



**TOWN OF MANSFIELD
TOWN COUNCIL MEETING
Monday, September 10, 2012
COUNCIL CHAMBERS
AUDREY P. BECK MUNICIPAL BUILDING
7:30 p.m.**

AGENDA

	Page
CALL TO ORDER	
ROLL CALL	
APPROVAL OF MINUTES	1
OPPORTUNITY FOR PUBLIC TO ADDRESS THE COUNCIL	
REPORT OF THE TOWN MANAGER	
REPORTS AND COMMENTS OF COUNCIL MEMBERS	
OLD BUSINESS	
1. Storrs Center Update (Item #7, 08-27-12 Agenda) (No attachment)	
NEW BUSINESS	
2. Reapportionment of Regional School District #19.....	9
3. Responsible Contracting Provisions in Municipal Construction Contracts.....	11
4. Agreement between the Town of Mansfield, Mansfield Board of Education and Region 19 Board of Education for Financial Management, Information Technology, Risk Management, and Employee Benefits Services.....	77
5. Quarterly Financial Reports	89
6. Year End Budget Transfers for FY 2011/12.....	151
7. Capital Improvement Program Closeouts/Adjustments	157
DEPARTMENTAL AND COMMITTEE REPORTS	161
REPORTS OF COUNCIL COMMITTEES	
PETITIONS, REQUESTS AND COMMUNICATIONS	
8. G. Haddad re: School Building Project.....	165
9. D. Hoyle re: Interstate Reliability Project.....	167
10. A. Mele re: CL&P's Interstate Reliability Project	169
11. J. Raynor re: School Building Project.....	173
12. A. Smith re: Connecticut Freedom of Information Act	175
13. M. Hart re: Reappointment to Conservation Commission – Q. Kessel	177
14. M. Hart re: Reappointment to Conservation Commission – S. Lehman.....	179

15. L. Painter re: Conservation and Development Policies: A Plan for Connecticut (DRAFT).....	181
16. Press Release: National Senior Center Month celebration at the Mansfield Senior Center.....	221
17. Proclamation in Recognition of September 2012 as Senior Center Month.....	223
18. Government Finance Officers Association re: Certificate of Achievement for Excellence in Financial Reporting for Cheryl A. Trahan.....	225
19. Community Connections “United Services announces plans for new Mansfield Center” Summer 2012.....	227
20. Issues & Trends “Bankruptcy – Don’t Panic” August 2012	229

FUTURE AGENDAS

EXECUTIVE SESSION

ADJOURNMENT

REGULAR MEETING – MANSFIELD TOWN COUNCIL
August 27, 2012
DRAFT

Mayor Elizabeth Paterson called the regular meeting of the Mansfield Town Council to order at 7:30 p.m. in the Council Chamber of the Audrey P. Beck Building.

I. ROLL CALL

Present: Freudmann, Keane, Kochenburger (arrived 8:45 p.m.), Moran, Paterson, Paulhus, Ryan, Schaefer, Shapiro

II. APPROVAL OF MINUTES

Mr. Paulhus moved and Mr. Ryan seconded to approve the minutes of the July 23, 2012 meeting as amended. The motion passed unanimously.

III. PUBLIC HEARING

1. Amendment to Nuisance Ordinance

Town Attorney Dennis O'Brien reviewed the issues which initiated the proposed change to the definition of nuisance in the ordinance.

Cynara Stites, Sycamore Drive, spoke in support of the proposed changes noting the success of the ordinance and the need to close this loophole.

John Sobanik, Celeron Square, spoke in support of the changes, commenting the ordinance is an effective enforceable tool and it is important it remains so.

Betty Wassmundt, Old Turnpike Road, questioned the wording of the definition of nuisance.

Art Smith, Mulberry Road, questioned whether the language sets a different standard for those renting and believes it is difficult to understand how it will be interpreted. Mr. Smith also commented there will be a hidden expense if the Town Attorney needs to prepare for hearings.

IV. OPPORTUNITY FOR PUBLIC TO ADDRESS THE COUNCIL

Ric Hossack, Middle Turnpike, believes the cost of the school building project has been underestimated in many ways; asked the Council not to name the green at Wormwood Hill in honor of the Atwood family; asked the Council not to authorize additional funding for the Four Corners project until the EIE is completed and urged the Council to give Mr. Kotula the land he wants. Mr. Hossack also asked the Council what the Town can do to keep the fisher cats out of his yard.

Leslie Minero, Chaffeeville Road, requested the nuisance ordinance be expanded to address disturbing noise including that of animals and farm equipment. Ms. Minero stated she no longer enjoys her home because of the noise in her neighborhood.

Jim Raynor, Moulton Road, spoke to the timing of the school building project referendum vote and urged the Council not to diminish the vote of the permanent voters in Town by having the referendum in conjunction with the November Presidential Election. Mr. Raynor suggested another date be chosen at which anyone who wants will be able to vote.

Anthony Mingrone, formerly of Mansfield City Road, thanked the Council for their attention to the feral cats on his property and offered to provide any needed information.

August 27, 2012

Betty Wassmundt, Old Turnpike Road, commented on the Hearing Citation Officer, the Wormwood Hill Green, the feral cats, the trees at the Senior Center, and the school referendum. (Statement attached)

Robin Weiner, Birchwood Heights Road, urged the Council not to schedule the school building project referendum on November 6, 2012 and requested the Council implement a freeze on taxes for senior citizens who meet certain income criteria. Ms. Weiner also questioned why Lawrence Associates is involved in the planning and building stages for the school building project.

Art Smith, Mulberry Road, spoke to his concerns with the lack of transparency in the Freedom of Information process in Town. Mr. Smith outlined his FOI requests and his concern with the information he received.

REPORT OF THE TOWN MANAGER

In addition to his written report Town Manager Matt Hart offered the following comments:

- The Hearing Citation Officer hears appeals of violations and it is a volunteer position.
- Fisher cats are a wildlife issue handled through the DEEP. The Town Manager will see if there is some information on the DEEP website which can be linked to the Town's website.
- Lawrence Associates was hired by the School Building Committee for the design phase in a competitive bidding process.
- In response to Mr. Smith's comments regarding his Freedom of Information requests Mr. Hart noted the Director of Finance does not sign a contract with the Town and so the contract to which Mr. Smith referred must be a contract with Region 19. The Town Clerk noted she suggested Mr. Smith forward the request regarding information on the use of Board of Education money for Storrs Center relocation expenses to the Board of Education. He did so and received the requested information.

Ms. Moran noted the confusion regarding concerns that Board of Education money was spent for relocation expenses arose because the Board and Town use a single checking account and therefore both names appear on the checks.

Ms. Keane asked if an open bid process will be used for choosing an architect for the school building project. Mr. Hart responded that will be a Council decision.

V. REPORTS AND COMMENTS OF COUNCIL MEMBERS

Mr. Paulhus suggested the 15% rule for the adoption of referenda questions be reviewed during the next charter revision process.

VI. OLD BUSINESS

2. Amendment to Nuisance Ordinance

Council members discussed the meaning of the proposed language; the authority for the ordinance; the "what would a reasonable person do?" test; the goals of the ordinance to curb behavior and not to impose criminal penalties in most situations; and the existing loophole.

Mr. Shapiro moved and Mr. Ryan seconded to suspend the Town Council Rules of Procedures and to immediately allow for the consideration of the proposed changes to the Nuisance Ordinance.

The motion passed with all in favor except Mr. Freudmann and Ms. Keane who were in opposition.

Mr. Kochenburger joined the meeting at 8:45 p.m.

Mr. Ryan moved and Mr. Schaefer seconded effective August 27, 2012 to accept the proposed Amendment to the Definition of Nuisance in Section 135-4 of the Ordinance to

August 27, 2012

Prevent Neighborhood Nuisances, which amendment shall be effective 21 days after publication in a newspaper having circulation within the Town of Mansfield. The motion passed with all in favor except Mr. Freudmann who was in opposition and Mr. Kochenburger who abstained, as he was not present for the discussion.

3. School Building Project

Council members discussed their support of and opposition to placing the school building referendum on the November 6, 2012 ballot.

By consensus the Council agreed to hold a special meeting on September 6, 2012 at 7:00 p.m. to discuss the next steps. Mayor Paterson urged members to participate in the informational hearings which are being held at each of the schools.

4. Community/Campus Relations

Sergeant Cournoyer updated the Council on the activities of the students during the first weekend school was back in session. UConn Chief of Police O'Connor and Sergeant Cournoyer now have the ability to communicate directly and are working together to control crowds. Council members commended the Sergeant and Chief for this effort at community policing. Sergeant Cournoyer gave credit to the officers who are making it work.

The Mayor noted the new interim Off Campus Services Director, John Armstrong, is an enthusiastic partner. Town and University staff will be meeting with students over the next couple of weeks to define expectations.

5. Community/Wastewater Issues

Town Manager Matt Hart reported the Town is still awaiting the Environmental Impact Evaluation which is expected in late September and UConn continues to monitor and report on the conditions of the wells.

6. Naming of Wormwood Hill Green

Councilor Schaefer made a statement in favor of naming the Wormwood Hill Green in honor of the Atwood family. He noted that Isabelle Atwood has been paying for the maintenance of the Green for many years even though the Town owns part of the land and should mow the Plimpton (Slayton) and Town sections.

Council members discussed the Town's prescriptive easements on the property for road usage only, the Town does not own the property; whether the portion of the land controlled by the Town and the owners who are in favor of the dedication be designated; and whether the Atwood family has already been sufficiently commemorated in Town.

Ms. Moran moved to direct the staff to further discuss both the naming and acquisition of the private portions of the green with the current owners and report back to the Council at a future meeting. Seconded by Mr. Schaefer, the motion was defeated with Kochenburger, Paterson, Schaefer and Shapiro in favor and Freudmann, Keane, Moran, Paulhus and Ryan opposed.

Mr. Schaefer moved and Mr. Kochenburger seconded to name the portion of the green that is controlled by the Town through the existing right-of way and the owners who favor the naming in honor of the Atwood family, postponing any decision on the maintenance of the green until the matter presents itself. The motion was defeated with Kochenburger, Paterson, Schaefer and Shapiro in favor and Freudmann, Keane, Moran, Paulhus and Ryan opposed.

7. Storrs Center Update

Town Council members toured the new construction area and the parking garage at a special meeting earlier this evening. The Town Manager reported the demolition of 1254 Storrs Road is imminent and announced, following PZC review and required approval, Price Chopper will build a grocery store. At the next Council meeting, Mr. Hart will

August 27, 2012

provide additional information regarding the negotiations as a result of the cost overruns for the garage and will provide the Council with information on a Responsible Contractor's Ordinance for review. The Town Manager will also provide an allocation schedule for the money owed to the Town by EDR.

VII. NEW BUSINESS

8. Revision to Fund Balance Policy

Finance Committee Chair Bill Ryan outlined the proposed Fund Balance Policy which would set new guidelines and moved the following resolution:
Resolved, effective August 27, 2012, to adopt the proposed revised Fund Balance Policy dated August 23, 2012.

Mayor Paterson offered the following amendment:

As amended in a memo from Director of Finance Cherie Trahan dated August 24, 2012 and presented at the August 27, 2012 Town Council meeting.

Accepted as a friendly amendment, the motion as amended passed unanimously.

9. Bond Authorization of Four Corners Sewer and Water Project and the South Eagleville Walkway Project

Finance Committee Chair Bill Ryan reported the Committee's recommendation is to not include either of these projects on the November ballot. The Public Works Department is not in a position to undertake the South Eagleville Walkway Project and the Four Corners Sewer and Water Project should be delayed until the results of the EIE are known.

10. Amendment to the Building and Fire Permit Fee Ordinance

Building and Housing Director Mike Nintean and Acting Deputy Fire Marshal Fran Raiola explained the difficulties with the current ordinance, commenting the fee structure is difficult for staff to administer and for the public to understand.

Mr. Paulhus left at 10:30 p.m.

Ms. Moran moved and Ms. Keane seconded that the Town Council authorize the Mayor to establish an Ordinance Development and Review Subcommittee comprised of members of the Town Council, appointed by the Mayor, to review the proposed amendment to the Building and Fire Permit Ordinance.

The motion passed unanimously.

Mayor Paterson asked any Council member willing to serve on the Committee to contact her.

VIII. DEPARTMENTAL AND COMMITTEE REPORTS

No comments offered.

IX. REPORTS OF COUNCIL COMMITTEES

Chair of the Finance Committee Bill Ryan reported the Committee is reviewing the Storrs Center relocation cost and a profit of \$233,000 was realized by the Town at the end of the fiscal year.

Chair of the Personnel Committee Toni Moran reminded members of the September 7, 2012 deadline for the Town Manager's evaluation. The Committee will also begin reviewing the Town Manager's contract.

X. PETITIONS, REQUESTS AND COMMUNICATONS

11.H. Bacon re: Sidewalks on either side of Route 195 in Mansfield Center extending from Route 89 to Bassetts Bridge Road – the Historic District Commission will be looking at acceptable surface options for the walkway.

12.M. Bradley re: School Building Project

13.S. Clark re: Wormwood Hill Green

14.A. Kotula re: Parcel A – a copy of the Town Attorney's opinion has been sent.

15.A. Mingrone re: Cat Population Control Ordinance – An update on current feral cat policies and procedures will be added to a future agenda for discussion.

August 27, 2012

- 16.J. Raynor re: School Building Project
- 17.M. Hart re: Appointment to Eastern Connecticut Resource Conservation & Development Area, Inc. Board
- 18.M. Hart re: Hearing Citation Officer Appointment
- 19. Legal Notice: Zoning Board of Appeals
- 20. Mansfield Senior Center Computer Classes
- 21. Proclamation in Recognition of September as Leukemia, Lymphoma & Myeloma Awareness Month
- 22. Preserving Farmland – Preserving Farming

XI. FUTURE AGENDA

Mr. Freudmann requested budgetary offsets to the cost of tax abatements for farms be discussed at a future meeting. Mr. Fruedmann will initiate this conversation at a Finance Committee meeting.

XII. ADJOURNMENT

Ms. Moran moved and Mr. Ryan seconded to adjourn the meeting at 10:55 p.m. The motion passed unanimously.

Elizabeth Paterson, Mayor

Mary Stanton, Town Clerk

August 27, 2012

Aug. 27, 2012

To: Town Council

From: Betty Wassmundt

About the appointment of Hearing Citation Officer, is this a paid position and what are the duties?

About the Wormwood Hill Green, it seems that this is a much more complicated situation than what was initially presented. I urge you to leave the green as it is. Don't needlessly incur any more responsibility and expense for the town.

Regarding No. 9, about Four Corners, I don't understand the letter from Hart. It's dated August 27th and refers to Aug 23rd as being in the future.

Nex, I urge you to address the letter from Mr. Mingrone about feral cats. Feral cats should be the responsibility of the town and the town should round them up and humanely dispose of them. I consider euthanasia to be humane. This town needs a cat ordinance requiring all cats to be "house cats". Cats should not be allowed to roam freely. Domestic cats are not native to this continent. Cats are predators; they prey on small mammals and birds. They are known to kill millions of mammals and birds each year. The people who love their cats and allow them to roam about are feeding the local coyotes and fishers. That is not a humane death for the cat. Please deal with this issue.

Last session I asked you to do something about the trees at the Senior Center being overcome with bittersweet. I'm pleased to see that the plea was finally heard but displeased with the work. The trees were cleared of vines by cutting off the branches. All that had to be done was to cut the vines and remove the bittersweet roots; the vines in the trees would dry and fall off and the trees would still have branches. *maybe the branches were dead, & not a pet* Also, about 20% of the area, the uphill portion, wasn't cleared of vines. I continue to find reason to say: only "public servants" could get away with such performance.

About the two school referendum, I urge you to vote to send this to referendum at the November elections. I'm sure that by doing this you will so infuriate the public that come next council election, you will be voted out. Thank you.

My name is Jim Raynor. I live on Moulton Road in Mansfield. I'd like to speak to you about the upcoming vote on building 2 new schools in town. Specifically, I'd like to address the timing of the vote on this proposal. I sent a letter to you a few weeks ago expressing my feelings on your proposal, so there is no need to repeat what I hope you've already read. But I would like to address one specific part of this issue- namely the date to be chosen for our vote. I know some of you are concerned about diminishing the voting rights of Uconn students who opt to vote in Mansfield in the presidential election, and therefore qualify to vote on this issue. I hope you will be equally aware of diminishing the value of the votes of the permanent residents of the town- those of us residents who elected you to represent us. I am concerned about Uconn students who come from Greenwich, Litchfield, Chicago, or Los Angeles voting on a purely local Mansfield issue of which they probably have little or no knowledge. Their vote on this issue is probably not an informed vote, but it counts just as much as your vote and mine. That doesn't seem fair to the permanent residents of Mansfield. You were all elected by Mansfield residents to serve Mansfield residents. I think we should decide what the design our grammar schools will be.

Even if you don't feel your first responsibility is to the residents of Mansfield, and I suspect that most of you do, if you will schedule this referendum vote on a date separate from the presidential vote, anyone interested in voting on this issue can do so. No one's right to vote is taken away. If a Uconn student wishes to vote in our referendum, he or she can. If doing so means coming to the polling place for the sole purpose of voting on our schools, chances are he or she will be someone who is informed on the subject and who will cast an informed vote, not someone who is there to vote for a president, and oh yes, while I'm here, I can vote for, or against, new schools in Mansfield, even though I know little about Mansfield, and don't really care all that much. Holding the referendum on a different date enables anyone who wishes to vote to do so.

I think the council owes it to the people who elected you, to not diminish the value of our votes. And by the way, as I said in my previous letter, thank you for your service on the town council. It is a big commitment on your part.

Thank you for your time.

PAGE
BREAK



**Town of Mansfield
Agenda Item Summary**

To: Town Council
From: Matt Hart, Town Manager *MuH*
CC: Maria Capriola, Assistant Town Manager
Date: September 10, 2012
Re: Reapportionment of Regional School District #19

Subject Matter/Background

This item has been placed on the agenda in order to provide representatives of the Region's reapportionment committee the opportunity to update the Town Council concerning the reapportionment process.

Attachments

- 1) Legal Notice, Plan of Representation for Submitted by Regional School Reapportionment Committee

Legal Notice

Notice is hereby given that at a meeting held on August 9, 2012, the State Board of Education, pursuant to the provisions of Section 10-63m(a) and (c) of the Connecticut General Statutes, approved the plan of representation submitted by the Regional School Reapportionment Committee of Regional School District 19, and directed the Commissioner to take the necessary action.

The plan of representation provides that the Regional School District 19 Board of Education:

- Shall be comprised of twelve members – four members from Ashford, four members from Mansfield, and four members from Willington.
- Each member town will continue to choose its four members of the Board.
- The voting power of members from each town shall be weighted as follows: Ashford 1.60 votes per town (0.40 votes per member); Mansfield 8.12 votes per town (2.03 votes per member) and Willington 2.28 votes per town (.057 votes per member).

Dated this 30th day of August, 2012.

