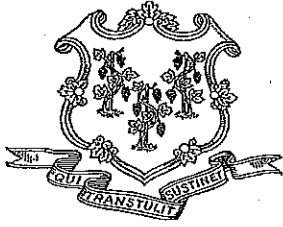


STATE OF CONNECTICUT
DEPARTMENT OF SOCIAL SERVICES

CONTRACT AMENDMENT

Contractor: CONNECTICUT COMMUNITY CARE, INC.
Contractor Address: 43 ENTERPRISE DRIVE, BRISTOL, CT 06010-7472
Contract Number: 017CC-CHC-04/13DSS6501FO
Amendment Number: A6
Amount as Amended: \$83,432,225.00
Contract Term as Amended: 07/01/13 – 06/30/18

The contract between **Connecticut Community Care, Inc.** (the Contractor and/or CCCI) and the Department of Social Services (the Department), which was last executed by the parties and approved by the Office of the Attorney General on 5/24/16, is hereby further amended as follows:

1. The total maximum amount payable under this contract is increased by \$37,744,690.00 from \$45,687,535.00 to \$83,432,225.00. This increase is due to the two (2) year extension of the Personal Care Assistance (PCA) Waiver and Care Management services found in Amendment 2, (A2) of the Original Contract and the two (2) year extension of the Connecticut Home Care Program (CHCP) of the Original Contract.
2. Part I, SECTION FIVE, labeled OVERVIEW OF PCA WAIVER/CARE MANAGEMENT SUMMARY OF SERVICES, subsection B. labeled TERM of A2 of the Original Contract shall be amended, extending the term of the PCA Waiver Program for two (2) years, from June 30, 2016 to June 30, 2018.
3. Page one (1) labeled Contract Term of the Original Contract shall be amended, extending the term of the CHCP for two (2) years, from June 30, 2016 to June 30, 2018.
4. Part I, SECTION FIVE labeled THE PCA WAIVER/CARE MANAGEMENT SUMMARY OF SERVICES subsection D. labeled SCOPE OF WORK 6. Contractor Service/Applicant and Client Assessment a. The Contractor shall conduct assessments adhering to specific requirements of A2 of the Original Contract shall be supplemented to include:
 - 5) Complete the assessment process within ten (10) working days of receiving the referral.
 - 6) Request additional time from the Department when more than ten (10) working days are needed to complete the assessment process, including the development of the plan of care, by submitting to the Department in advance.
5. Part I, SECTION TWO labeled SCOPE OF WORK A. CONTRACTOR RESPONSIBILITIES 3. Processes for Contractor Eligibility and Client Eligibility c. Applicant and Client Assessments and Reassessments of the Original Contract shall be amended as follows:
 - (17) Complete the assessment process within ten working days of receiving the referral.
 - (18) Request additional time from the Department when more than ten working days are needed to complete the assessment process, including the development of the plan of care, by submitting to the Department in advance:
6. Part I, SECTION E. labeled BUDGET AND PAYMENT of A2 of the Original Contract shall be supplemented with the following:

- a. The budget for the services related to the PCA Waiver Program, is supplement to include the period between July 1, 2016 to June 30, 2018, shown on pages seven (7) through ten (10) of this agreement.
7. Part I, SECTION THREE labeled BUDGET AND PAYMENT of the Original Contract shall be supplemented with the following:
 - a. The budget for the services related to the CHCP, is supplement to include the period between July 1, 2016 to June 30, 2018, shown on pages three (3) through six (6) of this agreement.

PROGRAM NAME:

