original contract shall be deleted and replaced as follows:  
Donna LoCurto at (860) 424-5323.
6. For the period 7/1/17 through 6/30/19, Part I, Section L. labeled BUDGET/PAYMENT PROVISIONS, subsection 4.a. of this contract as amended is hereby further amended to add the following:

Effective Date: 5/1/2017

CONTRACT NUMBER: 15DSS1401TO

CONTRACT PERIOD: 07/01/2015 through 06/30/2019

ST FISCAL YR (SFY): 2018

PROVIDER: New Opportunities, Inc.

Approved by: locurtod

4000 INCOME		FIP			
		<u>07/01/2017</u>	<u>Contract Total</u>	<u>Other Funding</u>	<u>Total Income</u>
Program Funding Period:		<u>through June 30</u>			
		<u>2018</u>			
<u>4100 CONTRACT FUNDING</u>	<u>SID</u>	\$ 45,124	\$ 45,124	\$ -	\$ 45,124
4101 State Funds	16270	\$ 45,124	\$ 45,124	\$ -	\$ 45,124
<u>TOTAL INCOME</u>		<u>\$ 45,124</u>	<u>\$ 45,124</u>	<u>\$ -</u>	<u>\$ 45,124</u>
5000 DIRECT EXPENSES		FIP	<u>Contract Total</u>		<u>Total Expenses</u>
<u>5100 SALARIES</u>		\$ 26,125	\$ 26,125	\$ -	\$ 26,125
5101 Staff Salaries & Wages		\$ 26,125	\$ 26,125	\$ -	\$ 26,125
<u>5200 FRINGE BENEFITS</u>		\$ 9,630	\$ 9,630	\$ -	\$ 9,630
<u>5300 CONTRACTUAL SERVICES</u>		\$ 902	\$ 902	\$ -	\$ 902
5304 Other Contractual (specify in narrative)		\$ 902	\$ 902	\$ -	\$ 902
<u>5400 TRANSPORTATION</u>		\$ 780	\$ 780	\$ -	\$ 780
5401 Staff Travel Reimbursement		\$ 780	\$ 780	\$ -	\$ 780
<u>5500 MATERIALS AND SUPPLIES</u>		\$ 1,500	\$ 1,500	\$ -	\$ 1,500
5501 Food		\$ 750	\$ 750	\$ -	\$ 750
5504 Other Mtrls and Sppls (specify in narrative)		\$ 750	\$ 750	\$ -	\$ 750
<u>5800 OTHER EXPENSES</u>		\$ 1,675	\$ 1,675	\$ -	\$ 1,675
5802 Insurance		\$ 1,175	\$ 1,175	\$ -	\$ 1,175
5804 Staff Training and Conferences		\$ 500	\$ 500	\$ -	\$ 500
<u>TOTAL DIRECT EXPENSES</u>		<u>\$ 40,612</u>	<u>\$ 40,612</u>	<u>\$ -</u>	<u>\$ 40,612</u>
7000 INDIRECT EXPENSES		FIP	<u>Contract Total</u>		<u>Total Expenses</u>
<u>7100 ADMINISTRATIVE &amp; GENERAL</u>		\$ 4,512	\$ 4,512	\$ -	\$ 4,512
All Other A&G		\$ 4,512	\$ 4,512	\$ -	\$ 4,512
<u>TOTAL INDIRECT EXPENSES</u>		<u>\$ 4,512</u>	<u>\$ 4,512</u>	<u>\$ -</u>	<u>\$ 4,512</u>
<u>TOTAL EXPENSES</u>		<u>\$ 45,124</u>	<u>\$ 45,124</u>	<u>\$ -</u>	<u>\$ 45,124</u>
INCOME/EXPENSE SUMMARY		FIP	<u>Contract Total</u>		<u>Total</u>
TOTAL INCOME		\$ 45,124	\$ 45,124	\$ -	\$ 45,124
TOTAL EXPENSES		\$ 45,124	\$ 45,124	\$ -	\$ 45,124
<u>EXCESS/(SHORTAGE)</u>		<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>

All 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.

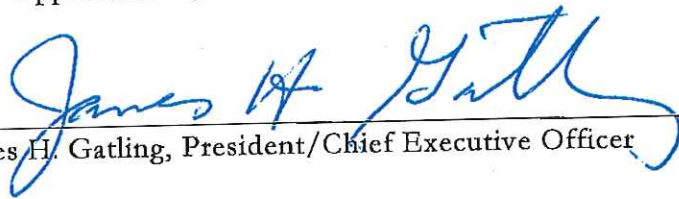
**SIGNATURES AND APPROVALS**

**15DSS1401TO/151C-FIP-08 A2**

The Contractor IS NOT a Business Associate under the Health Insurance Portability and Accountability Act of 1996 as amended.