Barbara B. Metsack, Ashford Town Clerk

Mary Stanton, Mansfield Town Clerk

Donna J. Hardie, Willington Town Clerk



**Town of Mansfield
Agenda Item Summary**

To: Town Council
From: Matt Hart, Town Manager *MattH*
CC: Maria Capriola, Assistant Town Manager; Lon Hultgren, Director of Public Works; Cynthia van Zelm, Executive Director, Mansfield Downtown Partnership, Inc.
Date: September 10, 2012
Re: Responsible Contracting Provisions in Municipal Construction Contracts

Subject Matter/Background

At the Mansfield Downtown Partnership's update on the Storrs Center project in January of this year, I offered to meet with representatives of the Connecticut Laborers District Council and the New England Region Council of Carpenters to listen to their concerns regarding labor conditions at Storrs Center. Later in the spring the Downtown Partnership staff and I were also approached by a group of UConn faculty members who were concerned about similar matters.

In the ensuing months, Storrs Center master developer Howard Kaufman and I have held separate meetings with the members of the trades unions and the group of UConn faculty to discuss items of mutual concern and to educate one another regarding the issues. Mansfield Downtown Partnership Executive Director Cynthia van Zelm and board members Toni Moran and Bill Simpson have attended some of these meetings. While the immediate focus of the meetings was on Storrs Center, the discussion was comprehensive in nature.

In these meetings, the trades unions and the faculty have advocated that the Town of Mansfield include what is commonly known as "responsible contracting" provisions in its larger public works contracts. The main concern expressed by the unions and the faculty is the importance of having contractual language in place to ensure that workers are treated fairly and equitably. Generally, the concerns revolve around employee compensation, training and benefits.

Connecticut communities that have adopted responsible contracting ordinances or resolutions include Danbury, Killingly, Middletown, New Britain, New Haven, Stamford and West Haven. During our discussions and through a review of the ordinances that other communities have adopted, we have learned that responsible contracting ordinances typically contain provisions regarding

apprentice training programs; prevailing wage rates; local hiring preferences; hiring of minorities and women; employee benefits including unemployment compensation, workers compensation and health insurance; employee classification procedures; and contractor reporting requirements.

Many of the ordinances also place parameters and definitions on contracting provisions, such as defining an employee vs. an independent contractor, stipulating whether provisions should apply to all employees, and capping or placing a minimum on the amount of a contract that is subject to responsible contracting provisions.

Some responsible contracting ordinances also include penalties such as withholding of payment, damages if the contractor violates contractual provisions and barring the contractor from working for the municipality immediately or in the future if contractual requirements are not satisfied. In addition, these regulations typically provide an administration structure to enforce the provisions of the responsible contracting ordinance.

Under current state statutes, the Town of Mansfield is required to include language in its larger public works contracts that is similar to responsible contracting provisions, including prevailing wage rates, non-discrimination, OSHA training, anti-collusion, etc. If a project is funded by a state or federal grant, the Town is obligated to comply with whatever contracting provisions are required by the particular state or federal funding agency as well as general state and federal labor requirements that are incorporated by reference in the contracts.

Financial Impact and Related Issues

The adoption of a responsible contracting ordinance would be a significant policy decision for Town Council and there are several key issues that the Council would want to examine closely, including impacts to the cost of construction and resources needed to properly administer contractual provisions.

Another issue I would highlight is that responsible contracting ordinances are sometimes critiqued as favoring contractors who employ unionized workers over firms that hire primarily nonunion employees, because unionized contractors are more likely to pay prevailing wage and to offer a competitive employee benefits package. In the Mansfield region we are fortunate to have well-qualified nonunion contractors as well as many union tradespeople. With some thought and careful drafting, I am optimistic that the Town could craft legislation that would appropriately address this issue and promote the hiring of local tradespeople and contractors, both union and nonunion.

Recommendation

Attached please find a packet of information related to responsible contracting, including sample ordinances in place in other Connecticut municipalities and articles concerning the topic.

From my perspective, I see merit in the Council taking a close look at this topic to determine whether a responsible contracting ordinance or similar legislation would make sense for Mansfield. Among other potential benefits, such an ordinance could be used to promote the hiring of local workers and contractors, to support apprenticeship programs and to help ensure fair employment practices. Advocates also argue that responsible contractors typically produce a higher quality work product, to the benefit of the municipality and its taxpayers.

If the Town Council does wish to review this topic in some detail, I would recommend a referral to an existing subcommittee or the establishment of an ad hoc committee. As a reminder, we are in the process of establishing a separate ad hoc committee to review proposed amendments to the building construction and fire prevention fee schedule ordinances, and the Council will need to manage its workload accordingly.

Staff will be available at Monday's meeting to assist with questions regarding this topic.

Attachments

- 1) Fiscal Policy Institute, "Prequalification of Contractors: The Importance of Responsible Contracting on Public Works Projects"
- 2) National Employment Law Project, "The Road to Responsible Contracting"
- 3) Excerpts from various municipal codes of ordinances (Danbury, Middletown, New Britain, Stamford)

Prequalification of Contractors: The Importance of Responsible Contracting on Public Works Projects

By

Moshe Adler
Senior Economist

**Fiscal Policy Institute
275 Seventh Ave. 6th floor
New York, NY 10001
212-414-9001**

May 5, 2003

Introduction

The construction of high quality public works projects is an essential component of an attractive quality of life and a competitive New York City economy. It is also imperative given the need for careful fiscal planning that the City take every step to ensure that all publicly-funded construction work is carried out by reputable and responsible contractors. Responsible contracting practices benefit not only the City and its taxpayers but contractors and workers as well. All responsible public works contractors need a level playing field. Through anti-competitive means, irresponsible contractors undercut sound business practices and artificially restrict opportunities for small, locally-based enterprises. All construction workers depend on the maintenance of good labor standards – compliance with prevailing wage and health and safety laws – that are jeopardized by irresponsible contractors.

While the importance of successful contracting to the City cannot be over-emphasized, as the New York State Organized Crime Task Force explains, a government enters the process of contracting with several crippling handicaps.¹ First, unlike a private entity that hires a contractor, the government must choose the lowest bidder among eligible contractors. Second, unlike a private entity, the government cannot simply say that it "does not like the job" a contractor did. The government must evaluate the quality of the work a contractor did objectively. But because in construction no two projects are the same, objective standards cannot be easily be defined. Wary of protracted battles with contractors, agencies often avoid them by giving contractors passing grades. In a 1998 report the Massachusetts Inspector General issued a report in which he stated: "Awarding authorities...are reportedly reluctant to provide unfavorable evaluations of contractors' performance on public contracts."² The result has been that unscrupulous contractors who plan to ask for change orders later on and to provide shoddy work through the use of unskilled workers often submit the lowest bids and impose great losses on the public.

Recognizing these handicaps, both the New York Organized Crime Task Force and the State of Massachusetts have concluded that the best solution is to **prequalify** contractors. According to the Organized Crime Task Force,

"the first step in combating fraud in public construction is to reform the contract letting system so that the City has greater control in selecting contractors for its multibillion dollar public works program. To accomplish this, the City needs **1) the authority to prequalify bidders**; 2) a strategy for increasing the size of the prequalified pool of contractors; 3) the ability and willingness to declare an

¹ Ronald Goldstock, "Corruption and Racketeering in the New York City Construction Industry," Final report to Governor Mario M Cuomo from the New York State Organized Crime Task Force," New York University Press: New York, 1991, Chapter 10.

² Massachusetts Office of the Inspector General Report, "Qualifying Contractors for Public Building Projects," August 1998. www.state.ma.us/ig/publ/ancx.htm.

unacceptable low bidder “not responsible;” 4) the authority to debar an incompetent, defaulting, or corrupt contractor from public contracting; and 5) the option to use letting procedures other than pure bidding.”³ (Emphasis added.)

In Massachusetts, according to its Inspector General, prequalification is mandatory because the state wants to assure the success of its public works programs:

“All contractors bidding on public building projects valued at more than \$25,000 must first be certified by the Division of Capital Asset Management (DCAM). Thousands of state and local agencies and governments across Massachusetts rely on DCAM to prequalify their contractors for public building contracts. **The success of building construction projects to provide essential public facilities such as public safety buildings, schools, libraries, and prisons depends heavily on DCAM’s ability to screen out unqualified contractors and to certify qualified contractors in a timely manner.**”⁴

Perhaps the best example of what prequalification can do for New York City comes from the cleanup of the World Trade Center site. That cleanup ended well ahead of schedule--estimates vary from 3 months to 1 year--and \$1 billion or more under budget.⁵ The process of selecting the contractors in this case involved what in effect was prequalification: because of the emergency the Department of Design and Construction was free to select contractors that it knew had a good track record.

An example of how expensive projects can get when prequalification does not take place comes from the renovation of the new MTA headquarters currently underway at 2 Broadway. Removal of hazardous material was contracted for \$1.3 million but reached \$7.8 million in January 2003, even before the work was complete. Demolition was budgeted at \$720,000, but ended up costing \$4.8 million. The installation of drywall was budgeted at \$411,000; but ended up costing \$9.5 million.⁶

As the Organized Crime Task Force concluded, the process of selecting contractors by city agencies would produce the best results when these agencies can choose from a list of contractors with good track records. Prequalification simply means the creation of such a list.

This report evaluates the state of responsible contracting practices in public works construction in New York City. As part of this evaluation the report examines the relationship between a contractor’s compliance with labor laws and the quality of its work, the quality of information about contracting that is provided by the Vendex System

³ Goldstock, p. 252.

⁴ Inspector General of the State of Massachusetts, “The Commonwealth’s Contractor Certification System: A Status Report”, 2000, emphasis added. <http://www.state.ma.us/ig/publ/contcerx.htm>.

⁵ The Construction Industry Partnership, no date; The American Council of Engineering Companies, “Response to Disaster Prominent Among Engineering “Academy Awards” Finalists,” Feb. 10, 2003.

⁶ Charles V. Bagli, “Sweet Deal for M.T.A. Home Turns Sour, Beset by Cost Overruns and Indictments,” The New York Times, 5/19/02.

and the effectiveness of the enforcement of labor laws in the city. Based on this examination the report also makes recommendation for improving the process of contracting in New York City.

1. Bad Employers Are Costly to Tax Payers

When contractors use unskilled and inexperienced workers the result is low quality and high cost to the government. Prevailing wage laws are designed to force contractors to use only qualified workers. The Inspector General of the U.S. Department of Housing and Urban Development (HUD) discovered a "direct correlation between labor law violations and poor quality construction" in 17 sites that his office investigated. This led him to conclude:

"Poor workmanship quality, in our opinion, results from the use of inexperienced or unskilled workers and shortcut construction methods. Roofing shortcuts result in leaks and costly roof and ceiling repairs. While shortcuts in painting may not be as serious, it does require future maintenance expense by requiring repainting sooner than anticipated. Electrical shortcut deficiencies are not as readily detected but may lead to serious problems such as fire and shocks . . . Poor quality work led to excessive maintenance costs and increased risk of defaults and foreclosures . . . this systematic cheating costs the public treasury hundreds of millions of dollars, reducing workers' earnings, and driving the honest contractor out of business or underground."⁷

Researchers at the University of Utah also discovered that bad contractors hurt both workers and taxpayers. They examined the effect of the repeal of prevailing wage law in Utah and eight other states.⁸ They discovered that following repeals:

Effect on Workers

- Injuries increased by 15%.
- Wages in the construction industry fell by 22%.
- Construction training declined by 40%. (The replacement of skilled with unskilled workers is perhaps the most important reason for the increase in injuries.)

⁷ "Audit Report on Monitoring and Enforcing Labor Standards," Department of Housing and Urban Development, Office of Inspector General. Cited in Dale Belman and Paula Voos, "Prevailing Wage Laws in Construction: The Costs of Repeal to Wisconsin," The Institute for Wisconsin's Future, University of Wisconsin, January 1996 (revised), p. 5.

⁸ Peer Philips, Garth Magnus, Norm Waitzman and Anne Yeagle, "Losing Ground: Lessons from the Repeal of Nine 'Little Davis-Bacon' Acts," University of Utah, February 1995.

- After the repeal minority representation in training programs declined by 36%.⁹
 - Pension and health insurance contributions/coverage declined.¹⁰
- Effect on Budget

- Cost overruns on construction projects increased from 2.0% to 7.3% of accepted bids.
- Final project costs as a percentage of the state engineer's original estimate increased by 2%.¹¹ Two percent of the \$3.5 billion worth of construction projects that New York City currently has amounts to \$70 million.
- Lost income and sales tax receipts exceeded cost savings to the state government by at least 27%.¹²

As a result of such concerns, several Massachusetts cities, including Boston, went further than the state law and passed ordinances that decree that a responsible contractor is also an employer who pays prevailing wages, provides apprenticeships, and pays for workers' benefits. Boston passed its "Responsible Employer Ordinance" in 1998, and two years later Mayor Menino reported that the ordinance "required no major additional resources and appears to have had a successfully **preventive impact**." (Emphasis added.) The mayors of Cambridge, Springfield and Worcester issued similar assessments. (Statement Attached.)

Bad Employers Are Costly to New York City Tax Payers

The clearest indication that contractors who mistreat workers also short change tax payers comes from New York City itself. The Fiscal Policy Institute drew a random sample of 30 contractors who have performed construction work for the city and for whom there is an evaluation of the quality of work they have done. Among the 19 contractors *with no* labor law violations 1 contractor's work was rated as unsatisfactory and 1 was rated as marginal. The work of 13 was rated satisfactory, and the work of 4 was rated excellent. In contrast, among the 11 contractors *with* labor law violations, the work of 2 was rated unsatisfactory, the work of 4 was rated as marginal, and the work of 5 was rated as satisfactory. No contractor who had labor law violations received an excellent rating. See Table 1 below.

⁹ Ibid. figure 3.9

¹⁰ Peer Philips, "Kansas And Prevailing Wage Legislation," Prepared for the Kansas Senate, Labor and Industry Committee, Feb. 20, 1998, p. 49.

¹¹ P. 15,

¹² Philips et al., page 29

Table 1: Quality of Work of New York City Contractors by Labor Law Violations		
Labor Law Violations* Quality of Work**	No Labor Law Violations Percent	Labor Law Violations Percent
Unsatisfactory	5.3%	18.0%
Marginal	5.3%	36.0%
Satisfactory	21.1%	46.0%
Excellent	68.4%	0.0%
Total	100.0%	100.0%

Source: New York City Mayor of Contracts, Data for the years 1993-2002.

* Any labor law violations by the contractor in 1993-2002.

**Lowest performance evaluation for the contractor in 1993-2002.

Thus, a contractor with labor law violations is more than five times as likely to have a low performance rating (either unsatisfactory or marginal) than a contractor with no labor law violations.

The performance rating, which is done by the city agencies who hire the contractors, is determined by six factors: Work quality, cost, keeping to schedule, contract changes, record keeping and cooperativeness. Thus a low performance rating indicates that a contractor was costly to the city. It either delivered work of low quality, did not finish work on schedule, imposed additional costs on the city, or forced the city to allocate additional resources to monitor its performance.

It should be noted that instead of drawing a sample, in theory it is possible to construct Table 1 for the whole population of construction contractors. Unfortunately, the data provided by the Mayor Office of Contracts (MOC) makes such analysis prohibitively costly. First, the data about performance evaluations and the data about labor law violations reside in two different files, and the two files are not compatible with each other. Whereas the performance evaluations file contains contract numbers, the caution file does not. Second, there are often differences in the spelling of contractor names between the two files, a fact that means that merging the files would have to be done by hand rather than with the aid of a computer program. Yet there are more than 4,500 contracts with evaluations and more than 20,000 line entries in the labor law violations file (with many duplications). We discuss the issue of how the city manages the information about its contractors below, where we make suggestions of how to improve the Vendex system.

2. Demographic Profile of Construction Workers

When contractors violate labor laws they hurt, tax payers, workers, and workers' families. Many of the workers belong to minority groups and the level of their educational attainment is only moderate.

As their ages indicate (Table 2), construction workers support families. Seventy-five percent of construction trade workers are over 30.

Table 3: Age Breakdown of New York City's Construction Industry Workforce	
Age Cohort	Percent
18-30 Years	25.2
31-40 Years	35.2
41-50 Years	25.6
51+	14.1
Total	100.0

Note: Non-trade related occupations, e.g., support and administrative positions, were excluded from analysis.
 Source: Current Population Survey data pooled for three years: 2000/2002.

As Table 3 shows, the construction industry is well integrated racially. Fifty-five percent of workers are non-white.

Table 3: Racial/Ethnic Breakdown of New York City's Construction Industry Workforce	
Racial Cohort	Percent
White Non-Hispanic	44.4
Black Non-Hispanic	21.6
Hispanic (of any race)	25.5
Other	8.5
Total	100.0

Note: Non-trade related occupations, e.g., support and administrative positions, were excluded from analysis.
 Source: Current Population Survey data pooled for three years: 2000/2002.

While the level of traditional school-based education of construction workers is not high – fewer than 10 percent of construction workers have a college degree – those who complete apprenticeship programs in the skilled trades generally receive 3-5 years of on-the-job training and extensive classroom instruction.

Table 4: Educational Attainment in New York City's Construction Industry

<u>Education Level</u>	<u>Percent</u>
Less Than High School	28.3
High School	40.6
Some College (inc. vocational training)	22.6
College & Higher	8.4
Total	100.0

Note: Non-trade related occupations, e.g., support and administrative positions, were excluded from analysis.

Source: Current Population Survey data pooled for three years: 2000/2002.

There are currently 145,291 workers in the construction industry who live in New York City, according to the Current Population Survey.¹³ The number is lower if one uses establishment employment data, which show that there are 115,600 employees who work for New York City based firms.¹⁴ (Some differences between these two data series are to be expected. The Current Population Survey covers New York City residents; the establishment employment data covers construction employment in New York City. Another important difference is that the CPS includes self-employed; the establishment series does not.)

About 25 percent of all workers in the construction industry are in various non-trades occupations such as project managers, and other administrative and office personnel. The focus here is on workers in the construction trades. Table 5 below shows the occupational breakdown of workers in the construction trades. Carpenters, electricians, painters, brick and stone masons and plumbers are the most numerous among them.

¹³ Bureau of the Census, Current Population Survey, ORG data, 2002.

¹⁴ NYS Dept. of Labor, annual average, 2002.

**Table 5: Occupational Breakdown of New York City's
Construction Industry**

<u>Occupational Group</u>	<u>Percent</u>
Carpenters	28.8
Electricians	20.0
Painters, construction and maintenance	14.4
Brickmasons and stonemasons	9.4
Plumbers, pipefitters, and steamfitters	9.3
Roofers	3.4
Construction trades, n.e.c.	2.8
Insulation workers	2.4
Tile setters, hard and soft	1.7
Glaziers	1.5
Structural metal workers	1.5
Drywall installers	1.4
Plasterers	1.1
Concrete and terrazzo finishers	1.0
Paperhangers	0.7
Carpet installers	0.5
Total	100.0

Note: Non-trade related occupations, e.g., support and administrative positions, were excluded from this analysis.

Source: Current Population Survey data pooled for three years: 2000/2002.