Eastern

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - CHCPs 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension	Year 2 Extension	
7/1/16 -6/30/17	7/1/17 -6/30/18	2016- 2018
Budget Year 4.	Budget Year 5	Two Year Total
12 months	12 months	24 months
1 CONTRACTUAL SERVICES		
		\$ -
TOTAL CONTRACTUAL SERVICES	\$ -	\$ -
2 ADMINISTRATION		
Staff	\$ 206,616.00	\$ 224,353.00
Fringe Benefits	\$ 73,494.00	\$ 79,802.00
Non-Personnel	\$ 114,784.00	\$ 124,638.00
TOTAL ADMINISTRATION	\$ 394,894.00	\$ 428,793.00
3 DIRECT PROGRAM STAFF		
Staff	\$ 1,581,031.00	\$ 1,716,751.00
Fringe Benefits	\$ 562,372.00	\$ 610,648.00
TOTAL DIRECT PROGRAM	\$ 2,143,403.00	\$ 2,327,399.00
4 OTHER COSTS		
Direct Non-Personnel	\$ 225,585.00	\$ 244,950.00
		\$ -
TOTAL OTHER COSTS	\$ 225,585.00	\$ 244,950.00
5 EQUIPMENT		
		\$ -
		\$ -
6 PROGRAM INCOME		
	\$ 2,763,882.00	\$ 3,001,142.00
		\$ -
TOTAL PROGRAM INCOME	\$ 2,763,882.00	\$ 3,001,142.00
7 TOTAL NET PROGRAM COST		
	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

North Central

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - CHCPs 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension	Year 2 Extension	
7/1/16 -6/30/17	7/1/17 -6/30/18	2016- 2018
Budget Year 4	Budget Year 5	Two Year Total
12 months	12 months	24 months
1	CONTRACTUAL SERVICES	
		\$ -
	TOTAL CONTRACTUAL SERVICES	\$ -
2	ADMINISTRATION	
Staff	\$ 675,879.00	\$ 733,899.00
Fringe Benefits	\$ 240,411.00	\$ 261,048.00
Non-Personnel	\$ 394,258.00	\$ 428,102.00
TOTAL ADMINISTRATION	\$ 1,310,548.00	\$ 1,423,049.00
3	DIRECT PROGRAM STAFF	
Staff	\$ 5,721,175.00	\$ 6,212,307.00
Fringe Benefits	\$ 2,035,025.00	\$ 2,209,718.00
TOTAL DIRECT PROGRAM	\$ 7,756,200.00	\$ 8,422,025.00
4	OTHER COSTS	
Direct Non-Personnel	\$ 795,698.00	\$ 864,003.00
		\$ -
TOTAL OTHER COSTS	\$ 795,698.00	\$ 864,003.00
5	EQUIPMENT	
		\$ -
		\$ -
	\$ -	\$ -
6	PROGRAM INCOME	
	\$ 9,862,446.00	\$ 10,709,077.00
		\$ -
TOTAL PROGRAM INCOME	\$ 9,862,446.00	\$ 10,709,077.00
7	TOTAL NET PROGRAM COST	
	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

Northwest

Line # Item/Total

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - CHCPs 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension	Year 2 Extension	
7/1/16 -6/30/17	7/1/17 -6/30/18	2016- 2018
Budget Year 4	Budget Year 5	Two Year Total
12 months	12 months	24 months
1 CONTRACTUAL SERVICES		
		\$ -
TOTAL CONTRACTUAL SERVICES	\$ -	\$ -
2 ADMINISTRATION		
Staff	\$ 303,392.00	\$ 329,436.00
Fringe Benefits	\$ 107,917.00	\$ 117,180.00
Non-Personnel	\$ 170,537.00	\$ 185,176.00
TOTAL ADMINISTRATION	\$ 581,846.00	\$ 631,792.00
3 DIRECT PROGRAM STAFF		
Staff	\$ 2,484,508.00	\$ 2,697,786.00
Fringe Benefits	\$ 883,739.00	\$ 959,602.00
TOTAL DIRECT PROGRAM	\$ 3,368,247.00	\$ 3,657,388.00
4 OTHER COSTS		
Direct Non-Personnel	\$ 345,213.00	\$ 374,847.00
		\$ -
TOTAL OTHER COSTS	\$ 345,213.00	\$ 374,847.00
5 EQUIPMENT		
		\$ -
		\$ -
	\$ -	\$ -
6 PROGRAM INCOME		
	\$ 4,295,306.00	\$ 4,664,027.00
		\$ -
TOTAL PROGRAM INCOME	\$ 4,295,306.00	\$ 4,664,027.00
7 TOTAL NET PROGRAM COST		
	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

TWO YEAR EXTENSION BUDGET

Connecticut Home Care Program

Composite Budget Page - CHCPs 7/1/2016-6/30/2018

Connecticut Community Care, Inc.