**CONTRACTOR**

New Opportunities, Inc.

  
James H. Gatling, President/Chief Executive Officer

6/13/2017

Date

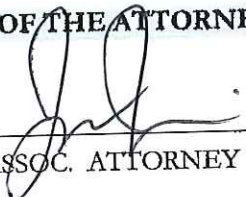
**DEPARTMENT OF SOCIAL SERVICES**

  
RODERICK L. BREMBY, *Commissioner*

6/14/17

Date

**OFFICE OF THE ATTORNEY GENERAL**

  
ASST. / ASSOC. ATTORNEY GENERAL (*Approved as to form*)

Joseph Rubin

6/30/17

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 President/CEO of New Opportunities, 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  
New Opportunities, Inc. and that New Opportunities, 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.

James H. Gatling  
Authorized Signatory

James H Gatling, Ph. D  
Printed Name

Sworn and subscribed to before me on this 6<sup>th</sup> day of June, 2017.

[Signature]

Commissioner of the Superior Court / Commission Expiration Date  
Notary Public

**RITA M. FARINA**  
NOTARY PUBLIC - State of Connecticut  
My Commission Expires  
May 31, 2018



**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, James H Gatling, Ph. D , President/CEO , of New Opportunities, Inc. ,  
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of Connecticut ,  
Name of State or Commonwealth

certify that the following is a true and correct copy of a resolution adopted on the 24<sup>th</sup> day of  
May , 2017 by the governing body of Directors ,  
Name of Entity

in accordance with all of its documents of governance and management and the laws of  
Connecticut , and further certify that such resolution has not been modified  
Name of State or Commonwealth

or revoked, and is in full force and effect.

RESOLVED: That the policies of New Opportunities, Inc. comply with the  
Name of Entity

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 6<sup>th</sup> day of June , 2017 .

James H Gatling  
Authorized Signatory

June 6, 2017  
Date

James H Gatling, Ph. D.  
Printed Name



**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 in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2)*

**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 December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(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(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(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>
N/A				

**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>
N/A				

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

New Opportunities, Inc.  
Printed Contractor Name

James H. Gatling, Ph.D.  
Printed Name of Authorized Official

  
Signature of Authorized Official

Subscribed and acknowledged before me this 6<sup>th</sup> day of June, 2017.

  
Commissioner of the Superior Court (or Notary Public)

**NOTARY PUBLIC - State of Connecticut**  
My Commission Expires  
**May 31, 2018**





# 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: \_\_\_\_\_]

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: \_\_\_\_\_ Termination Date of Employment  
Name of Former State Agency


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

New Opportunities, Inc. \_\_\_\_\_ 6/6/17  
Printed Name of Bidder or Contractor Signature of Principal or Key Personnel Date

James H. Gatling, Ph.D. \_\_\_\_\_  
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this 6<sup>th</sup> day of June, 2017.

\_\_\_\_\_  
Commissioner of the Superior Court  
or Notary Public



# STATE OF CONNECTICUT

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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

### New Opportunities, 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
2899	Officials/Managers	47	10	19	4	7	3	4	0	0	0	0
2900	Professionals	85	8	22	8	25	2	19	0	1	0	0
2901	Technicians	0	0	0	0	0	0	0	0	0	0	0
2902	Sales Workers	0	0	0	0	0	0	0	0	0	0	0
2903	Office/Clerical	42	1	13	0	13	3	11	0	1	0	0
2904	Craft Workers (Skilled)	0	0	0	0	0	0	0	0	0	0	0
2905	Operatives (Semi-skilled)	0	0	0	0	0	0	0	0	0	0	0
2906	Laborers (Unskilled)	60	13	6	14	9	9	8	0	1	0	0
2907	Service Workers	68	4	12	14	20	5	13	0	0	0	0
	<b>Totals</b>	<b>302</b>	<b>36</b>	<b>72</b>	<b>40</b>	<b>74</b>	<b>22</b>	<b>55</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>0</b>

Do you use minority business as subcontractors or suppliers?  Yes  No Explain:

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.

The Department of Administrative Services - Business Network. [Review our Privacy Policy](#)  
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[Hit Counter 1,796](#)