3. Estimating the Number of Construction Workers Employed Under NYC Public Works Construction Contracts

The number of employees that contractors with public work contracts employ is not reported anywhere, and it must therefore be estimated. FPI used an input/output model, IMPLAN,¹⁵ to translate the dollar amount of contracts to number of workers employed. The city currently has \$3.5 billion worth of construction contracts of different durations underway. (Contracts issued by the School Construction Authority were excluded.) This

¹⁵ The IMPLAN model, originally developed for the Federal government, utilizes detailed data on national and local inter-industry economic transactions to model the interaction between the different sectors of the economy. The IMPLAN model shows an output of \$100,412 per employee in the construction industry in New York City. Using the Gross State Product series for the statewide construction industry prepared by the U.S. Bureau of Economic Analysis, BEA, yields an output per worker of \$79,309. Given that in New York City, construction of office buildings is more prevalent than in the rest of the state, the BEA figures validate the IMPLAN figures.

translates into roughly 11,700 workers.¹⁶ Thus, the size of the contractors-with-city-contracts-work-force is 8% of the size of the construction workforce that lives in the city. (Alternatively, the city-supported construction workforce translates into about 10% of all construction establishment employment in NYC.

4. High Productivity of Construction Workers and Large Economic Impact of NYC Public Works Contracts

Construction workers are productive, and this is why the prevailing wages in this industry are relatively high. According to the IMPLAN model, output per worker in this industry in NYC is more than \$100,400 per worker.

Expenditures in the construction industry have significant spill-over effects. According to the IMPLAN model each \$1 billion spent creates 9,959 jobs in New York City in the industry itself, 2,326 jobs in New York City in industries that supply the construction industry, and an additional 2,285 jobs in New York City in industries that cater to the increased demand for goods and services that is generated by the increase in income.

5. Limitations of the Vendex System

The Vendex system is a DOS-based system that is not available online and contains very little information.

Labor Law Violations: While the Vendex system does indicate whether a contractor has had violations, it does not contain any information regarding these violations. In the case of prevailing wage violations there is no indication of what the underpayment was, or how many workers were involved. Similarly, in the case of OSHA violations there is no indication of what the fines were, or why the citation was issued.

An examination of the Vendex report on one contractor, Volmar Construction, Inc. (attached), demonstrates how severe the problems with Vendex are. Volmar has been a repeat and serious violator of safety regulations, as its OSHA citations clearly show. Volmar had 4 serious violations in 1991, 10 serious violations and 4 repeat violations in 1992, 8 serious violations and 3 repeat violations in 1993, 1 serious violation in 1998, and 2 serious violations in 2002. The Vendex record of Volmar shows the existence of OSHA violations in only two years, and does not contain any information regarding the fact that these were multiple, serious and repeated violations. All Vendex says about the 8 serious violations and 3 repeat violations of 1993 is: "OSHA CITATION FINE UNDER INFORMAL SETTLEMENT." There is a similar cryptic statement regarding violations in 1995. There is no indication in Vendex that there were violations in 1991, 1992, 1998 or 2002.

¹⁶ After adjusting each contract's total cost to cost per year.

The lack of information about prevailing wage violations is equally problematic. In May of 1995, two employees brought prevailing wage complaints against a sub-contractor of Volmar, Horn Maintenance Corp., for work as laborers at Prospect Heights H.S. The complaints covered the period from May 1994 through January 1995. Horn subsequently received a willful violation in December 1995. This willful violation is not recorded in Vendex. In 1998, as a general contractor on an SCA job at Prospect Heights H.S., a non-willful violation was found of \$18,987.47 for five employees listed as asbestos handlers who worked for Volmar's sub-contractor Continental Env. Corp. The only information contained in Vendex is: "NON WILLFUL VIOLATION SETTLEMENT."

While a researcher may ask the Mayor's Office of Contracts for information regarding violations that do appear in Vendex, the response time is from 5 to 10 days, and the data is not provided electronically. Information about each contractor costs \$25.

Performance Evaluation: Vendex suffers from the same shortcomings regarding the information it contains about the quality of work done. A cost overrun gets a simple entry of "yes" without any indication of the sum involved and what percentage the overrun is of the initial estimate. A delay is treated in the same way, without indication of how long it was. The same applies to quality of work. To be useful, Vendex must include all this information and a narrative evaluation of the contractor's performance.

The lack of enforcement and performance information is an even greater problem. A report by the Mayor Office of Contracts, "Agency Procurement Indicators," for Fiscal 2002, attached, shows that the Department of Corrections performed only 15% of the evaluations that it was required to perform. The numbers for the Departments of Buildings and Sanitation were 36% and 51% respectively.

One additional problem diminishes greatly the value of the Vendex system: The same contractors appears in the system with many different names. This problem can be easily solved by including a taxpayer id number.

To be useful, the Vendex system should include:

A taxpayers ID Number

The same contractor appears in the system under different names. Including the ID number will permit the consolidation of information about each contractors

Prevailing Wage Violations: What was the prevailing wage, what was the wage paid, how many employees were underpaid, whether the violation was willful or not, and the basis for this determination. Fines and interest should also be recorded.

OSHA Violations: Severity of violations, whether repeated, whether willful, amount of settlement, accidents.

Tax Liens: All debt for workers' comp payments or tax delinquencies should be entered on the system.

Job Performance: The record should provide an evaluation of performance on past contracts. The evaluation should include dollar amounts of cost overruns, length of time for delays, and a narrative rating of the quality of the work.

6. Prevailing Wage Enforcement

Under State Labor Law, the City Comptroller is charged with enforcing prevailing wage compliance for all New York City contracts. However, the Comptroller's office only conducts investigations on a complaint basis. Analysis of data provided by the City Comptroller office shows that, for complaint cases, the losses to employees and the gains to contractors from prevailing wage violations are substantial. The Comptroller does not make available data on the precise nature of prevailing wage violations: What the prevailing wage was, how much workers were paid, and how many workers were involved.¹⁷ Nevertheless, the Comptroller provides some aggregated data, and these data reveal that several employees were underpaid by city contractors as much as \$17,500. Restitutions by contractors amounted in one case to more than \$400,000. In fiscal year 2002 the City Comptroller assessed underpayments of \$3,064,997 and in 2001 the assessment was of \$3,556,935. The office resolved 150 cases in 2002. It must be borne in mind that the Comptroller investigates only when there are complaints. The Comptroller does not initiate random investigations.

7. Need for Public Scrutiny

Because the Comptroller does not conduct random checks, and because workers may be fearful to complain or may not know their rights, public scrutiny is necessary to assure compliance with the prevailing wage law. Such scrutiny cannot occur without easy-to-assemble information.

Although the frequency of prevailing wage violations cannot be determined with accuracy, it appears that it may be pervasive. Our procedure for estimating the frequency of violations in the case of one occupation, carpenters (the largest occupation in the construction trades) is as follows. The prevailing wage for carpenters in 2002 ranged from \$33.48/hour (for heavy construction) to \$35.09 (commercial buildings). In 2002 there were 27,088 carpenters living in the city and of these, 1,508 earned more than \$33/hour.¹⁸

¹⁷ Unfortunately, the data provided by the Wage and Hours Division of the U.S. Dept. of Labor regarding violations of the Federal prevailing wage law (Davis-Bacon) are not any better.

¹⁸ Source: CPS.

It is not known how many of the carpenters who earned the higher sums worked for contractors-with-city-contracts. But we estimate that contractors-with-city-contracts employed 2,176 carpenters¹⁹. If we assumed all of the workers reporting the prevailing wage rate or higher worked on city public works contracts, AND that not a single union carpenter working on a commercial office building project in NYC was paid the hourly union scale, the number of workers earning the prevailing wage would still fall short of the estimated number of carpenters employed under city contract.

There is of course no substitute for random checks to ascertain how frequently the prevailing wage law is violated and to enforce the law. Our rough estimate shows how important these checks are.

Public scrutiny of the enforcement of labor laws is also necessary because too often contractors who have a record of repeat violations continue to get city contracts. According to a City Council staff report, the contractor Rapid Demolition was awarded a \$4.3 million Department of sanitation contract in 1999 even though at the time Rapid already had a history of unsafe demolition practices, and its Site Superintendent, Philip Schawab, had been convicted for bribing a U.S. Environmental Protection Agency compliance office, and had been convicted and incarcerated for failure to collect and pay payroll taxes.²⁰

Volmar Construction was awarded a new \$4 million DEP contract in December 2000 in spite of its long history of violations (listed above) and the fact that in September of 2000 it was suspended from bidding on or receiving any further work by the School Construction Authority.

Conclusion: The Need for Transparency and Prequalification in Contracting

A government is only as good as the vigilance of those it serves. In order for tax payers to be able to monitor their government they must have readily available and pertinent information and the time to process it. A revamped Vendex system that provides easy access will improve the transparency of the contracting process. An open prequalification process will give interested members of the public the opportunity to flag unworthy contractors before they are awarded contracts. The result would be savings to taxpayers and decent working conditions for workers.

¹⁹ The share of carpenters among all construction workers in the city is 18.6%.

²⁰ New York City Council Investigation Division, Broken: A Case Study of New York City Contracting Gone Bad. New York City Contracts – Rapid Demolition. April 2003.



NELP

NATIONAL EMPLOYMENT
LAW CENTER

THE ROAD TO RESPONSIBLE CONTRACTING

Lessons from States and Cities for Ensuring
That Federal Contracting Delivers Good Jobs
and Quality Services

About NELP

For forty years, the National Employment Law Project (NELP) has worked to restore the promise of economic opportunity for working families across America. In partnership with grassroots and national allies, NELP promotes policies to create good jobs, enforce hard-won workplace rights, and help unemployed workers regain their economic footing.

To learn more about NELP, please visit our website at www.nelp.org.

About the Authors

Paul K. Sonn is legal co-director of NELP. Previously, Paul co-directed the Economic Justice Project at New York University's Brennan Center for Justice, which merged with NELP in 2008. For fifteen years, he has worked on policies for promoting good jobs. He is a graduate of Yale Law School.

Tsedeye Gebreselassie is a staff attorney at NELP. She works on research and advocacy around policies for promoting good jobs. She graduated magna cum laude from New York University School of Law, and received her undergraduate degree from Brown University.

Acknowledgements

The authors would like to thank Meghana Reddy, Rachel Deutsch and Rachel Osterman for their invaluable research assistance; Phillis Payne for her expert advice and feedback; and the many public officials who gave generously of their time to share their experiences with state and local contracting policies. This report was made possible by the generous support of the Annie E. Casey Foundation, the Arca Foundation, the Ford Foundation, the Panta Rhea Foundation, the Public Welfare Foundation, and the Solidago Foundation. The views expressed in this report are solely those of the authors.

© June 2009. This report is covered by the Creative Commons "Attribution- NonCommerical- No-Derivs" license (see <http://creativecommons.org/licenses>). It may be reproduced in its entirety provided that the National Employment Law Project is credited, a link to NELP's website is provided, and no fee is charged. We would be grateful if you would notify NELP if you reproduce the report. For inquiries about reproducing the report in partial or altered form, or for charging a fee, please contact NELP.

Design by Hazan + Company
Cover photo © Suzanne Tucker



National Office:
75 Maiden Lane, Suite 601
New York, NY 10038
Phone 212 285 3025
Fax 212 285 3044

Washington Office:
1333 H Street, N.W., Suite 300, East Tower
Washington, DC 20005
Phone 202 533 2585
Fax 202 775 0819

The Road to Responsible Contracting: Lessons from States and Cities for Ensuring That Federal Contracting Delivers Good Jobs and Quality Services

By Paul K. Sonn and Tsedeye Gebreselassie

Executive Summary

Background

Federal Contracting Is Creating Millions of Substandard Jobs

Wages Are Low, Benefits Are Minimal and Violations Are Common
in Much of the Federally Contracted Workforce

Federal Contractors Providing Substandard Jobs Impose Significant Public Costs
on Taxpayers and Undermine the Quality of Services Received by Government Agencies

The Federal Contracting System Does Not Do Enough to Promote
Responsible Contractors That Offer the Best Value for the Government

The Federal Contracting System Is Intended to Promote Purchasing from
Responsible Contractors That Offer the Best Value for the Government,
But It Does Not Do So in Practice

Existing Labor Standards Are Not Enough

Past Initiatives to Promote Responsible Contracting Were Halted
by the Bush Administration

Lessons from the States and Cities: Responsible Contracting Reforms Deliver Good Jobs and Quality Services

Responsibility Standards and Review

Living Wages

Health Benefits

Paid Sick Days

Proper Employee Classification

Conclusion and Recommendations

Executive Summary

Contracting by federal government agencies to purchase goods and services totals more than \$500 billion annually and finances millions of jobs across our economy. Following years of concern about unaccountable federal contractors wasting taxpayer dollars, President Barack Obama has launched a badly needed initiative to modernize the federal procurement system. But as the federal government works to improve oversight and performance by federal contractors, an equally pressing problem needs attention as well: the fact that federal contracting is financing millions of poverty wage jobs across our economy, and supporting employers that are significant or repeat violators of workplace, tax and other laws.

These employment practices—in addition to hurting families and communities—undermine the quality of services that government agencies receive, and impose substantial costs on the taxpayers as contractors' employees turn to publicly funded safety net programs for support. Despite longstanding requirements that federal agencies contract only with "responsible" vendors, and growing awareness of the consequences of failing to do so, the past administration put the brakes on efforts to address this problem.

The Obama Administration's contracting reform initiative provides an important opportunity to reverse the role that federal procurement is playing in creating bad jobs, and use it instead to address one of the most pressing needs facing the nation: rebuilding a base of middle-class jobs across our economy.

The experiences of cities and states over the past decade with a range of "responsible contracting" policies offer a roadmap for how the administration can ensure that federal contracting promotes the creation of good jobs by prioritizing businesses that engage in responsible employment practices. This report surveys responsible contracting policies developed and tested by states and cities across the country, and recommends the following key reforms in the federal contracting system:

1. Institute **more rigorous responsibility screening** of prospective bidders to ensure that federal contracts are not awarded to employers that are **significant or repeat violators of workplace, tax or other laws**.
2. Establish a **preference for employers that provide good jobs** in the contractor selection process, prioritizing firms that provide **living wages, health benefits and paid sick days**.
3. Quickly bring on-line, expand and improve the newly authorized **national contractor misconduct database** mandated by the 2008 National Defense Authorization Act.
4. **Strengthen monitoring and enforcement** of contractors' compliance with existing and new workplace standards.

By incorporating these approaches into the federal contracting system, the government can ensure that contracting delivers the best value for the taxpayers by rewarding employers that invest in their workforces with quality jobs.

Background

Federal Contracting Is Creating Millions of Substandard Jobs

Wages Are Low, Benefits Are Minimal and Violations Are Common in Much of the Federally Contracted Workforce

The federally contracted workforce is large and has been growing rapidly. But while federal agency purchasing has become a key source of employment in communities across the country, the federally contracted workforce includes millions of substandard jobs with employers that pay poverty wages, provide meager benefits and violate workplace, tax and other laws.

The scale of federal contracting more than doubled during the Bush Administration, fueled both by the Iraq War and political opposition to growth in the federal workforce. That opposition often led to use of contractors for functions that could more accountably and efficiently be performed by federal employees. The government should therefore reevaluate the scale of past outsourcing and bring back "in house" many functions that today are performed by federal contractors.

By all indications, a substantial and increasing number of jobs with federal contractors are substandard, paying low wages and providing limited benefits.

However, even once a more appropriate balance between federal employment and outsourcing is restored, the federally contracted workforce will undoubtedly remain large. Federal contracting for goods and services today totals more than \$500 billion.¹ Because the government does not collect

data on federal contract workers, estimates of the number of workers employed by federal contractors vary widely. The Economic Policy Institute (EPI) has conservatively estimated that between 2000 and 2006, the number of federal contract workers increased from 1.4 million to 2 million, representing 43 percent of all employees who do work for the government.²

By all indications, a substantial and increasing number of jobs with federal contractors are substandard, paying low wages and providing limited benefits. According to the EPI analysis, nearly 20 percent of all federal contract workers in 2006 earned less than the federal poverty level of \$9.91 an hour. And fully 40 percent earned less than a living wage.³ Moreover, many of these workers do not receive employer-provided health benefits.⁴

Contributing to this problem is the fact that federal contracting in low-wage industries has grown significantly over the past eight years. For example, the Center for American Progress found that spending on federal contracts in four major low-wage industries—utilities and housekeeping, property maintenance and repair, clothing and apparel, and food preparation—nearly doubled between 2000 and 2007.⁵

Similarly, because the federal contracting system does not provide for rigorous responsibility screening of potential contractors, federal agencies continue to award contracts to firms that are significant or repeat violators of workplace, tax and other laws. As documented by the Center for American Progress, during the Bush Administration, firms that had repeated

violations of labor, employment and tax laws, and that had overbilled taxpayers for their work, were awarded new federal contracts despite long histories of noncompliance.⁶

Federal Contractors Providing Substandard Jobs Impose Significant Public Costs on Taxpayers and Undermine the Quality of Services Received by Government Agencies

Federal contractors providing poverty wages and limited benefits impose significant costs on taxpayers because their employees must rely on public safety net programs to make ends meet. Conversely, studies of government contracting show that employers that pay good wages and comply with workplace, tax and other laws frequently offer quality and reliability advantages over those that do not. But the contract pricing and evaluation process used by federal agencies currently ignores these costs and benefits, thus distorting the selection process.

Recent studies have documented the heavy burden on public safety net programs—and resulting costs for the taxpayers—caused by workers whose employers pay low wages and do not provide health care and other benefits. These studies measure the direct cost to taxpayers in Earned Income Tax Credit payments, health benefits under the Medicaid program, and other benefits and income supports when workers are paid poverty wages and do not receive employer-provided health benefits.

Recent studies have documented the heavy burden on public safety net programs—and resulting costs for the taxpayers—caused by workers whose employers pay low wages and do not provide health care and other benefits.

For example, an analysis by the University of California found that \$10.1 billion of the \$21.2 billion that federal and state taxpayers spent in 2002 on public assistance programs in California went to families of low-wage workers.⁷ The \$10.1 billion included \$3.6 billion in Medicaid costs and \$2.7 billion for the Earned Income Tax Credit. The \$10.1 billion cost would have been reduced to \$3.2 billion if employees in those families had earned a wage of at least \$14.00 an hour and had received employer-provided health benefits.⁸ Similar analyses have demonstrated corresponding public costs attributable to low-wage employers in New York, Wisconsin and Illinois.⁹

The bulk of the costs to the taxpayers identified in these analyses are paid by the federal government through the Medicaid program and the federal Earned Income Tax Credit.¹⁰ These hidden public costs to the federal government partially offset the savings that low-wage contractors may appear to offer federal agencies. However, the contract pricing and evaluation systems currently used by federal agencies do not take into account these indirect costs.