Total Company

Line # Item/Total

	Year 1 Extension 7/1/16 -6/30/17	Year 2 Extension 7/1/17 -6/30/18	2016- 2018
	Budget Year 4 12 months	Budget Year 5 12 months	Two Year Total 24 months
1 CONTRACTUAL SERVICES			
TOTAL CONTRACTUAL SERVICES	\$ -	\$ -	\$ -
2 ADMINISTRATION			
Staff	\$ 1,185,887.00	\$ 1,287,688.00	\$ 2,473,575.00
Fringe Benefits	\$ 421,822.00	\$ 458,030.00	\$ 879,852.00
Non-Personnel	\$ 679,579.00	\$ 737,916.00	\$ 1,417,495.00
TOTAL ADMINISTRATION	\$ 2,287,288.00	\$ 2,483,634.00	\$ 4,770,922.00
3 DIRECT PROGRAM STAFF			
Staff	\$ 9,786,714.00	\$ 10,626,844.00	\$ 20,413,558.00
Fringe Benefits	\$ 3,481,136.00	\$ 3,779,968.00	\$ 7,261,104.00
TOTAL DIRECT PROGRAM	\$ 13,267,850.00	\$ 14,406,812.00	\$ 27,674,662.00
4 OTHER COSTS			
Direct Non-Personnel	\$ 1,366,496.00	\$ 1,483,800.00	\$ 2,850,296.00
			\$ -
TOTAL OTHER COSTS	\$ 1,366,496.00	\$ 1,483,800.00	\$ 2,850,296.00
5 EQUIPMENT			
			\$ -
			\$ -
	\$ -	\$ -	\$ -
6 PROGRAM INCOME			
	\$ 16,921,634.00	\$ 18,374,246.00	\$ 35,295,880.00
			\$ -
TOTAL PROGRAM INCOME	\$ 16,921,634.00	\$ 18,374,246.00	\$ 35,295,880.00
7 TOTAL NET PROGRAM COST	\$ -	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

Eastern

Line # Item/Total

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - PCA 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension	Year 2 Extension	
7/1/16 -6/30/17	7/1/17 -6/30/18	2016- 2018
Budget Year 4	Budget Year 5	Two Year Total
12 months	12 months	24 months
1 CONTRACTUAL SERVICES		
		\$ -
TOTAL CONTRACTUAL SERVICES	\$ -	\$ -
2 ADMINISTRATION		
Staff	\$ 21,189.00	\$ 23,154.00
Fringe Benefits	\$ 7,537.00	\$ 8,235.00
Non-Personnel	\$ 11,772.00	\$ 12,862.00
TOTAL ADMINISTRATION	\$ 40,498.00	\$ 44,251.00
3 DIRECT PROGRAM STAFF		
Staff	\$ 162,141.00	\$ 177,164.00
Fringe Benefits	\$ 57,673.00	\$ 63,017.00
TOTAL DIRECT PROGRAM	\$ 219,814.00	\$ 240,181.00
4 OTHER COSTS		
Direct Non-Personnel	\$ 23,135.00	\$ 25,278.00
		\$ -
TOTAL OTHER COSTS	\$ 23,135.00	\$ 25,278.00
5 EQUIPMENT		
		\$ -
		\$ -
6 PROGRAM INCOME		
	\$ 283,447.00	\$ 309,710.00
		\$ -
TOTAL PROGRAM INCOME	\$ 283,447.00	\$ 309,710.00
7 TOTAL NET PROGRAM COST		
	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