Furthermore, a growing body of research demonstrates that in many industries, contractors that provide good wages and benefits and respect workplace laws deliver higher quality services for government agencies and the taxpayers. For example, as discussed in greater detail below, studies of local living wage policies have found that better paid workforces typically enjoy decreased employee turnover (with corresponding savings in re-staffing costs), increased productivity, and improvements in the quality and reliability of the services that they provide.¹¹ In a leading case study, the San Francisco airport saw annual turnover for security screeners plummet from 94.7 percent to 18.7 percent after it instituted a living wage policy. As a result,

In a leading case study, the San Francisco airport saw annual turnover for security screeners plummet from 94.7 percent to 18.7 percent after it instituted a living wage policy. As a result, employers saved about \$4,275 per employee in turnover costs and reported improvements in employee performance, employee morale, and customer service.

employers saved about \$4,275 per employee in turnover costs and reported improvements in employee performance, employee morale and customer service.¹²

In construction contracting in particular, research has indicated that high road contractors that comply with workplace laws and provide quality training, wages and benefits typically have better skilled and more productive workforces that increase the quality of public construction work, with resulting savings for the taxpayers. As early as the 1980's, an audit by the U.S. Department of Housing and Urban Development

(HUD) of seventeen HUD sites found a "direct correlation between labor law violations and poor quality construction" on HUD projects, and found that the quality defects on these sites contributed to excessive maintenance costs. The HUD Inspector General concluded that "[T]his systematic cheating costs the public treasury hundreds of millions of dollars, reducing workers' earnings, and driving the honest contractor out of business or underground."¹³

More recently, a survey of New York City construction contractors by New York's Fiscal Policy Institute found that contractors with workplace law violations were more than five times as likely to have a low performance rating than contractors with no workplace law violations.¹⁴

Other studies have found that construction workers who receive higher wages and quality

[A]n audit by the U.S. Department of Housing and Urban Development (HUD) of seventeen HUD sites found a "direct correlation between labor law violations and poor quality construction" on HUD projects, and found that the quality defects on these sites contributed to excessive maintenance costs.

training are at least 20 percent more productive than less skilled and lower paid workers.¹⁵ Conversely, a study examining the impact of repealing prevailing wage laws in nine states found that the resulting drop in construction worker wages correlated with significant increases in cost overruns and delays on construction projects, and led to a workforce that was less skilled and less productive.¹⁶

Yet despite the recognized quality advantages and offsetting savings generated by better paid

workforces, the federal contracting system does not currently provide any systematic way to factor them in during the contract pricing and evaluation process. As a result, they remain largely ignored, skewing the selection process towards low road contractors.

The Federal Contracting System Does Not Do Enough to Promote Responsible Contractors That Offer the Best Value for the Government

The Federal Contracting System Is Intended to Promote Purchasing from Responsible Contractors That Offer the Best Value for the Government, But It Does Not Do So in Practice

The federal contracting system currently does little to factor into the contractor selection process the advantages for taxpayers and workers alike of employers that provide good jobs. However, authority to do so already exists under the federal procurement statutes, which in fact are intended to promote purchasing from responsible contractors that offer the best value for the government.

Federal contracting statutes and the Federal Acquisition Regulation (FAR) require that the government do business with “responsible” contractors.¹⁷ Only employers with “a satisfactory record of integrity and business ethics” (among other things)—a standard that should encompass an employer’s record of compliance with workplace, tax and other laws—may be deemed “responsible.”¹⁸ Contracting agencies have broad authority to take into account a range of other factors in defining responsibility.¹⁹ And for some categories of contracts, federal agencies are already authorized to use “prequalification”—a key responsible contracting approach that, as discussed below, allows agencies to limit competition to a list of approved bidders that have shown they meet certain basic eligibility criteria.²⁰

In practice, however, the government does a poor job of ensuring that it does business only with responsible firms. The government has never systematically collected information about prospective contractors’ compliance with workplace, tax and other laws. Only very general information about the firms that are awarded government contracts is available to the public and there has been no central government database with federal contractor responsibility information. Moreover, as the U.S. Government Accountability Office (GAO) found in 2005, federal agencies do not even have access to accurate listings of previously debarred or suspended contractors in order to ensure that they do not award new contracts to such firms.²¹ As a result, the government continues to award billions of dollars in contracts to firms with histories of fraud, workplace violations and criminal misconduct.²² A 2009 GAO study reported little improvement, finding that businesses that had been suspended or debarred for “egregious offenses ranging from national security violations to tax fraud [continued to] improperly receiv[e] federal contracts.”²³

Federal contracting statutes and the Federal Acquisition Regulation (FAR) require that the government do business with “responsible” contractors.

The National Defense Authorization Act of 2008, which mandates the creation of a federal contractor responsibility database by late 2009, represents an important first step toward addressing this problem.²⁴ The new database will require all contractors awarded federal contracts or grants over \$500,000 to disclose a wide range of past violations—including criminal convictions and findings of liability, as well as past suspensions, debarments, and non-responsibility determinations.²⁵

However, this new database will need significant improvements in order to provide federal agencies with all of the information they will need to institute more rigorous contractor responsibility review. First, the database should be expanded to include all violations of federal statutes, especially those relating to the workplace, and to include pending litigation and settlements. Second, the database should be made available to the public, so that taxpayers and stakeholders can scrutinize the compliance histories of firms receiving taxpayer funds and submit information about violations that contractors have erroneously failed to disclose. Third, the database should include information on the performance of contractors on federally-assisted state and local contracts, which the authorizing legislation instructs the government to do "to the maximum extent practicable."²⁶ As the government taskforce that recommended the creation of the database noted in calling for state and local procurement data to be included, contractor fraud, law-breaking and non-responsibility are of equal concern for state and local governments, as "[m]obility permits fraudulent contractors and service providers to move between levels of government and across jurisdictions with little fear of detection."²⁷

Beyond more effective responsibility screening, under the federal procurement system contractor selections are supposed to be based on an evaluation of which contractor would offer the "best value" for the government and the taxpayers.²⁸ Under this approach, agencies are instructed to balance bid price with other relevant cost and non-cost factors including business history, staff reliability and expertise, and cost considerations that may not be reflected in the bid.²⁹ In fact, a 1994 presidential executive order directs agencies to "place more emphasis on past contractor performance, and promote best value rather than simply low cost in selecting sources for supplies and services."³⁰

As part of their best value assessment, agencies may consider quality and reliability factors, such as a bidder's history of complying with workplace laws, or whether it provides wages and benefits sufficient to attract and retain a stable, qualified workforce. And agencies may similarly take into account the indirect and hidden costs that result from low wages when they assess best value.

Some agencies have begun to do this—for example, by including prospective contractors' compliance with workplace and safety standards as evaluation factors³¹ or by recognizing that the provision of fringe benefits generally improves staff retention.³² However, such considerations have not been broadly or systematically included by agencies in the evaluation process. Nor have agencies established systems to facilitate efficient gathering and evaluation of such information by procurement staff. As a result, many agencies' contracting decisions are still made chiefly based on price. And especially in labor intensive, low-wage industries, low price correlates closely with low wages and benefits.

Because the federal contracting process is meant to prioritize purchasing from responsible vendors that offer best value for the government and taxpayers, adopting new safeguards to promote these goals more effectively—especially for contracting in low-wage industries—does not require new statutory authority.

Existing Labor Standards Are Not Enough

While existing federal contracting rules include important labor standards, by themselves they are not enough to ensure that the advantages offered by contractors that provide quality jobs

are factored into the contractor selection process. The current system should be supplemented with responsible contracting reforms to ensure that high road employers receive priority in the federal contracting process.

The Davis-Bacon Act requires payment of prevailing wages and benefits to employees performing construction-related work on federally funded projects.³³ The Service Contract Act requires the same for federally contracted service workers such as janitors, security guards and cafeteria workers.³⁴ The purpose of these prevailing wage laws is to ensure that federally financed purchasing does not drive down wages and benefits in the private sector.³⁵ Accordingly, these laws require contractors on federally funded projects to provide wages and benefits that mirror those paid by other employers in their locality and industry, as determined by U.S. Department of Labor (DOL) wage surveys. As a result, the wages and benefits guaranteed under these prevailing wage laws vary widely. In industries that are largely low-wage and in regions of the country where there is little union presence, the prevailing wage can be barely above the minimum wage—for example, \$6.55 an hour for a laborer or carpenter in Orlando, Florida, or \$8.96 an hour for a laundry worker in Dallas, Texas.³⁶

Reforming DOL's methodology for determining construction industry prevailing wages—which was weakened substantially by the Reagan Administration in the early 1980's—can help ensure more adequate wages on federally funded construction projects.

Reforming DOL's methodology for determining construction industry prevailing wages—which was weakened substantially by the Reagan Administration in the early 1980's—can help ensure more adequate wages on federally funded construction projects. But even with such improvements, the prevailing wage laws are just one tool for promoting responsible employment practices on federally funded projects. Because prevailing wages mirror local industry standards, they will never consistently guarantee living wages and adequate benefits in all regions and occupations. Moreover, they do not address contractors' records of violating workplace, tax and other laws. They should therefore be supplemented with responsible contracting reforms to ensure that federal spending creates good jobs for communities and provides quality services for the taxpayers.

Past Initiatives to Promote Responsible Contracting Were Halted by the Bush Administration

The federal contracting system's failure to promote purchasing from responsible contractors has been recognized for many years. During the Clinton Administration, the Federal Acquisition Regulation Council explored options for more effectively promoting responsible employers in the federal contracting process. Regulations to begin that process by requiring more rigorous responsibility review were published in December 2000.³⁷ However, the Bush Administration halted those reforms when it took office in 2001, and took no action in the following years to address the problem. This retreat from reform together with the unprecedented growth in federal contracting during the Bush years has exacerbated the extent to which federal spending today supports low road employers that deliver poor value for the taxpayers and substandard jobs for their workforces.

Lessons from the States and Cities:

Responsible Contracting Reforms Deliver Good Jobs and Quality Services

As the Obama Administration undertakes reform of the federal contracting process to improve accountability and results, the experiences of states and cities with responsible contracting policies offer key lessons. Over the past decade or more, state and local governments have developed a range of new responsible contracting policies to promote public purchasing from

Over the past decade or more, state and local governments have developed a range of new responsible contracting policies to promote public purchasing from employers that create quality jobs, minimize hidden public costs, and deliver more reliable services to the taxpayers.

employers that create quality jobs, minimize hidden public costs, and deliver more reliable services to the taxpayers. These successful experiences point the way for federal reform.

This section highlights some of the key responsible contracting strategies that cities and states are finding effective in reorienting their public contracting programs to promote high road employment practices and deliver better services for the taxpayers.

1. Responsibility Standards and Review

The most basic contracting reform that has been instituted by states and cities has been more rigorous responsibility review of prospective contractors to ensure that public contracts are not awarded to employers with records of significant or repeated violations of workplace, tax and other laws. Like the federal system, most state and local public contracting laws instruct government agencies to purchase only from responsible contractors. But until recently, most public bodies did not have systems for ensuring thorough review, nor did they examine in particular potential contractors' records of compliance with workplace, tax and other laws. The cities and states that have adopted more rigorous systems of responsibility review have found that they offer key advantages for the government, workers and contractors alike.

The move towards more rigorous responsibility screening has reflected a growing recognition that employers with poor compliance records are generally bad business risks that provide unreliable services and present hazards for both workers and taxpayers. Illustrative was the picture revealed by an investigation into the construction program of Florida's Miami-Dade County Public School District. Seventy-seven recently built schools in the county were found to have water leaks, and nearly forty had developed mold and mildew. In at least fourteen cases, county engineers determined that shoddy construction was directly at fault.³⁸ The district also had to pay more than \$7.8 million to finish abandoned projects even after contractors had been paid in full.³⁹ An audit found that a key practice contributing to these results was the district's failure to adequately evaluate contractors before they were retained, giving "more than \$228 million in repeat business to at least twenty-one contractors who had delayed jobs, turned in bad work, or failed to finish projects."⁴⁰

Key State and Local Responsible Contracting Strategies

Strategy	Impact	Benefits	Outcomes
Responsible Sourcing and Issues	<p>Screen out, penalize vendors of work that has and will have significant:</p> <ul style="list-style-type: none"> • Labor restrictions, or slow the bid step in the bid-award process, where appropriate through a "prequalification" phase • Use a standardized responsibility questionnaire and qualifications system • Exclude vendors of firms needing to bid or provide in order to allow the public to bid or award a contract 	<p>Higher quality and more reliable services</p> <p>Reduced contractor errors related to contractor's background checks and cost estimates</p> <p>Reduced regulatory, compliance and financial costs</p> <p>Stronger incentives for responsible</p>	<p>Better bids</p>
Living Wages	<p>Favor contractors that pay living wages</p>	<p>Reduced staff turnover and recruitment costs</p> <p>Higher quality and more reliable services</p> <p>A means of factoring the public costs of low wages into contractor selection</p>	<p>Better wages</p>
Health Benefits	<p>Favor contractors that provide quality, affordable health benefits</p>	<p>Reduced staff turnover and recruitment costs</p> <p>Higher quality and more reliable services</p> <p>A means of factoring the public costs of uninsured workers into contractor selection</p>	<p>Quality, affordable health benefits</p>
Paid Sick Days	<p>Favor contractors that provide paid sick days</p>	<p>Reduced staff turnover and recruitment costs</p> <p>Higher quality and more reliable services</p> <p>Savings from reduced workplace illness</p>	<p>Paid sick days</p> <p>Reduced risk of workplace illness</p>
Public Employment Insurance	<p>Contractors that do not have and do not provide workers' compensation and unemployment insurance</p>	<p>Levelled playing field for all contractors</p> <p>Improved tax compliance resulting in increased state and federal revenue</p> <p>Savings from reducing the ranks of the uninsured</p>	<p>Workers' compensation and unemployment insurance coverage for injured and unemployed workers</p>

Similar experiences can be found in jurisdictions across the country. As noted earlier, a past HUD audit found a direct correlation between workplace law violations and poor quality construction. And a survey in New York City found that contractors with workplace law violations were more than five times as likely to have a low performance rating than contractors with clean records of workplace law compliance.⁴¹

In response to these problems, state and local agencies have adopted more rigorous systems for assessing contractor responsibility and screening out firms with poor compliance records. The key components of these reforms have included:

- Making responsibility review the first step in the bidder evaluation process, not the last, often by establishing a preliminary “prequalification” phase
- Using a model questionnaire and quantified point system for weighing responsibility factors
- Requiring disclosure of firms seeking to bid or prequalify to bid, in order to allow the public to provide information relevant to their record of responsibility

In the past, many public agencies conducted responsibility reviews only as the last step in the contractor selection process after proposals had been submitted and evaluated and a presumptive finalist had been chosen. Conducting the review at the end is widely recognized as discouraging rigorous scrutiny. Often by that point the agency has decided that the finalist firm is the best candidate and accordingly is reluctant to deem it ineligible. Moreover, the finalist firm will frequently have invested substantial resources in preparing its bid, making it more likely to contest or litigate a finding that it is not responsible. These factors and the reality that a finding of non-responsibility at the end of the process can result in substantial delay all serve to discourage rigorous review.

Making the responsibility evaluation the first step in the process, rather than the last, removes these disincentives to thorough screening. The most common approach that states and cities have used to do this has been establishing a preliminary “prequalification” phase through which firms apply for eligibility to bid on contracts with a public agency. During prequalification, firms are evaluated to determine whether they meet the agency’s responsibility standards so that they may be placed on its approved bidders list. Typically, the names of firms applying for prequalification are published in order to allow the public the opportunity to provide relevant information for consideration during the prequalification process.

Responsibility review is generally based on a variety of factors—including the company’s record of legal compliance, financial stability, experience and references—that are weighed together in order to evaluate the candidate firm. The best responsible contracting systems use model questionnaires and publicly announced weighting formulas, developed with input from all relevant stakeholders, to put prospective bidders on notice of the process and provide a fair means of evaluating individual firms’ information.

One of the first states to adopt this type of responsible contracting reform was **California**, which in 1999 began promoting improved responsibility review and prequalification for public works projects contracted by state agencies.⁴² The California Department of Industrial Relations (DIR) has developed a model questionnaire that is used by many of the state’s agencies. The questionnaire inquires into applicant firms’ violations of laws and regulations,

history of suspensions and debarments, past contract performance, financial history and capitalization.⁴³ Although questionnaire responses and financial statements submitted by contractors are not open to public inspection, the names of contractors applying for prequalification are public records, allowing the public to supplement the process by providing relevant information that applicants may have failed to volunteer.

In addition to the questionnaire, California agencies electing to use prequalification are instructed to use a uniform and objective system for rating bidders, typically based on a composite numerical score derived from the candidate's answers on the questionnaire and its financial disclosure statements. The DIR provides agencies with a model scoring system, which evaluates potential bidders on a point system and recommends a "passing score."⁴⁴ For example, a passing score on a bidder's "compliance with occupational safety and health laws, workers' compensation and other labor legislation" is 38 points, out of a possible maximum score of 53 points. Participation in a state-approved apprenticeship program yields five points, while bidders that do not maintain apprenticeship programs receive zero points. A bidder with four or more Davis-Bacon violations receives zero points, one with three violations receives three points, and one with two or fewer violations receives five points.⁴⁵ Thus, the better a bidder's history of workplace law compliance, the better its prequalification score.

Enhanced contractor responsibility review using a quantified point system and prequalification has become an increasingly common best practice in recent years. In 2004, **Massachusetts** adopted a similar system (mandatory for public works projects over \$10 million, optional for those between \$100,000 and \$10 million) that requires firms to achieve a threshold prequalification score before they are eligible to bid on public works projects.⁴⁶ Points are allocated based upon an evaluation of the following prequalification criteria: management experience (50 points); references (30 points); and capacity to complete (20 points).⁴⁷ Management experience includes consideration of the firm's safety record, past legal proceedings, including compliance with workplace, tax and other laws, past terminations, and compliance with equal employment opportunity goals. To prequalify, contractors must satisfy certain mandatory requirements, and then receive a score of at least half of the available points in each category, and of at least 70 points overall.⁴⁸

Connecticut also adopted improved responsibility review and a prequalification system in 2004 for bidders on public works projects larger than \$500,000.⁴⁹ It evaluates prospective bidders based on their integrity, work history, experience, financial condition, and record of legal compliance.⁵⁰ The **Illinois** Department of Transportation uses a similar system to evaluate prospective bidders' capacity to perform public contracts based on a range of factors that includes past compliance with labor and equal employment opportunity laws.⁵¹ And the **Ohio** School Facilities Commission has adopted model responsibility criteria that local school boards are encouraged to use for school construction contracting. The policy includes required certifications by contractors that they meet certain minimum workplace standards and have not been penalized or debarred for minimum wage or prevailing wage law violations.⁵²

The same approach has increasingly been used at the municipal level. The city of **Oregon, Ohio**, for example, requires potential bidders to disclose past legal violations or litigation, especially concerning workplace laws, as part of prequalifying to bid on municipal public works projects.⁵³

Los Angeles adopted a comprehensive "responsible contractor policy" in 2000. Like the state policies discussed, it directs city agencies to review potential bidders' history of labor,

"[Front end responsibility screening] is more effective and more beneficial to the public than a reactionary system. When you get a bad contractor on the back end, they've already done the damage, and then it's a costly process of kicking them out. On the other hand, if you have a very strong prequalification system that can be vigorously enforced and a uniform system of rating bidders that is published—so everyone knows where they stand before they compete—then you get a level playing field and a pool of good contractors."

—Russell Strazzella, City of Los Angeles

employment, environmental and workplace safety violations,⁵⁴ and uses a detailed questionnaire asking bidders to disclose and explain past and pending litigation, past contract suspensions, and outstanding judgments.⁵⁵ Full transparency is a key feature of the Los Angeles policy, which makes bidders' responses to the questionnaire subject to public review.⁵⁶ This allows the public to assist the agency in its review process by providing relevant information that the applicants may not have volunteered. A catalog of responsible contractor and prequalification laws from across the nation is available from the National Alliance for Fair Contracting.⁵⁷

As Russell Strazzella, a chief construction inspector for the Los Angeles Bureau of Contract Administration explained, "[front end responsibility screening] is more effective and more beneficial to the public than a reactionary system. When you

get a bad contractor on the back end, they've already done the damage, and then it's a costly process of kicking them out. On the other hand, if you have a very strong prequalification system that can be vigorously enforced and a uniform system of rating bidders that is published—so everyone knows where they stand before they compete—then you get a level playing field and a pool of good contractors."⁵⁸

As a result of these reforms, the combination of improved responsibility screening and prequalification have come to be viewed in the public contracting field as a best practice and a key management strategy. As Daniel McMillan and Erich Luschei wrote recently in the *Construction Lawyer*, "Public owners in numerous states now view prequalification as a useful, if not essential, element to ensure successful completion of construction projects.

"Public owners in numerous states now view prequalification as a useful, if not essential, element to ensure successful completion of construction projects."

—Daniel McMillan and Erich Luschei,
The Construction Lawyer

Public officials today often point to newly adopted prequalification programs to assure the public that problems encountered on prior projects will not be repeated, including problems of poor workmanship, delays, and cost overruns."⁵⁹

In fact, many contractors prefer prequalification, and procurement professionals have found that it can improve competition by encouraging more qualified

bidders to submit proposals. According to Carol Isen, Director of Labor Relations for the San Francisco Public Utilities Commission's Infrastructure Division, enacting a prequalification requirement for that agency was partly a response to concerns voiced by the construction industry. "In order to encourage bidders possessing the requisite experience to spend the resources necessary to prepare bids for a large public works construction project," she explained, "it is paramount to eliminate the prospect of low bids from contractors whose qualifications to perform the work have not been examined by the owner."⁶⁰

Recommendation for Federal Reform:

To ensure that the government does not contract with significant or repeat violators of workplace, tax and other key laws, the federal contracting system should **incorporate more rigorous responsibility review at the front end of the selection process and should encourage expanded use of prequalification where appropriate.**

2. Living Wages

Another major focus of local and state responsible contracting policies has been promoting public purchasing from firms that pay their employees a living wage. The recognition driving these policies is that high road employers that pay living wages not only create the types of good jobs that communities need, but also have more stable workforces that deliver better services for the taxpayers and minimize the hidden public costs of low wages. Studies of the effects of local living wage policies have confirmed these results, finding that higher wages have led to decreased employee turnover and increased productivity, improving the quality and reliability of contracted services.⁶¹

“Before the passage of the living wage law, we effectively had a policy of subsidizing low road employers. This distorted the state’s contracting and budgeting processes. Now under the living wage system, contract bids and prices more accurately reflect the true price to taxpayers of the services being purchased.”

—Maryland Delegate Tom Hucker

More than **140 cities** and one state, **Maryland**, have adopted living wage laws for their contracting programs over the past fifteen years.⁶² They generally mandate a wage floor above the state or federal minimum wage for businesses that receive contracts—and in some cases, economic development subsidies—from state or local governments.

Typically the wage floor is based on the hourly wage that a full-time worker would need to support her family at some multiple of the federal poverty guidelines. Representative of this approach is St. Louis, which defines its living wage as 130 percent of the federal poverty guidelines for a family of three,⁶³ translating to \$14.57 per hour as of 2009.⁶⁴

A central policy goal for cities and states in adopting living wage standards for procurement has been ensuring that taxpayer dollars create better quality jobs for communities. But governments have equally found that living wage benchmarks have improved the contracting process both by reducing the hidden public costs of the procurement system, and by shifting purchasing towards more reliable, high road contractors.

For example, when Maryland became the first state to enact a living wage law for service contractors in 2007, it did so in part to respond to the rising costs for taxpayers of low-wage jobs in the state and the distorting effect those costs were having on the state’s procurement system. “Before the passage of the living wage law, we effectively had a policy of subsidizing low road employers. This distorted the state’s contracting and budgeting processes,” explained Maryland Delegate Tom Hucker, the measure’s sponsor. “Now under the living wage system, contract bids and prices more accurately reflect the true price to taxpayers of the services being purchased.”⁶⁵

In addition to reducing the hidden costs of low-wage employment, municipalities have found that shifting their purchasing to living wage contractors has often improved the quality and reliability of contracted services. A substantial body of research demonstrates that higher wages substantially reduce employee turnover, yielding a more stable workforce and reducing new employee recruitment and training costs.

For example, a University of California study using statewide data found that among workers earning less than \$11.00 an hour, a \$1.00 increase in wages is associated with a 7 percent decrease in turnover.⁶⁶ The effect of wage rates on turnover has also been demonstrated by a series of studies of living wage policies. The San Francisco airport found that annual turnover among security screeners plummeted from 94.7 percent to 18.7 percent when their hourly wage rose from \$6.45 to \$10.00 an hour under a living wage policy.⁶⁷ The reduced turnover saved employers about \$4,275 per employee per year in restaffing costs—a savings that offset a substantial portion of the higher wages.⁶⁸ Similarly, a study of home care workers in San Francisco found that turnover fell by 57 percent following implementation of a living wage policy.⁶⁹ And a study of the Los Angeles living wage law found that staff turnover rates at firms affected by the law averaged 17 percent lower than those at firms that were not,⁷⁰ and that the decrease in turnover offset 16 percent of the cost of the higher wages.⁷¹

Research on the effects of living wage policies has also found that they generally improve worker performance, productivity and morale. In a survey of San Francisco airport employers affected by the agency's living wage policy, 35 percent reported improvements in work performance, 47 percent reported better employee morale, 44 percent reported fewer disciplinary issues, and 45 percent reported that customer service had improved.⁷² In each case, only a very small percentage reported any worsening of these factors.⁷³ In Boston, firms affected by the city's living wage policy also reported improved morale and increased work effort among their employees.⁷⁴

Studies of living wage policies have generally shown only a modest impact on costs, if any. In Baltimore—which passed the first living wage ordinance in the country in 1994—researchers compared pre and post-living wage contracts and found that contract costs for the city rose just 1.2 percent, which was lower than the rate of inflation.⁷⁵ And a survey of 20 cities that had passed living wage ordinances found that in most municipalities, contract costs increased by less than one-tenth of 1 percent of the overall city operating budget.⁷⁶

Maryland found that the average number of bidders for state service contracts increased once its living wage policy took effect—from an average of 3.7 bidders to 4.7 bidders.

Finally, by increasing the ability of firms that pay their workers more than the minimum wage to compete for public service contracts, living wage laws can increase the competitiveness of the procurement process as a whole. In a 2008 assessment of Maryland's living wage law after its first year in operation, almost half of bidders interviewed reported

that the living wage requirement encouraged them to bid on state contracts because it meant that contractors that paid very low wages would not automatically be able to underbid them. Maryland found that the average number of bidders for state service contracts increased once its living wage policy took effect—from an average of 3.7 bidders to 4.7 bidders. As one current contractor explained, "I would rather our employees work with a good wage. If a living wage is not mandated, the bids are a race to the bottom. That's not the relationship that we want to have with our employees. [The living wage] puts all bidders on the same footing."⁷⁷

Recommendation for Federal Reform:

In order to take into account the quality advantages of contractors that pay living wages and the hidden public costs generated by those that do not, the federal contractor selection process should **establish a preference for employers that pay a living wage.**

3. Health Benefits

City and state responsible contracting reforms have also responded to the impact on their governments of employers that do not provide health benefits. Many have found that contractors that do not provide quality, affordable health benefits to their workforces impose a substantial burden on the public health care system, as their uninsured workers turn to emergency rooms and the Medicaid program for care. To address this problem, growing numbers of cities and states have reformed their contracting systems to ensure that these public costs are taken into account during the contract pricing and award process.

These reforms have taken a variety of approaches. **El Paso**, Texas gives contractors that provide their employees health benefits a preference in the contracting process by making provision of health benefits a positive evaluation factor—along with price, reputation, technical qualifications, and past performance—that is weighed by city agencies in making their contract award decisions. The health benefits that bidders provide are rated on a scale of 0 to 10, and the resulting score then represents 10 percent of the overall best value score for the bid. Price remains the most significant factor accounting for between 40 and 70 percent.

Former El Paso Mayor Raymond Caballero, who instituted the policy, reports that while the bids that the city receives from contractors that provide health benefits may tend to be a little higher, the net impact on the taxpayer is about the same because of offsetting public health care system savings.⁷⁸ As El Paso city representative Suzy Byrd explains, “[F]or [El Paso], with our high rate of uninsured, it costs much more money to have people not insured than it does to have people insured. It is a huge drain on our economy and on our tax base. It is important to factor those costs into the contracting process. Where an employer is providing health benefits and saving our health system money, those savings should be weighed when evaluating the bids. Our philosophy is that for these types of things we have to pay a little bit up front or a whole lot at the back end.”⁷⁹

“For [El Paso], with our high rate of uninsured, it costs much more money to have people not insured than it does to have people insured. It is a huge drain on our economy and on our tax base. It is important to factor those costs into the contracting process. Where an employer is providing health benefits and saving our health system money, those savings should be weighed when evaluating the bids. Our philosophy is that for these types of things we have to pay a little bit up front or a whole lot at the back end.”

—Suzy Byrd, El Paso City Representative

Houston and **San Francisco** have used a related approach for addressing the indirect public costs of contractors’ health benefits practices. They require contractors to either provide health benefits to their employees, or pay into a fund to offset the cost of services for uninsured workers. San Francisco’s Health Care Accountability Ordinance (HCAO), which has been in effect since 2001, requires city service contractors to either provide health benefits at no

cost to covered employees or make payments of \$2.00 per employee per hour worked to the city Department of Public Health (DPH) in order to partially offset the costs of services for uninsured workers.⁸⁰ As of December 2008, the DPH had collected nearly \$2.5 million to offset such costs from contractors who did not provide health coverage.⁸¹

Similarly, under Houston's "Pay or Play" (POP) program, contractors must offer health benefits to covered employees ("play") or contribute \$1.00 per hour worked by these employees to offset the costs of providing health care to uninsured Houston residents ("pay"). A contractor that decides to "play" must contribute a minimum of \$150 toward the employee's monthly health benefits premium, and the employee cannot be required to pay more than half of the monthly cost.⁸² As explained in Houston Mayor Bill White's executive order and the city ordinance establishing the POP program, contractors that did not provide health insurance benefits were increasing the ranks of uninsured Houston residents and contributing to escalating costs facing public health care programs.⁸³ In response, the POP program aimed to level the playing field for responsible bidders that already provided health benefits to their employees.⁸⁴

Orlando requires bidders seeking construction contracts of \$100,000 or more to provide their workers with health benefits or increase hourly wages by 20 percent.⁸⁵ According to Orlando's public works director, this policy is especially important at times of high unemployment, when employers may be less likely to provide health benefits because the pool of prospective job seekers is large.⁸⁶

Other states and cities have created incentives for contractors to provide health benefits as part of living wage policies. **Maryland**, for example, under its state living wage law for service contractors, provides a credit towards the required living wage for the prorated hourly value of contractors' health benefits contributions.⁸⁷ As the law's sponsor, Maryland State Delegate Tom Hucker explained, "By factoring health care contributions into its living wage requirement, the Maryland law levels the playing field for contractors that provide health benefits and brings the costs of the uninsured into the open during the contracting process."⁸⁸

The Maryland law follows the approach used by many of the more than 140 cities that have enacted municipal living wage laws. These city ordinances typically require contractors that do not provide health benefits to pay their employees an additional hourly wage supplement to help them purchase health insurance. The supplement also ensures that contractors that provide benefits are not placed at a disadvantage.

Finally, other states and cities have gone further and simply mandated that all public contractors provide health benefits to their employees. **New Mexico**, for example, under a 2008 executive order, has instructed state agencies to include in bidding documents a requirement that prospective contractors provide health benefits to their New Mexico employees, and requires contractors to maintain a record of the number of employees who have accepted coverage.⁸⁹

Health benefits requirements have become especially common for public construction contracting—an area where the hidden public costs of contractors that do not provide health benefits are believed to be especially significant. Nearly **two dozen Massachusetts cities and towns** have adopted such health benefits requirements as conditions for prequalifying to bid on city construction projects.⁹⁰

Recommendation for Federal Reform:

The federal contractor selection process should **establish a preference for employers that provide quality, affordable health benefits.**

4. Paid Sick Days

Local governments have increasingly recognized that employers that provide their employees with paid sick days enjoy more stable and productive workforces. In response, they have begun to adopt new policies to encourage employers to do so—both within the public contracting process and more broadly.

When employers do not provide paid days off when staff members are ill, employees must choose between going to work sick or losing a day of pay—something many low-wage workers cannot afford. Many inevitably go to work sick, spreading illness to others and hurting productivity.

The first local sick days requirements were enacted as part of living wage laws, many of which require businesses performing city contracts to provide their employees a specified minimum number of paid sick days—often together with paid holidays and vacation days.⁹¹ More recently, cities such as San Francisco and Washington, D.C. have gone farther by requiring that most or all employers in those cities provide these protections.⁹²

As with other high road employment practices, evidence suggests that providing paid sick days helps employers retain a motivated and skilled workforce and reduces hidden public costs.

Analyses have found that the modest costs of paid sick days are more than compensated for by the savings from increased productivity, reduced turnover, and reduced public health costs. For

example, a report by the Institute of Women's Policy Research estimating the likely costs and savings from the Health Families Act, a proposed federal paid sick leave law, projected a net savings of at least \$8 billion to employers and taxpayers as a result of reduced turnover, higher productivity and cost savings to the public health care system.⁹³ As Donna Levitt, manager of San Francisco's Office of Labor Standards Enforcement explained, "We found that requiring city contractors to provide paid time off that employees may use when they are sick results in a healthier, more stable and more productive workforce."⁹⁴

Analyses have found that the modest costs of paid sick days are more than compensated for by the savings from increased productivity, reduced turnover, and reduced public health costs.

Recommendation for Federal Reform:

The federal contractor selection process should **establish a preference for employers that provide paid sick days to their employees.**

5. Proper Employee Classification

A significant workplace abuse that has become a special focus of state and local responsible contracting policies involves employers illegally “misclassifying” their workers as independent contractors—a problem that has become widespread in construction and low-wage industries. While the chief responses to this problem extend far beyond public contracting, protection against misclassification can and should be a part of responsible contracting reform, since misclassification can distort the public contracting process.⁹⁵

Under employment laws, workers in construction and low-wage industries seldom qualify as bona fide “independent contractors”—essentially, a form of entrepreneur who is in business for him or herself. Many employers nonetheless attempt to treat their workers as independent contractors in order to evade payroll, workers’ compensation, and unemployment insurance taxes, workplace law obligations, and provision of employer-provided health benefits. According to a 2000 study commissioned by the U.S. Department of Labor, as many as 30 percent of firms illegally misclassify their employees as independent contractors.⁹⁶

In addition to harming workers, independent contractor misclassification costs the government billions each year in lost tax revenue. For example, the Fiscal Policy Institute estimated that independent contractor misclassification in New York State results in an annual loss of \$500 million to \$1 billion in evaded workers’ compensation premiums.⁹⁷ In Illinois, estimates are that in 2005, the state lost \$53.7 million in unemployment insurance taxes, \$149 million to \$250 million in income taxes, and \$97.9 million in workers’ compensation premiums as a result of independent contractor misclassification.⁹⁸

Independent contractor misclassification has serious potential to distort the contracting process, since employers that engage in this misclassification enjoy a substantial—and illegal—cost advantage over law-abiding employers. To respond to this problem, many municipal level responsible contracting laws now require review of contractors’ records of worker classification, both during the performance of public contracts and in determining a firm’s eligibility to bid for such work. Representative of this approach are ordinances in **Worcester** and **Somerville**, Massachusetts, which require contractors to certify on a weekly basis that they are properly classifying their workers as employees and are complying with all workers, compensation and unemployment tax laws. Contractors that fail to comply face sanctions that include payment of liquidated damages and removal from the project until compliance is secured. Contractors with three or more violations are permanently barred from receiving municipal contracts.⁹⁹

By screening out employers that engage in misclassification, these responsible contracting policies strengthen incentives for complying with the law, minimize the loss of tax revenue as a result of misclassification, and prevent law abiding employers from being unfairly undercut in the bidding process.

Recommendation for Federal Reform:

Improved responsibility review for federal contractors should **require employers to certify that they have not misclassified employees as independent contractors and have paid employment taxes for all of their workers.**

Conclusion and Recommendations

These experiences of states and cities with a variety of responsible contracting strategies provide a roadmap for how federal procurement should be reformed. States and cities have found that rewarding employers that invest in their workforces with quality jobs not only benefits communities, but can also reduce hidden public costs and deliver more reliable contract services for the taxpayers.

Drawing on these best practices, **the federal government should adopt responsible contracting reforms** as it modernizes the federal contracting system. Specifically, the government should **make serious law-breakers ineligible** for federal contracts and **establish a preference for employers that provide good jobs**. To do this, the government should:

1. Institute **more rigorous responsibility screening** of prospective bidders to ensure that federal contracts are not awarded to employers that are **significant or repeat violators of workplace, tax or other laws**. This enhanced screening should incorporate:
 - **Front end review** of prospective bidders before bids are evaluated—the approach that has been found more reliable than review conducted later in the selection process. Where appropriate, such front end review should take the form of **prequalification**, which states and cities have found to be especially effective and is preferred by many responsible contractors.
 - **Disclosure of names** of companies undergoing responsibility review in order to allow the public the opportunity to provide relevant information about firms' compliance records.
 - Review of prospective bidders' records of **misclassifying employees as independent contractors**—a widespread abuse that hurts workers and constitutes a form of tax evasion.
2. Establish a **preference for employers that provide good jobs** in the contractor selection process. A preference provides a way to factor into contractor selection the benefits these employers afford not just workers, but also the taxpayers through reduced **hidden public costs** and **performance improvements** associated with high road employment practices. Specifically, preference should be given in the contractor selection process to employers that:
 - Pay a **living wage** to their employees.
 - Provide **quality, affordable health benefits** to their employees and their families.
 - Provide **paid sick days** to their employees.