North Central
PCA

Line # Item/Total

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - PCA 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension	Year 2 Extension	2016- 2018
7/1/16 -6/30/17	7/1/17 -6/30/18	2016- 2018
Budget Year 4	Budget Year 5	Two Year Total
12 months	12 months	24 months
1	<u>CONTRACTUAL SERVICES</u>	
		\$ -
	TOTAL CONTRACTUAL SERVICES	\$ -
2	<u>ADMINISTRATION</u>	
	Staff	\$ 98,827.00
	Fringe Benefits	\$ 35,152.00
	Non-Personnel	\$ 57,649.00
	TOTAL ADMINISTRATION	\$ 191,628.00
3	<u>DIRECT PROGRAM STAFF</u>	
	Staff	\$ 836,545.00
	Fringe Benefits	\$ 297,561.00
	TOTAL DIRECT PROGRAM	\$ 1,134,106.00
4	<u>OTHER COSTS</u>	
	Direct Non-Personnel	\$ 116,343.00
	TOTAL OTHER COSTS	\$ 116,343.00
5	<u>EQUIPMENT</u>	
		\$ -
		\$ -
		\$ -
6	<u>PROGRAM INCOME</u>	
		\$ 593,156.00
	TOTAL PROGRAM INCOME	\$ 1,442,077.00
7	<u>TOTAL NET PROGRAM COST</u>	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

Northwest
PCA

Line # Item/Total

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - PCA 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension	Year 2 Extension	2016- 2018
7/1/16 -6/30/17	7/1/17 -6/30/18	
Budget Year 4	Budget Year 5	Two Year Total
12 months	12 months	24 months
1	CONTRACTUAL SERVICES	
	TOTAL CONTRACTUAL SERVICES	\$ -
		\$ -
2	ADMINISTRATION	
Staff	\$ 13,959.00	\$ 15,253.00
Fringe Benefits	\$ 4,965.00	\$ 5,425.00
Non-Personnel	\$ 7,847.00	\$ 8,574.00
TOTAL ADMINISTRATION	\$ 26,771.00	\$ 29,252.00
		\$ 56,023.00
3	DIRECT PROGRAM STAFF	
Staff	\$ 114,315.00	\$ 124,908.00
Fringe Benefits	\$ 40,662.00	\$ 44,429.00
TOTAL DIRECT PROGRAM	\$ 154,977.00	\$ 169,337.00
		\$ 324,314.00
4	OTHER COSTS	
Direct Non-Personnel	\$ 15,884.00	\$ 17,355.00
		\$ 33,239.00
		\$ -
		\$ -
TOTAL OTHER COSTS	\$ 15,884.00	\$ 17,355.00
		\$ 33,239.00
5	EQUIPMENT	
		\$ -
		\$ -
		\$ -
6	PROGRAM INCOME	
	\$ 197,632.00	\$ 215,944.00
		\$ 413,576.00
		\$ -
TOTAL PROGRAM INCOME	\$ 197,632.00	\$ 215,944.00
		\$ 413,576.00
7	TOTAL NET PROGRAM COST	
	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)

PROGRAM NAME:

Total Company
PCA

Line # Item/Total

TWO YEAR EXTENSION BUDGET		
Connecticut Home Care Program		
Composite Budget Page - PCA 7/1/2016-6/30/2018		
Connecticut Community Care, Inc.		
Year 1 Extension 7/1/16 -6/30/17	Year 2 Extension 7/1/17 -6/30/18	2016- 2018
Budget Year 4	Budget Year 5	Two Year Total
12 months	12 months	24 months
1 CONTRACTUAL SERVICES		
		\$ -
		\$ -
TOTAL CONTRACTUAL SERVICES	\$ -	\$ -
2 ADMINISTRATION		
Staff	\$ 82,374.00	\$ 90,008.00
Fringe Benefits	\$ 29,299.00	\$ 32,015.00
Non-Personnel	\$ 47,167.00	\$ 51,537.00
TOTAL ADMINISTRATION	\$ 158,840.00	\$ 173,560.00
3 DIRECT PROGRAM STAFF		
Staff	\$ 676,209.00	\$ 738,864.00
Fringe Benefits	\$ 240,528.00	\$ 262,814.00
TOTAL DIRECT PROGRAM	\$ 916,737.00	\$ 1,001,678.00
4 OTHER COSTS		
Direct Non-Personnel	\$ 94,615.00	\$ 103,380.00
		\$ -
		\$ -
TOTAL OTHER COSTS	\$ 94,615.00	\$ 103,380.00
5 EQUIPMENT		
		\$ -
		\$ -
		\$ -
6 PROGRAM INCOME		
	\$ 1,170,192.00	\$ 1,278,618.00
		\$ 2,448,810.00
TOTAL PROGRAM INCOME	\$ 1,170,192.00	\$ 1,278,618.00
		\$ 2,448,810.00
7 TOTAL NET PROGRAM COST		
	\$ -	\$ -

(Sum of 1 through 5, minus Line 6)



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(g)(2), as amended by P.A. 10-1, 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 includes 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-160. "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 fund-raising 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 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.