3. Quickly bring on-line the newly authorized **national contractor misconduct database** mandated by the 2008 National Defense Authorization Act, and continue improving it to make it a more powerful tool for responsible contracting. Specifically, the administration should:
 - **Expand the database** to include **all violations** of federal statutes, especially those relating to the workplace, and to include **pending litigation and settlements**.
 - **Expand the database** to cover contractor misconduct reported by **state and local agencies**, including misconduct on **federally assisted contracts and grants**.
 - **Make the database transparent** by allowing access by the public.

4. **Strengthen monitoring and enforcement** of contractors' compliance with existing and new workplace standards through:
 - **Expanded hiring and training** of contracting officers and staff within the U.S. Department of Labor's Wage and Hour Division and Office of Federal Contract Compliance Programs.
 - **Reporting** of contractor and subcontractor **wages and benefits**.
 - **Targeted enforcement** focusing on industries and regions known for pervasive violations of prevailing wage and other laws.
 - **Improved monitoring** of existing contracts.
 - Greater use of the **suspension and debarment** process to screen out unqualified contractors.

The vast majority of these reforms would require **no new legislation**. They can and should be implemented under the federal procurement system's mandate that agencies purchase from responsible contractors that offer the best value for the government.

By drawing on these best practices that have proven effective in states and cities, the federal government can deliver improved accountability and results for the taxpayers, while promoting the quality jobs that our communities need.

Endnotes

- 1 Federal contract spending in fiscal year 2008 totaled nearly \$518 billion. See <http://www.usaspending.gov>.
- 2 Kathryn Edwards and Kai Filion, *Outsourcing Poverty: Federal contracting pushes down wages and benefits* (Washington D.C.: Economic Policy Institute, Feb. 2009), p. 1, available at http://epi.3cdn.net/10d36747ba0e683ef9_hwm6bxwnl.pdf.
- 3 Analysis by the Economic Policy Institute (on file with the National Employment Law Project). The EPI analysis defines a living wage using the U.S. Department of Labor's Lower Living Standard Income Level (LLSIL) for a family of four.
- 4 Edwards and Filion, p. 3.
- 5 David Madland and Michael Paarlberg, *Making Contracting Work for the United States: Government Spending Must Lead to Good Jobs* (Washington D.C.: Center for American Progress, Dec. 2008), p. 4, available at http://www.americanprogressaction.org/issues/2008/pdf/contracting_reform.pdf.
- 6 *Id.*, p. 20.
- 7 Carol Zabin, Arindrajit Dube and Ken Jacobs, *The Hidden Public Costs of Low-Wage Jobs in California* (Berkeley, CA: University of California Institute for Labor and Employment, Nov. 2004), p. 13, available at <http://repositories.cdlib.org/cqi/viewcontent.cgi?article=1037&context=iile>.
- 8 *Id.*, p. 32.
- 9 Annette Bernhardt, Anmol Chaddha and Siobhán McGrath, *When Work Doesn't Pay: The Public Cost of Low-Wage Jobs in New York State* (New York, NY: National Employment Law Project, Dec. 2008), p. 18, available at <http://www.nelp.org/page/-/EJP/PublicCostReport08.pdf?nocdn=1>; Laura Dresser, *When Work Doesn't Pay: The Hidden Costs of Low-Wage Jobs in Wisconsin* (Madison, WI: Center on Wisconsin Strategy, Dec. 2006), available at <http://www.cows.org/pdf/rp-low-wage-jobs.pdf>; Nik Theodore and Marc Doussard, *The Hidden Public Cost of Low-Wage Work in Illinois* (Chicago, IL: Center for Urban Economic Development at the University of Illinois, Sept. 2006), available at <http://www.uic.edu/cuppa/uicued/Publications/RECENT/HiddenPublicCostMain.pdf>.
- 10 For Medicaid, federal taxpayers pay between 50 and 77 percent of the cost, depending on the state. In the coming years, the federal government's share of Medicaid costs will be even greater, as it has been temporarily increased during the recession to provide budget relief to the states. See Henry J. Kaiser Commission, *Medicaid's Federal-State Partnership: Alternatives for Improving Financial Integrity* (Feb. 2004), available at <http://www.kff.org/medicaid/upload/Medicaid-s-Federal-State-Partnership-Alternatives-for-Improving-Financial-Integrity.pdf>; Henry J. Kaiser Commission, *American Recovery and Reinvestment Act (ARRA): Medicaid and Health Care Provisions* (March 2009), available at <http://www.kff.org/medicaid/upload/7872.pdf>.
- 11 See *infra* p. 14.
- 12 Michael Reich, Peter Hall, and Ken Jacobs, *Living Wages and Economic Performance: The San Francisco Airport Model* (Berkeley, CA: Institute of Industrial Relations at the University of California, Berkeley, 2003), pp. 10, 58, 60, available at http://www.irle.berkeley.edu/research/livingwage/sfo_mar03.pdf.
- 13 The HUD Inspector General found that "Poor workmanship quality, in our opinion, results from the use of inexperienced or unskilled workers and shortcut construction methods... Poor quality work led to excessive maintenance costs and increased risk of defaults and foreclosures..." U.S. Department of Housing and Urban Development, Office of Inspector General, *Audit Report on Monitoring and Enforcing Labor Standards* (1983) (on file with the National Employment Law Project), cited in Dale Belman and Paula Voos, *Prevailing Wage Laws in Construction: The Costs of Repeal to Wisconsin* (Madison, WI: University of Wisconsin, Jan. 1996), p. 5, available at <http://www.faircontracting.org/NAFCnewsite/prevailingwage/Prevailing%20Wage%20Studies/PrevailingWage%20Laws%20in%20Construction,%20Cost%20of%20Repeal%20to%20Wisconsin.pdf>.
- 14 Moshe Adler, *Prequalification of Contractors: The Importance of Responsible Contracting on Public Works Projects* (New York, NY: Fiscal Policy Institute, May 2003), p. 5, available at <http://www.columbia.edu/~ma820/prequalification.doc>.
- 15 "The Economic Development Benefits of Prevailing Wage" (New York, NY: Fiscal Policy Institute, May 2006), p. 2 (citing studies), available at http://www.faircontracting.org/pdf/FPIbrief_May06.pdf. See also Harley Shaiken, *The High Road to a Competitive Economy: A Labor Law Strategy* (Washington D.C.: Center for American Progress, June 2004), pp. 7-8 (surveying earlier research finding that unionization, by decreasing turnover and increasing wages, increases productivity), available at <http://www.americanprogress.org/kf/unionpaper.pdf>.
- 16 Peter Philips, Garth Mangum, Norm Waitzman, and Anne Yeagle, *Losing Ground: Lessons from the Repeal of Nine "Little Davis-Bacon" Acts* (Salt Lake City, UT: University of Utah Economics Department, Feb. 1995), p. iii, available at <http://www.faircontracting.org/NAFCnewsite/prevailingwage/new/losingground.pdf>. The study also found that injuries increased by 15 percent, wages fell by 22 percent, and construction training fell by 40 percent where state prevailing wage laws were repealed.
- 17 41 U.S.C. § 403(7); 48 C.F.R. § 9.103.
- 18 41 U.S.C. § 403(7); 48 C.F.R. § 9.104-1.
- 19 *Id.*
- 20 48 C.F.R. § 236.272.
- 21 U.S. Government Accountability Office, *Federal Procurement: Additional Data Reporting Could Improve the Suspension and Debarment Process*, GAO-05-479 (July 2005), available at <http://www.gao.gov/new.items/d05479.pdf>.
- 22 Madland and Paarlberg, p. 20.
- 23 U.S. Government Accountability Office, *Excluded Parties List System: Suspended and Debarred Businesses and Individuals Improperly Receive Federal Funds*, GAO-09-174 (Feb. 2009), available at <http://www.gao.gov/new.items/d09174.pdf>.
- 24 Pub. L. 110-417 § 872, 112 Stat. 4356 (2008); Project on Government Oversight, *Myths about a Federal Contractor Responsibility Database*, Oct. 15, 2008, <http://pogoarchives.org/m/co/fcmd/database-myths.pdf>.
- 25 Pub. L. 110-417 § 872(c), 112 Stat. 4356 (2008).
- 26 Pub. L. 110-417 § 872(c)(7), 112 Stat. 4356 (2008) (providing that the "[t]o the maximum extent practical, [the database should include] information similar to [the information required of federal contractors] in connection with the award or performance of a contract or grant with a State government").
- 27 National Procurement Taskforce Legislation Committee, *Procurement Fraud: Legislative and Regulatory Reform Proposals* (June 9, 2008), p. 19, available at <http://pogoarchives.org/m/co/npftflc-white-paper-20080609.pdf>.
- 28 For example, under the competitive negotiated acquisition procurement approach, agencies are instructed that "[t]he objective of source selection is to select the proposal that represents the best value." See 48 C.F.R. § 15.302.
- 29 48 C.F.R. § 15.304; 41 U.S.C. § 253b.
- 30 Exec. Order No. 12,931, 59 Fed. Reg. 52387 (1994).
- 31 See, e.g. *Matter of Morgan-Keller, Inc.*, B-298076.2, 2006 WL 2136651 (Comp. Gen. Aug. 1, 2006).

- 32 For example, in *Matter of Comprehensive Health Services, Inc.*, B-285048.3, 2001 CPD P 9 (Comp. Gen. Jan. 22, 2001), the Department of Veterans Affairs, seeking bidders to provide employee health services, issued a request for proposal (RFP) where past performance and technical factors combined were worth significantly more than price in the award decision. A protest was filed by an unsuccessful bidder whose price was lower than the successful bidder. The Comptroller General noted that the protestor's bid provided for reduced fringe benefits, which would increase the risk of losing current employees. In denying the protest, the Comptroller General found that the agency's decision to prioritize retention of qualified staff over price was reasonable.
- 33 40 U.S.C. § 276a.
- 34 41 U.S.C. § 351(a). A third federal prevailing wage law, the Walsh-Healey Public Contracts Act, provides for payment of prevailing wages to workers employed under federal contracts for the purchase of certain goods. 41 U.S.C. § 35(a). However, since 1963 when the federal court in *Wirtz v. Baldor Electric Co.*, 337 F.2d 518 (D.C. Cir. 1963) established procedural requirements that blocked U.S. Department of Labor wage determinations under Walsh-Healey, the agency has been unable to implement the act, leaving these workers without meaningful prevailing wage protection.
- 35 As Solicitor of Labor Charles Donahue testified, "There is the possibility also that under the pressure of bid competition an ordinarily fair contractor may reduce the wages of employees in order to improve the chances that his bid will be accepted. This action, of course, would further depress wage rates. When, as at present, a low bid award policy on service contracts is coupled with a policy of no labor standards protection, the trend may well be in certain areas for wage rates to spiral downward." *Service Contract Act of 1965: Hearing on H.R. 10238 Before the Special Subcomm. on Labor of the H. Comm. on Education and Labor*, 89th Cong. 1st Sess. 5 (1965).
- 36 U.S. Department of Labor Wage Determinations, available at <http://www.wdol.gov>.
- 37 65 Fed. Reg. 50,256 (2000).
- 38 Marcos Feldman, *Best Value in Publicly Funded Projects: Contractor Selection in Two County GOB Projects* (Miami, FL: Research Institute on Social and Economic Policy at Florida International University, Aug. 2006), p. 6, available at <http://rise.p.artforstruggle.org/wp-content/uploads/2009/04/best-value-in-publicly-funded-projects.pdf>, citing Debbie Cenziper, *Water Leaks Plague Schools*, Miami Herald, Apr. 13, 2003.
- 39 *Id.*, citing Charles Savage, *State Audit Shreds Dade Schools*, Miami Herald, June 29, 2002.
- 40 *Id.*, quoting Debbie Cenziper, *Water Leaks Plague Schools*, MIAMI HERALD, Apr. 13, 2003. See also William O. Monroe, *Operational Audit of Capital Construction Activities For Miami-Dade County District School Board, July 1, 2000 through Apr. 30, 2002*, Report No. 03-026 (State of Florida Auditor General, Sept. 2002), available at http://www.myflorida.com/audgen/pages/pdf_files/03-026.pdf. The audit recommended that MDCPS "enhance its contractor prequalification procedures to ensure that appropriate consideration is given to past performance of contractors."
- 41 See *infra* p. 4.
- 42 Cal. Pub. Cont. Code §20101.
- 43 California Department of Industrial Relations, *Prequalification of Contractors Seeking to Bid on Public Works Projects: The 1999 State Legislation and the Model Forms Created by the Department of Industrial Relations*, http://www.dir.ca.gov/od_pub/prequal/PubWksPreQualModel.doc.
- 44 *Id.*
- 45 This scoring formula applies for bidders with gross revenues less than \$50 million. For those with gross revenues above \$50 million, a bidder with up to four Davis-Bacon violations may still receive five points.
- 46 Mass. Gen. Laws ch. 149 § 44D 1/2; 810 Mass. Code Regs. § 9.00 et seq.
- 47 810 Mass. Code Regs. § 9.05(4) (listing prequalification criteria and subfactors); "Massachusetts Application for Prime General Contractor Certificate of Eligibility" (asking prequalification candidates to disclose whether, within the past five years, they have been involved in litigation relating to "a violation of any state or federal law regulating hours of labor, unemployment compensation, minimum wages, prevailing wages, overtime pay, equal pay, child labor or workers' compensation"), http://www.mass.gov/Eoaf/docs/dcam/dlforms/certification/prime_general_contractor_application_1_20_09.doc.
- 48 *Id.*; 810 Mass. Code Regs. § 9.08(9).
- 49 Conn. Gen. Stat. Ann. §§ 4a-100(c)(5), (f).
- 50 *Id.*; see also Conn. Gen. Stat. Ann. §§ 31-57a, 31-57b; "Contractor Prequalification Frequently Asked Questions," http://www.das.state.ct.us/Business_Svs/PreQual/Prequal_FAQ.asp; Interview with Peter Hunter, Prequalification Contracting Analyst for the Connecticut Department of Administrative Services (on file with the National Employment Law Project).
- 51 Ill Admin. Code tit. 44, § 650.240.
- 52 Ohio Schools Facilities Commission, Resolution 07-98, Attachment A, available at <http://www.osfc.state.oh.us/LinkClick.aspx?fileticket=DnuiSvfrOdk%3d&tabid=146>.
- 53 Oregon, Ohio Mun. Code ch. 180, § 180.01, available at <http://www.oregonohio.org/images/stories/docs/engineering/bestbidcriteriacode.pdf>.
- 54 Los Angeles, Cal., Admin Code ch. 1, div. 10, art. 14, § 10.40 et seq (2000), available at <http://bca.lacity.org/site/pdf/cro/CRO%20Contractor%20Responsibility%20Ordinance.PDF>.
- 55 "Los Angeles Construction Contractor Responsibility Questionnaire," <http://bca.lacity.org/site/pdf/cro/CROQ%20Construction.PDF> and "Los Angeles Services Contractor Responsibility Questionnaire," <http://bca.lacity.org/site/pdf/cro/CROQ%20Service.PDF>.
- 56 Los Angeles, Cal., Admin Code ch. 1, div. 10, art. 14, § 10.40(c) (2000), available at <http://bca.lacity.org/site/pdf/cro/CRO%20Contractor%20Responsibility%20Ordinance.PDF>.
- 57 See <http://www.faircontracting.org/pdf/f.php>. See also Foundation for Fair Contracting of Massachusetts, *Compendium of Cities and Towns in Massachusetts with "Responsible Employer" Ordinances* (on file with the National Employment Law Project).
- 58 Interview with Russell Strazzella, construction inspector for the Los Angeles Bureau of Contract Administration (on file with the National Employment Law Project).
- 59 Daniel D. McMillan and Erich R. Luschei, *Prequalification of Contractors by State and Local Agencies: Legal Standards and Procedural Traps*, Construction Lawyer (Spring 2007).
- 60 Interview with Carol Isen, Director of Labor Relations for the San Francisco Public Utilities Commission (on file with the National Employment Law Project).
- 61 See *infra* p. 14.
- 62 Local and state living wage laws have often been enacted to supplement existing state prevailing wage laws. Living wage laws sometimes fill in gaps in coverage under prevailing wage laws, or establish a more adequate minimum wage floor in occupations where the prevailing wage is very low. For a list of state prevailing wage laws, see <http://www.dol.gov/esa/whd/state/dollar.htm>.
- 63 St. Louis, Mo. Ordinance No. 65597 §3(B), available at <http://www.mwdbe.org/livingwage/LivWageOrd.pdf>.
- 64 St. Louis Living Wage Adjustment Bulletin, available at <http://www.mwdbe.org/livingwage/LvgWgAdjustment09.pdf>.
- 65 Interview with Maryland State Delegate Tom Hucker (on file with the National Employment Law Project).

- 66 Arindrajit Dube and Michael Reich, *Compensation Practices, Turnover, Training and Productivity among California Businesses*, Unpublished Manuscript (Berkeley, CA: Institute for Industrial Relations at the University of California at Berkeley, June 2004).
- 67 Reich, Hall and Jacobs., p. 10.
- 68 *Id.*, pp. 10, 58.
- 69 Candace Howes, *Living Wages and the Retention of Homecare Workers in San Francisco*, *Industrial Relations*, Vol. 44, No. 1 pp. 139-163, Jan. 2005.
- 70 David Fairris, David Runstein, Carolina Briones and Jessica Goodheart, *Examining the Evidence: The Impact of the Los Angeles Living Wage Ordinance on Workers and Businesses* (Los Angeles, CA: Los Angeles Alliance for a New Economy), p. 106, available at: http://www.losangeleslivingwagestudy.org/docs/Examining_the_Evidence_full.pdf.
- 71 *Id.*, p. 109.
- 72 Reich, Hall and Jacobs, p. 60.
- 73 *Id.*
- 74 Mark D. Brenner and Stephanie Luce, *Living Wage Laws in Practice: The Boston, New Haven and Hartford Experiences* (Amherst MA: University of Massachusetts, Political Economy Research Institute, 2005), available at http://www.peri.umass.edu/fileadmin/pdf/research_brief/RR8.pdf.
- 75 Christopher Niedt, Gret Ruiters, Dana Wise and Erica Schoenberger, *The Effects of the Living Wage in Baltimore*, Working Paper No. 119 (Washington D.C.: Economic Policy Institute, Feb. 1999), available at http://epi.3cdn.net/63b7cb4cbcf2f33b2d_w9m6bnks7.pdf.
- 76 Andrew J. Elmore, *Living Wage Laws & Communities: Smarter Economic Development, Lower Than Expected Costs* (New York, NY: Brennan Center for Justice at New York University School of Law, Nov. 2003), available at http://nelp.3cdn.net/4fdbdbf70be73ca80f_6tm6b5suw.pdf.
- 77 Department of Legislative Services, *Impact of the Maryland Living Wage* (Dec. 2008), available at <http://www.chamberactionnetwork.com/documents/LivingWage.pdf>.
- 78 Interview with former El Paso Mayor Raymond Caballero (on file with the National Employment Law Project). See also Jim Yardley, *A City Struggles to Provide Health Care Pledged by U.S.*, *New York Times*, Aug. 7, 2001 (reporting that Mayor Caballero was "pushing to change municipal contracting practices in favor of companies that provide private insurance for their employees"), available at <http://query.nytimes.com/gst/fullpage.html?res=9C06E0D61E3CF934A3575BC0A9679C8863&sec=&spn=&pagewanted=all>.
- 79 Interview with El Paso City Representative Suzy Byrd (on file with the National Employment Law Project).
- 80 San Francisco, Cal. Admin Code ch. 12Q, available at <http://www.municode.com/content/4201/14131/HTML/ch012q.html>. In 2007, San Francisco enacted a related ordinance that effectively broadened this policy beyond city contractors to apply to all larger employers in the city. See San Francisco, Cal. Admin Code ch. 14, available at <http://www.municode.com/content/4201/14131/HTML/ch014.html>.
- 81 Analysis by the City of San Francisco Office of Labor Standards Enforcement (on file with the National Employment Law Project).
- 82 Houston, Tex. Exec. Order No. 1-7, available at <http://www.houstontx.gov/aacc/1-7.pdf>.
- 83 *Id.*
- 84 *Id.* (providing that "contractors who do not provide health insurance benefits for their workforce impose a burden on... individuals and businesses whose health insurance premiums increase because of shifting costs onto those payers."). See also Houston Affirmative Action and Contract Compliance Division, Pay or Play Program, Annual Report Fiscal Year 2008 (on file with the National Employment Law Project); Interview with Elena Marks, Director of Health and Environmental Policy for the City of Houston (on file with the National Employment Law Project).
- 85 Orlando, Fla. Policy and Procedures § 161.3(G)(7)(b) (providing that "[t]he Construction Contractor... shall provide said workers with health benefits. The Contractor may satisfy this health benefits requirement by providing to the workers on this project either 1) health benefits through a bona fide program or 2) by increasing the hourly wage by 20 percent. Evidence of the existence of a bona fide health benefits program, satisfactory to the City, must be submitted to the Public Works Department.") (on file with the National Employment Law Project).
- 86 Interview with Alan R. Oyler, Public Works Director for the City of Orlando (on file with the National Employment Law Project).
- 87 Maryland Division of Labor, Licensing and Regulation, Living Wage Frequently Asked Questions, Question 18, <http://www.dllr.state.md.us/labor/livingwagefaqs.shtml#1>.
- 88 Interview with Maryland State Delegate Tom Hucker (on file with the National Employment Law Project).
- 89 N.M. Exec. Order 2007-049, available at http://www.generalservices.state.nm.us/spd/eo_2007_049.pdf.
- 90 Foundation for Fair Contracting of Massachusetts, Compendium of Cities and Towns in Massachusetts with "Responsible Employer" Ordinances (on file with the National Employment Law Project). Examples of responsible contractor and prequalification laws from across the nation, some of which include health benefits requirements, have been compiled by the National Alliance for Fair Contracting. See <http://www.faircontracting.org/pdf/f.php>.
- 91 See, e.g. San Diego, Cal. Mun. Code § 22.4220(c) (mandating ten paid sick, vacation, and/or personal leave days, and another ten unpaid leave days for illness or to care for an ill family member), available at <http://docs.sandiego.gov/municode/MuniCodeChapter02/Ch02Art02Division42.pdf>; Oakland, Cal. Mun. Code ch. 2.28.030B (mandating twelve paid sick, vacation, and/or personal leave days and another ten unpaid leave days for illness or to care for an ill family member), available at <http://bpc.iserver.net/codes/oakland/>; Nassau County, N.Y. tit. 57 § 3(b) (twelve paid days off for sick leave, vacation, and/or personal necessity), available at http://www.nassaucountyny.gov/agencies/Comptroller/LivingWage/Amended_Living_Wage_Law.pdf.
- 92 San Francisco, Cal. Admin. Code ch. 12W (San Francisco Paid Sick Leave Ordinance), available at http://www.sfgov.org/site/olse_index.asp?id=49389; Washington, D.C. Accrued Sick and Safe Leave Act, D.C. Code Ann. § 32-131.01 et seq. (Washington D.C. Accrued Sick and Safe Leave Act).
- 93 Vicky Lovell, *Valuing Good Health: An Estimate of Costs and Savings for the Healthy Families Act*, Publication #B248 (Washington, D.C.: Institute for Women's Policy Research, Apr. 2005), p. 14, available at <http://www.iwpr.org/pdf/B248.pdf>.
- 94 Interview with Donna Levitt, Manager of San Francisco's Office of Labor Standards Enforcement (on file with the National Employment Law Project).
- 95 For the full reform agenda for responding to worker misclassification, see National Employment Law Project, *Rebuilding a Good Jobs Economy: A Blueprint for Recovery and Reform* (Nov. 2008), pp. 9-10, available at http://www.nelp.org/page/-/Federal/NELP_federal_agenda.pdf?nocdn=1; National Employment Law Project, Summary of Independent Contractor Reforms (July 2008), available at http://nelp.3cdn.net/ed7571b66f5e2cc263_f0m6bn8pp.pdf.
- 96 Lalith de Silva, et al, *Independent Contractors: Prevalence and Implications for Unemployment Insurance Programs*, Prepared for the U.S. Department of Labor Employment and Training Division by Planmatics, Inc. (Feb. 2000), available at <http://wdr.doleta.gov/owdrr/00-5/00-5.pdf>.
- 97 Fiscal Policy Institute, *New York State Workers' Compensation: How Big is the Coverage Shortfall?* (New York, NY: Fiscal Policy Institute, Jan. 25, 2007), available at http://www.fiscalpolicy.org/publications2007/FPI_WorkersCompShortfall_WithAddendum.pdf.
- 98 Michael Kelsay, James Sturgeon and Kelly Pinkham, *The Economic Costs of Employee Misclassification in the State of Illinois* (Kansas City, MO: University of Missouri-Kansas City, Dec. 6, 2006), available at http://www.faircontracting.org/NAFCnews/prevalingwage/pdf/illinois_Misclassification_Study.pdf.
- 99 Somerville, Mass. Code of Ordinances ch. 2, § 2-355, available at <http://www.municode.com/Resources/gateway.asp?pid=11580&sid=21>; Worcester, Mass Rev. Ordinances ch. 2, § 35, available at <http://www.ci.worcester.ma.us/pur/reo.html>.

Selected NELP Publications

- *One Size Does Not Fit All: Budgets for Growth and Work for All* (New York: 2002)
- *Maintaining the Minimum Wage for America's Tipped Workers* (2002)
- *Right to Work in a Free Enterprise Society* (Workers Rights 2002)
- *Revisiting a Good Job Strategy: A Supplemental Program and System* (2002)
- *Meeting the Justice Needs of All* (2002)
- *The Public Cost of Low Wage Work* (New York State 2001)

For more NELP publications, please visit
www.nelp.org/site/publications

NELP

NEW YORK STATE
LAW CENTER

10 Hudson Lane, Suite 803
New York, NY 10013
Phone: 212-386-3400
Fax: 212-386-3036

1205 K Street, N.W. - Suite 501, Washington
Washington, DC 20004
Phone: 202-637-5544
Fax: 202-637-4254

www.nelp.org

ARTICLE VI. - PURCHASING (17)

Sec. 2-144. - Reserved.

Sec. 2-145. - Competitive purchasing.

Sec. 2-146. - Purchasing and bidding procedure.

Sec. 2-147. - Purchases under \$5,000.00.

Sec. 2-148. - Award by purchasing agent, board of awards.

Sec. 2-149. - Required contract provisions.

Sec. 2-150. - Insurance contracts.

Sec. 2-151. - Emergencies; sole-source purchases.

Sec. 2-152. - Determining award; contract limited to the lowest responsible bidder; delinquency in the payment of taxes.

Sec. 2-153. - Disposal of surplus property.

Sec. 2-154. - Regulations.

Secs. 2-155—2-164. - Reserved.

Sec. 2-144. - Reserved.

Sec. 2-145. - Competitive purchasing.

- (a) Subject to the further provisions of this article, it shall be the objective of the purchasing department to have all purchases and contracts made by competitive bids and it shall be the duty of the purchasing agent to obtain three (3) or more price quotations on all purchases where practical. All purchases or contracts shall be awarded to the responsible bidder offering the lowest bid price subject to the further provisions of this section and sections 2-149(b) and 2-152
- (b) In addition to lowest price, the purchasing agent and the board of awards shall consider the following in their determination of who shall be the lowest responsible bidder:
 - (1) The quality of the articles, merchandise or services to be supplied.
 - (2) The conformity of the submission to the specifications.
 - (3) The suitability of the articles, merchandise or services to the requirements of the city department involved.
 - (4) The ability, capacity and skill of the bidder to perform the contract or to provide the service required.
 - (5) The ability of the bidder to perform the contract or provide the service promptly, or within the time specified, without delay or excuse.
 - (6) The character, integrity, reputation, judgment, experience and efficiency of the bidder as measured by, but not limited to, past performance.
 - (7) The previous and existing compliance by the bidder with laws, regulations and ordinances relating to the contract or service.
 - (8) The sufficiency of the financial resources and ability of the bidder to perform the contract or provide the service.

- (9) The ability of the bidder to provide future maintenance and service (if applicable) for the subject of the contract.
- (10) Such other relevant factors which may be deemed necessary by the purchasing agent, the department involved or the board of awards.

(Ord. No. 425, 9-4-91; Ord. No. 454, 2-2-93)

Sec. 2-146. - Purchasing and bidding procedure.

- (a) If the amount of the expenditure, purchase or contract for purchasing, including a continuing order or contract for the purchase of the same commodity over a period of twelve (12) months, involves the expenditure of five thousand dollars (\$5,000.00) or more for a list of related items commonly sold by the same vendors, the purchasing agent shall invite sealed bids or proposals, giving at least five (5) days' public notice thereof by publication at least once in a newspaper having circulation in the city, by invitations mailed to known vendors and by posting on a public bulletin board in the office of the purchasing agent. All invitations to bid shall include detailed specifications or indicate where they can be obtained, shall specify the time and place where the bids shall be filed, the time and place where bids will be opened and the time after opening within which an award will be made or all bids rejected. The requirements for public notice and sealed bids concerning a purchase may be waived by the common council after a determination that it is in the best interest to do so. The foregoing provisions of this subsection notwithstanding, invitations for sealed bids or proposals, at the discretion of the purchasing agent, shall not be required for contracts for services or where the proportion of services to materials for a particular job is at least seventy (70) percent labor.
- (b) Bids shall be publicly opened by the purchasing agent at the time and place specified and the full detail of each bid shall be recorded. The agent may, at his discretion, invite interested city personnel to the public opening if, in his judgment, it would be of benefit to the process. An abstract of the record of bids shall be posted for public inspection and shall have added to it information indicating the basis for awarding the contract or purchase order and the name of the successful bidder. Such abstract shall remain posted for five (5) days after the award has been made.
- (c) If any prospective bidder fails, neglects or refuses to furnish the purchasing agent with such financial statements and other information as may be required to determine his responsibility as a bidder, his bid shall not be considered. If he fails, neglects or refuses to submit bids in response to not fewer than three (3) consecutive requests therefor on commodities of a class furnished by him, his name may be removed from the list of prospective bidders. Bid irregularities or informalities may be waived by the purchasing agent with prior approval of the office of the corporation counsel.
- (d) In connection with each advertised request for bids, the purchasing agent may require a certified check or a bid bond to be submitted with the bid, which checks or bid bonds shall be submitted subject to any requirements governing contracts for work to be done on city projects. A certified check or bid bond need not be required for the purchase of commercially available commodities. In the event any bidder shall refuse to accept, within a time specified by the purchasing agent, a contract awarded to him, he shall forfeit his bond to the city, and such contract may be awarded to the next lowest responsible qualified bidder, subject to the same terms and conditions as set forth herein.

(Ord. No. 425, 9-4-91; Ord. No. 447, 8-4-92)

Sec. 2-147. - Purchases under \$5,000.00.

- (a) If the amount of expenditures is estimated to be less than five thousand dollars (\$5,000.00), the purchase may be made in the open market without the necessity for formal advertising or competitive bidding, except that where the amount is estimated to be between twenty-five hundred dollars (\$2,500.00) and five thousand dollars (\$5,000.00), written quotations from at least three (3) bidders are to be obtained whenever possible; where the amount is greater than five hundred dollars (\$500.00) but less than twenty-five hundred dollars (\$2,500.00), at least three (3) verbal quotes for pricing shall be obtained.
- (b) Purchases or sales in sums less than five hundred dollars (\$500.00) or less may be awarded based on a single bid, or competitive bids which may be sought and accepted orally.
- (c) Local purchase orders may be used at the discretion of the city department involved for work in progress with authorization by the purchasing agent, provided that such purchase order does not involve an amount greater than one hundred dollars (\$100.00).

(Ord. No. 425, 9-4-91; Ord. No. 503, 6-6-95)

Sec. 2-148. - Award by purchasing agent, board of awards.

All awards for projects, materials or services, including "piggybacking" on state, federal, educational or government awarded projects or awards for materials or services, shall be made by the purchasing agent after consultation with the department involved in the purchase and in accordance with the provisions hereof so long as the dollar amount of such projects, materials or

services does not exceed fifteen thousand dollars (\$15,000.00). All such awards involving expenditure of greater than fifteen thousand dollars (\$15,000.00) shall be awarded by the board of awards, which board shall be composed of any three (3) of the following individuals: the director of finance, the corporation counsel, the department head whose department is involved with the purchase or the purchasing agent. The duly designated assistant to such individual(s) may act in their place in the event of the absence of the board of awards member involved.

(Ord. No. 425, 9-4-91; Ord. No. 524, 3-4-97)

Sec. 2-149. - Required contract provisions.

- (a) All contracts entered into by the City of Danbury for the construction, alteration or repair of any public building or public work and employing mechanics, laborers and workmen in the performance of work under the contract shall incorporate the following provisions:
 - (1) Consistent with the requirements of section 8-7 of the Danbury Municipal Charter, concerning the employment of mechanics, laborers and workmen, the contractor and all lower tiered subcontractors shall give employment preference to citizens of the Danbury labor market area as established by the State Labor Commissioner in accordance with chapter 557, part III, and section 7-112 of the Connecticut General Statutes, as amended.
 - (2) The contractor and all lower tiered subcontractors may hire mechanics, laborers and workmen who reside outside the Danbury labor market area if provisions of existing labor agreements prevent compliance with the requirements of this section, or if the specifically required skills are not available in the Danbury labor market. In either event, prior to commencement of performance, the contractor and all lower tiered subcontractors shall submit their reasons for such action in writing along with supporting documents to the city. Such documents may consist of, but need not be limited to, labor agreements, lists of names and addresses of mechanics, laborers and workmen or labor representatives contacted in the Danbury labor market area and

lists of required positions for which personnel were not available in the Danbury labor market area. The contractor and all lower tiered subcontractors shall submit such relevant documents and other information as may be requested by the city to determine compliance with this section. In order to monitor compliance with this section the city may request relevant information and documentation from the contractor or from subcontractors at any time during the term of the contract. The contractor shall comply with or arrange for compliance with all such requests promptly.

- (3) Prior to the commencement of performance of contracts governed by this section the contractor shall forward a written statement indicating the name, address and occupational title of each mechanic, laborer and workman scheduled to perform work for the contractor under the contract. The contractor shall insure that all lower tiered subcontractors provide similar information to the city with respect to their mechanics, laborers and workmen. The contractor and all subcontractors shall file written amendments to previously filed statements whenever new mechanics, laborers or workmen perform work under the contract. All such amended statements shall be filed before any new mechanic, laborer or workman commences work under the contract.
 - (4) Every two weeks during the term of the contract the contractor and all lower tiered subcontractors performing work under the contract shall forward payroll records to the city covering the preceding two-week contract period.
 - (5) The contractor and all lower tiered subcontractors performing work under the contract must comply with the obligations established under state and federal laws to pay lawful prevailing rates to their employees. Pursuant to the provisions of subsection 31-53(g) of the Connecticut General Statutes, as amended, the prevailing wage requirements do not apply to rehabilitation, remodeling, refinishing, refurbishing, alteration or repair of any project where the total cost of all work performed by contractors and subcontractors is less than one hundred thousand dollars (\$100,000.00) or, with respect to new construction, where the total cost of all work performed is less than four hundred thousand dollars (\$400,000.00).
- (b) All contracts entered into by the City of Danbury for the construction, alteration or repair of any public building or public work shall contain the following provisions providing for equal opportunity in employment.
- (1) The contractor and all lower tiered subcontractors agree and warrant that in the performance of work under this contract they shall not discriminate or permit discrimination in employment against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, sex, or on the basis of physical or mental disability, including, but not limited to, blindness, unless it is shown by such contractor or subcontractor that such disability prevents performance of the work under the contract. The contractor and all lower tiered subcontractors also agree that for purposes of monitoring compliance with the provisions of this section they shall provide the city with such information as may be requested concerning their employment practices and procedures. For purposes hereof, discrimination in employment shall include, but need not be limited to, employment advertising, recruitment, layoff, termination, rates of pay or other forms of compensation, conditions or privileges of employment and selection for apprenticeship.
 - (2) The contractor and all lower tiered subcontractors shall post notices in conspicuous places on the project site describing the provisions of this subsection.
 - (3)

Nothing contained herein is intended or shall be construed to relieve any contractor or subcontractor from compliance with applicable federal or state law concerning equal employment opportunity, affirmative action or non-discrimination.

- (c) All contracts entered into by the City of Danbury contemplating work utilizing trades or occupations for which state certified apprenticeship programs exist shall incorporate provisions requiring the contractor and all lower tiered subcontractors to be affiliated with such programs. The contractor or any lower tiered subcontractor may be relieved from compliance with the provisions of this subsection if provisions of existing labor agreements prevent compliance with the requirements hereof. In that event, prior to commencement of performance, the contractor or subcontractor shall submit their reasons for such action in writing along with supporting documents to the city. The contractor and all lower tiered subcontractors shall submit such relevant documents and other information as may be requested by the city to determine compliance with this section. In order to monitor compliance with this section the city may request relevant information and documentation from the contractor or from subcontractors at any time during the term of the contract. The contractor shall comply with or arrange for compliance with all such requests promptly.
- (d) All contracts entered into by the City of Danbury for the construction, alteration or repair of any public building or public work shall contain the following provisions concerning treatment of employees.
 - (1) The contractor and all lower tiered subcontractors performing work under the contract shall properly classify workers as employees rather than as independent contractors and treat them accordingly for purposes of workers' compensation, insurance coverage, unemployment taxes, social security and income tax withholding.
 - (2) The contractor and all lower tiered subcontractors must furnish, at their expense, hospitalization and medical benefits and coverage for all of their employees employed on the work under the contract.
 - (3) For purposes of this subsection, any person who meets nine (9) or more of the following criteria shall be considered an employee:
 - (i) The person is required to comply with company instructions about when, where, and how work is done;
 - (ii) The person has been trained by the company;
 - (iii) The person is integrated into the company's general business operations;
 - (iv) The person must render services personally;
 - (v) The person uses assistants provided by the company;
 - (vi) The person has a continuing relationship with the company;
 - (vii) The person is required to work a set number of hours;
 - (viii) The person must devote substantially full time work to the company;
 - (ix) The person works at the company's premises or job site;
 - (x) The person must perform work in a preset sequence;
 - (xi) The person must submit regular progress reports;
 - (xii) The person is paid by the hour, week, or month; payroll deductions include federal and/or state income taxes, FICA insurance;
 - (xiii) The person is reimbursed for all business and travel expenses;
 - (xiv) The person uses company tools and materials;
 - (xv) The person has no significant investment in the facilities that are used;
 - (xvi) The person has no risk of loss;

- (xvii) The person works for only one company;
 - (xviii) The person does not offer services to the public;
 - (xix) The person can be discharged by the company;
 - (xx) The person can terminate the relationship without incurring liability.
- (4) The contractor and all lower tiered subcontractors performing work under the contract and utilizing the services of mechanics, laborers or workmen who are not classified as employees under this subsection shall provide written notice to said mechanics, laborers and workmen of their status as independent contractors. Said notice shall include a provision advising the mechanics, laborers and workmen that they are not eligible for workers' compensation, health insurance, or unemployment compensation from the contractor or subcontractor.
- (e) The contractor shall incorporate the requirements of this section in each subcontract and require that each subcontractor incorporate the requirements of this section in all subsequent subcontracts such that all lower tiered subcontractors performing work under the contract shall be bound by the terms hereof.
- (f) If after review the city determines that the contractor or any lower tiered subcontractor has failed to comply with this section, in addition to any other remedy available to it, the city may require corrective action to be taken by the contractor or it may terminate the contract.
- (Ord. No. 425, 9-4-91; Ord. No. 454, 2-2-93; Ord. No. 545, 5-2-2000)*

Sec. 2-150. - Insurance contracts.