This document constitutes an amendment to the above numbered contract. All provisions of that contract, except those explicitly amended herein, shall remain in full force and effect.

SIGNATURES AND APPROVALS

017CCC-CHC-04/13DSS6501FO A6

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

Documentation necessary to demonstrate the authorization to sign must be attached.

CONTRACTOR - CONNECTICUT COMMUNITY CARE, INC.

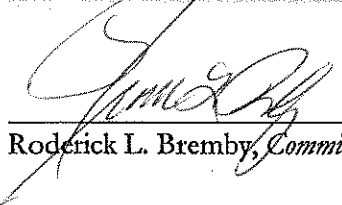


Molly Rees Gavin, *President*

6/28/16

Date

DEPARTMENT OF SOCIAL SERVICES



Roderick L. Bremby, *Commissioner*

6/30/16

Date


OFFICE OF THE ATTORNEY GENERAL




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

7/14/16

Date



STATE OF CONNECTICUT



Current User: debbief@ctcommunitycare.org
Log In/Out

Company Documents

Required Company Documents

Upload your Forms here.
[Show Page Help](#)

Connecticut Community Care, Inc. (CCCI)

Select Company: Connecticut Community Care, Inc. (CCCI)

Company List

Company Information

Company Accounts

Company Address

Company Contacts

Industry

Insurance

Active Contracts

Click Here To Upload Documents

Upload	Upload Info	Description
Upload <input type="checkbox"/>	Date: 4/4/2016 7:35:43 AM By: debbief@ctcommunitycare.org Name: OPM_Ethics_Form_6_-_4-4-2016.pdf	Affirmation of Receipt of State Ethics Law Summary (OPM Ethics Form 6) Get Document
Upload <input type="checkbox"/>	Date: 4/4/2016 7:36:33 AM By: debbief@ctcommunitycare.org Name: OPM_Ethics_Form_1_-_4-4-2016.pdf	Gift and Campaign Contribution Certification (OPM Ethics Form 1) Get Document
Upload <input type="checkbox"/>	Date: 4/4/2016 7:36:59 AM By: debbief@ctcommunitycare.org Name: OPM_Ethics_Form_5_-_4-4-2016.pdf	Consulting Agreement Affidavit (OPM Ethics Form 5) Get Document
Upload <input type="checkbox"/>	Date: 4/4/2016 7:37:35 AM By: debbief@ctcommunitycare.org Name: Form_B_Non_Discrimination_Jess_than_50_000_3-18-16.pdf	NonDiscrimination Certification (B - Representation by Entity) - For contracts valued at less than \$50,000 Get Document
Upload <input type="checkbox"/>	Date: 4/4/2016 7:38:06 AM By: debbief@ctcommunitycare.org Name: Form_C_-_Nondiscrimination_Cert_-_More_than_50_000_4-4-2016.pdf	NonDiscrimination Certification (C - Affidavit by Entity) - For contracts valued at more than \$50,000 (Recommended) Get Document
Upload <input type="checkbox"/>		NonDiscrimination Certification (D - New Resolution by Entity) Get Document
Upload <input type="checkbox"/>		NonDiscrimination Certification (E - Prior Resolution by Entity) Get Document
Upload <input type="checkbox"/>	Date: 4/4/2016 7:38:42 AM By: debbief@ctcommunitycare.org Name: OPM_Iran_Cert_-_Form_7_Rev3-28-14_-_4-4-2016.pdf	OPM Form 7 -- Iran Certification Get Document
Open Form	Date: 05/29/2016 By: debbief@ctcommunitycare.org	Commission On Human Rights and Opportunities (CHRO) Workplace Analysis Affirmative Action Report Employee Information Form (DAS-45)
Open Form		DAS-46 - CT Economic Impact Form

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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 Molly Rees Gavin of Connecticut Community Care, 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 Community Care, Inc. and that Connecticut Community Care, 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.

Molly Rees Gavin
Authorized Signatory

Molly Rees Gavin
Printed Name

Sworn and subscribed to before me on this 18th day of March, 2016.

Kam A. Mark
Commissioner of the Superior Court/
Notary Public

My commission expires May 31, 2016
Commission Expiration 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.



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: 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 Community Care, Inc. Molly Rees Gavin 3/18/16
Printed Name of Bidder or Contractor Signature of Principal or Key Personnel Date

Molly Rees Gavin
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this 18th day of March, 2016.

Kenneth A. March
Commissioner of the Superior Court
or Notary Public

My Commission Expires
Mar 31, 2016



**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.

Molly Rees Gavin
Signature

3/18/16
Date

Molly Rees Gavin
Printed Name

President
Title

Connecticut Community Care, Inc.
Firm or Corporation (If applicable)

43 Enterprise Drive
Street Address

Bristol
City

CT 06010
State Zip

Awarding State Agency



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: _____

INSTRUCTIONS:

CHECK ONE: [] Initial Certification. [X] 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:

- [X] 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; and
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 Community Care, Inc.
Printed Respondent Name


Molly Rees Gavin
Printed Name of Authorized Official

Molly Rees Gavin's
Signature of Authorized Official


Subscribed and acknowledged before me this 18th day of March, 2016.

[Signature]
Commissioner of the Superior Court (or Notary Public)

May 31, 2016
My Commission Expires



STATE OF CONNECTICUT



Current User: marcos.mcdonough@ct.gov
Biznet Menu
Log In/Out

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 Community Care, Inc. (CCCI)

ID	Job Category	Totals	White Male	White Female	Black Male	Black Female	Hispanic Male	Hispanic Female	Asian Male	Asian Female	Native Male	Native Female
5050	Officials/Managers	28	3	24	0	1	0	0	0	0	0	0
5051	Professionals	161	10	131	1	9	0	8	0	2	0	0
5052	Technicians	0	0	0	0	0	0	0	0	0	0	0
5053	Sales Workers	0	0	0	0	0	0	0	0	0	0	0
5054	Office/Clerical	78	5	39	1	5	2	23	0	2	0	1
5055	Craft Workers (Skilled)	0	0	0	0	0	0	0	0	0	0	0
5056	Operatives (Semi-skilled)	0	0	0	0	0	0	0	0	0	0	0
5057	Laborers (Unskilled)	0	0	0	0	0	0	0	0	0	0	0
5058	Service Workers	0	0	0	0	0	0	0	0	0	0	0
Totals		267	18	194	2	15	2	31	0	4	0	1

Do you use minority business as subcontractors or suppliers? Explain:

If CT based, do you post all employment openings with the State of Connecticut Employment Service? Explain:

Do you use an Affirmative Action Plan? Explain:

Describe your recruitment, hiring, training and promotion anti-discrimination practices.

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ZHE A043164 02

Hanover Insurance Company, 440 Lincoln Street, Worcester MA 01605

**Human Services Professional Liability
Claims Made Coverage Declaration**

CM

Policy Number	Policy Period		Coverage is Provided in the:	Agency Code
	From	To		
ZHE A043164 02	07/01/2015	07/01/2016	Hanover Insurance Company	1500901

Named Insured and Address :

Agent :

CONNECTICUT COMMUNITY CARE INC 43 ENTERPRISE DRIVE BRISTOL CT 06010	USI INSURANCE SERVICES LLC 530 PRESTON AVE PO 1040 MERIDEN CT 06450
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LIMITS OF INSURANCE:

Aggregate Limit	\$2,000,000
Each "Wrongful Act" Incident Limit	\$1,000,000

RETROACTIVE DATE

This insurance does not apply to "Damages" resulting from a "Wrongful Act" which occurred before the Retroactive Date, if any, Shown Here

07/01/1986

(Enter Date or "None" if no retroactive date applies)

BUSINESS DESCRIPTION

Form of Business	Corporation
Business Description	Human Services Organization
PREMIUM	