Insurance contracts shall be purchased after consideration of informal proposals from at least three (3) prospective insurers; provided, that prospective insurers are given an opportunity to submit their qualifications and estimates of cost to render the desired service. A board of review composed of the risk manager, the director of finance, corporation counsel and the mayor, or

their respective designees, shall, by majority vote, make all decisions regarding the proposals. In the event that the city seeks to purchase insurance contracts insuring the interests of the Danbury Board of Education, the board of review for such purposes shall include the superintendent of schools, or his or her designee. Such board of review may waive the requirement of obtaining at least three (3) informal proposals where necessary due to unavailability or impracticability. Nothing herein shall be construed to prevent the Danbury Board of Education from acquiring insurance without regard to the provisions of this section if deemed by the board to be in the best interests of the Danbury School District.

(Ord. No. 425, 9-4-91)

Sec. 2-151. - Emergencies; sole-source purchases.

- (a) Whenever an emergency exists by reason of extraordinary conditions or contingencies that could not reasonably be foreseen or because of unusual trade or market conditions, the purchasing agent may, with the approval of the director of finance or the corporation counsel, if it is deemed in the best interest of the city, waive the requirement that purchases be based on the competitive bids as provided in the foregoing sections hereof. A statement of all such purchases made under the provisions of this section shall be set forth by the purchasing agent and distributed to the department involved in the acquisition, the director of finance and the corporation counsel.
- (b) Requisition for items or services deemed a sole source must be accompanied by a memo or letter of explanation, signed by the department head, explaining the reasons for dealing

with one (1) vendor only. Subject to the dollar limitations set forth in section 2-148 hereof, the purchasing agent or the board of awards shall decide on the merits of the sole-source purchase being considered.

(Ord. No. 425, 9-4-91)

Sec. 2-152. - Determining award; contract limited to the lowest responsible bidder; delinquency in the payment of taxes.

- (a) Subject to the provisions contained in this article, any contracts for the purchase of materials or supplies shall be awarded to the lowest responsible bidder. Any person or organization is deemed not to be a responsible bidder if the bidder:
- (1) Is not an equal opportunity employer;
 - (2) Has been found by a court or administrative body of competent jurisdiction to be in violation of the National Labor Relations Act or State of Connecticut Department of Labor provisions concerning wage rates or local preference and relevant derivative regulations and that such violation continues to exist;
 - (3) Is in arrears to the city upon debt or contract or is in default as surety or otherwise upon any obligation to the city, including the payment of real or personal property taxes or sewer/water charges and other obligations.

The payment of any such obligation as hereinbefore referenced is to be construed as a condition to the receipt of any award of any contract for the performance of any work or the furnishing of any services or materials or equipment. The purchasing agent may require, prior to commencement of services or provision of materials or equipment, a written certification in a form acceptable to such agent indicating that any such obligations due and owing to the city have been fully paid.

- (b) The purchasing agent shall have the power to reject any or all bids for one (1) or more commodities or contractual services when the public interest is served thereby, subject to the prior approval of the director of finance or the office of the corporation counsel.
- (c) Whenever any contract is not awarded to the lowest bidder, a full and complete statement of the reason(s) for placing the order elsewhere shall be prepared by the purchasing agent and filed in his records with the other documents pertaining to the award. Any award other than to the low bidder shall only be made upon the prior approval of the board of awards.
- (d) No transaction which is essentially a unit shall be divided for the purpose of evading the intent of this article.

(Ord. No. 425, 9-4-91)

Sec. 2-153. - Disposal of surplus property.

- (a) In the event any material, equipment, furnishing or other personal property is no longer needed by any agency of the city, it shall be transferred to the custody of the purchasing agent. If the purchasing agent shall determine that no other agency has need for such item, he shall declare it surplus. Any such item or group of related items of one hundred dollars (\$100.00) or less in value may be sold by the purchasing agent. If the value of any such item or group of items exceeds one hundred dollars (\$100.00) but does not exceed twenty-five hundred dollars (\$2,500.00), it, or they, may be sold by the purchasing agent with the approval of the mayor of the city, and in all other cases upon prior approval of the common council of the city.
- (b)



Index	City of Middletown, CT	<input type="text"/>
New Laws	Help	Print
CHAPTER 23. COMMON COUNCIL		CHAPTER 31. DEPARTMENTS

This electronic version is provided for informational purposes only. For the official version please contact the municipality.

[Jump to Content](#)

CHAPTER 26. CONTRACTS

ARTICLE I. Equal Opportunity in Employment

- [§ 26-1. Contract provisions required.](#)
- [§ 26-2. Enforcement officer.](#)
- [§ 26-3. Provisions to be included.](#)
- [§ 26-4. Notices to be posted on project site.](#)
- [§ 26-5. Subcontractors and suppliers.](#)
- [§ 26-6. Effect on other laws.](#)

ARTICLE II. Tradesworkers and Laborers

- [§ 26-7. Provisions to be incorporated.](#)
- [§ 26-8. Definitions.](#)
- [§ 26-9. Inspections and enforcement.](#)
- [§ 26-10. Contract Compliance Committee.](#)

ARTICLE III. Adequate Delivery of Service

- [§ 26-11. Provisions to be incorporated.](#)

ARTICLE IV. Apprentices

- [§ 26-12. Provisions to be incorporated.](#)
- [§ 26-13. Exception.](#)
- [§ 26-14. Enforcement.](#)

ARTICLE V. Fair Classification of Tradesmen and Laborers

- [§ 26-15. Compliance with state and federal laws required.](#)
- [§ 26-16. Determination of status as employee.](#)
- [§ 26-17. Enforcement.](#)
- [§ 26-18. Applicability.](#)
- [§ 26-19. Notice of status.](#)

Chapter 26. CONTRACTS

[**HISTORY:** Adopted by the Common Council of the City of Middletown as indicated in article histories. Amendments noted where applicable.]

GENERAL REFERENCES

Financial procedures — See Ch. [44](#).
Purchasing — See Ch. [78](#).

Article I. Equal Opportunity in Employment

[Adopted 4-7-1980; amended 3-1-1993]

§ 26-1. Contract provisions required.

Every contract made by or on behalf of the City of Middletown for the construction, lease, alteration or repair of any public building or public work, or for the purchase, manufacture, sale or distribution of materials, equipment or supplies, shall contain provisions providing for equal opportunity in employment.

§ 26-2. Enforcement officer.

The Human Relations Director, who is the City's Affirmative Action Officer, shall have the authority to enforce this article.

§ 26-3. Provisions to be included.

[Amended 2-3-2003]

- A. Every contract for the construction, alteration or repair of any public building or public work shall contain the following provisions approved by the Human Relations Director:

The contractor agrees and warrants that in the performance of this contract he will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, political belief, Vietnam Era Veteran status, union membership, genetic history, criminal record (unless the provisions of § 46a-60, 46a-80(b) or 46a-81 of the Connecticut General Statutes are controlling or there is a bona fide occupational qualification excluding persons in one of the protected groups), present or past history of mental or physical disability, or sexual orientation in any manner prohibited by the laws of the United States or of the State of Connecticut or the City of Middletown in any manner prohibited by the laws of the United States, the State of Connecticut, or the City of Middletown. The contractor also agrees to provide the Affirmative Action Officer of the City of Middletown with such information that may be requested concerning the employment practices and procedures of the contractor as related to the provisions of this section.

- B. The aforesaid provision shall include, but not be limited to, the following: advertising, recruitment, layoff, termination, rates of pay or other forms of compensation, and conditions or privileges of employment selection for apprenticeship, selection or retention of subcontractors, or in the procurement of materials, equipment or services.

§ 26-4. Notices to be posted on project site.

The contractor shall hereinafter post on the project site, in conspicuous places available for employees and applicants for employment, notices setting forth its nondiscrimination requirements.

§ 26-5. Subcontractors and suppliers.

In all pre-contractual contracts between the contractor and any subcontractor or supplier either for work to be performed under a subcontract or for the procurement of materials, equipment or services, each subcontractor or supplier shall be notified in writing by the contractor of the contractor's obligations under this contract relative to nondiscrimination, and each subcontractor or supplier, by his contracting agent, shall agree to and be bound by the terms of this contract.

§ 26-6. Effect on other laws.

Nothing contained herein is intended to relieve any contractor from compliance with all applicable federal, state and municipal legislation or provisions concerning equal employment opportunity, affirmative action, nondiscrimination and related subjects during the term of its contract on this project.

Article II. Tradesworkers and Laborers

[Adopted 3-1-1982]

§ 26-7. Provisions to be incorporated.

[Amended 2-3-2003; 9-4-2007 by Ord. No. 23-07] All contracts entered into between the City of Middletown and contractors which utilize tradesworkers or laborers by the contractor in the performance of the contract shall incorporate the following provisions:

- A. The contractor shall hire residents of the City of Middletown to perform the necessary labor.
- B. In the event the contractor is restricted by labor contracts, or the required specific skills are not available in the City of Middletown, the contractor may hire tradesworkers and laborers who reside outside the City, provided that prior to commencement of performance the contractor submits its reasons for such action in writing, along with supporting documents, to the City. Such documents may consist of, but are not limited to, labor contracts; lists of names and addresses of tradesworkers, laborers or labor representatives contacted in the City of Middletown; and lists of required skilled labor positions for which personnel were not available in the City of Middletown. The contractor shall submit such relevant documents and other relevant information as may be requested by the City to determine compliance with this article. If the Common Council, after review and report by City staff and the Contract Compliance Committee, determines that the contractor has failed to comply with this article, it may require corrective action to be taken by the contractor to effect compliance or may terminate the contract. If the corrective action required is not done by the contractor, the Council may terminate the contract. If the Council terminates the contract, such termination shall be without any liability of the City of Middletown to the contractor, its subcontractors or any other party.
- C. Prior to commencement of performance, and at any time after commencement of performance of the contract by the contractor, the Purchasing Agent may require submission of relevant documents and other relevant information related to the employment of tradeworkers and laborers in performance of any specific contract with the City. The contractor shall respond promptly to all inquiries and requests for information and documents made by the City.
- D. Prior to commencement of performance of the contract, the contractor shall forward to the department overseeing the contract a written statement which indicates the name of each worker scheduled to perform work for the contractor on the contract, the worker's city of residence and occupational title. The same shall be provided for all subcontractors working on the contract. The department shall forward copies of such statements to the Purchasing Agent, upon receipt. The contractor shall provide written amendments to these statements in order to provide advance notice to the City of the scheduled employment of other workers the contractor chooses to perform work on the contract. These amendments shall be on file with the City before such other workers report to work. The department overseeing the project and the office of the Purchasing Agent shall keep separate files of each construction project.
- E. The contractor shall forward to the department overseeing the contract biweekly payroll records which cover the preceding biweekly contract period, which shall be on forms approved in advance by the City. Copies of these reports shall be forwarded by the City department overseeing the project to the Purchasing Agent, upon receipt.
- F. A copy of this article shall be included and be part of the bid and contract documents. Reference to the page number of this article shall be made in the index or table of contents of the bid and contract documents.
- G. All tradesworkers and laborers hired to perform work under contracts that meet the total cost of construction amounts set out in Connecticut General Statutes § 31-53, as amended, shall be paid at the prevailing rates for the same work in the same trade in the City and shall receive the fringe benefits normally offered at that time for the particular trade. "Prevailing rates" as used herein shall mean the latest

rates published by the Connecticut Labor Department unless otherwise required to qualify for a federal grant pertaining to the contract.

§ 26-8. Definitions.

As used in this article, the following terms shall have the meanings indicated:

CONTRACTOR

Includes the general or prime contractor and all subcontractors performing work under the contractor. The prime or general contractor shall be responsible for the compliance of the subcontractors.

TRADESMEN and LABORERS

The employees employed by the contractor in positions for which prevailing rates are published by the Connecticut Labor Department. Local tradesmen and laborers shall not include workers temporarily residing in the City during the term of a contract.

§ 26-9. Inspections and enforcement.

- A. The department overseeing the contract shall conduct biweekly on-site inspections in order to verify the accuracy of written reports and statements and to assure that the intent of this article is met.
- B. The director of the City department overseeing the project shall notify the Purchasing Agent in writing as to the correctness of written records furnished by the contractors.
- C. The Purchasing Agent shall inform the Contract Compliance Committee whether or not each contractor has forwarded the required written records to the City, hired local laborers and tradesmen to perform the necessary work, and paid the prevailing wages and provided the prevailing fringe benefits to employees.

§ 26-10. Contract Compliance Committee.

- A. There shall be a committee known as the "Contract Compliance Committee." The Committee shall consist of three electors of the City who shall be appointed by the Mayor with the consent of the Common Council. Two of the Committee members shall be Common Council members not of the same political party who shall serve during their term of office, one of whom shall be designated Chairman by the Mayor. The third Committee member shall be a member of an organized trade labor group who shall serve a two-year term commencing on the date of appointment.
- B. If the Committee determines that a contractor is not in compliance, it shall make a report of its findings to the Mayor and Common Council with its recommendations as to whether corrective action should be required of the contractor or whether the contractor should be terminated.
- C. The Purchasing Agent shall provide staff assistance to the Committee.

Article III. Adequate Delivery of Service

[Adopted 4-1-1991]

§ 26-11. Provisions to be incorporated.

All service contracts entered into for the benefit of the citizens of Middletown between the City of Middletown and contractors shall incorporate the following provisions:

- A. A description of the services provided under the contract.
- B. The name, address, and proof of agreement between a second agency which could step in at a moment's notice should the contracting agency not be able to fulfill its designated service.

- C. The contracted agency will be held responsible both financially and administratively with respect to the provision of backup services in the event the agency could not fulfill its contract obligations for Middletown citizens in accordance with the contract with the City.
- D. A twenty-day advance notification period is required of each agency to inform the City of an expected interruption of services per its contract.

Article IV. Apprentices

[Adopted 12-7-1998]

§ 26-12. Provisions to be incorporated.

All contracts entered into between the City of Middletown and contractors which utilize apprenticeable trades or occupations by the contractor in the performance of the contract shall incorporate the following provisions: The contractor shall be affiliated with a state-certified apprenticeship program for each apprenticeable trade or occupation represented in its work force that is not otherwise governed by applicable state statutes and regulations.

§ 26-13. Exception.

In the event the contractor is restricted by labor contracts, the contractor may not have to comply with the provisions of § 26-12, provided that prior to commencement of performance the contractor submits its reasons for such action in writing along with supporting documents to the City. Such documents may consist of, but are not limited to, labor contracts.

§ 26-14. Enforcement.

The contractor shall submit such relevant documents and other relevant information as may be requested by the City to determine compliance with this article. If the Common Council, after review and report by City staff and the Contract Compliance Committee, determines that the contractor has failed to comply with this article, it may require corrective action to be taken by the contractor to effect compliance or may terminate the contract. If the corrective action required is not done by the contractor, the Council may terminate the contract. If the Council terminates the contract, such termination shall be without any liability of the City of Middletown to the contractor, its subcontractors or any other party.

Article V. Fair Classification of Tradesmen and Laborers

[Adopted 9-7-1999]

§ 26-15. Compliance with state and federal laws required.

All contractors entering into contracts with the City of Middletown for the construction, alteration or repair of any public building or public work shall comply with all applicable state and federal laws governing fair treatment of employees, including but not limited to unemployment compensation and workers' compensation. All contractors entering into contracts with the City of Middletown for the construction, alteration or repair of any public building or public work shall comply with all applicable state and federal laws governing fair treatment of independent contractors, including but not limited to payment of the relevant prevailing wage rates.

§ 26-16. Determination of status as employee.

For purposes of this article, any person who meets nine or more of the following criteria shall be considered an employee:

- A. The person is required to comply with company instructions about when, where, and how work is done.
- B. The person has been trained by the company.
- C. The person is integrated into the company's general business operations.

- D. The person must render services personally.
- E. The person uses assistants provided by the company.
- F. The person has a continuing relationship with the company.
- G. The person is required to work a set number of hours.
- H. The person must devote substantially full-time work to the company.
- I. The person works at the company's premises or job site.
- J. The person must perform work in a preset sequence.
- K. The person must submit regular progress reports.
- L. The person is paid by the hour, week, or month; payroll deductions include federal and/or state income taxes, FICA insurance.
- M. The person is reimbursed for all business and travel expenses.
- N. The person uses company tools and materials.
- O. The person has no significant investment in the facilities that are used.
- P. The person has no risk of loss.
- Q. The person works for only one company.
- R. The person does not offer services to the public.
- S. The person can be discharged by the company.
- T. The person can terminate the relationship without incurring liability.

§ 26-17. Enforcement.

Enforcement of this article shall be monitored by the building committee or the director of the City department or agency for which the construction is being done. If the construction, alteration or repair is being overseen by a building committee, the building committee shall monitor compliance with this article. Nothing in this section shall be construed to prevent the Public Works Department, the Contract Compliance Committee, the Purchasing Department or the Common Council from conducting independent investigations and/or initiating enforcement through appropriate channels.

§ 26-18. Applicability.

This article shall only be applicable to contracts signed on or after the date of its passage.

§ 26-19. Notice of status.

Any contractor utilizing the services of tradesmen or laborers who are not classified as employees under this article shall provide written notice to said tradesmen or laborers of their status. Said notice shall include a provision advising the tradesman or laborer that he or she is not eligible for workers' compensation, health insurance, or unemployment compensation from the contractor.

Prev	Top	Next
Change Views	Contents	
Privacy Policy	Help	Terms of Service

CODE OF ORDINANCES
City of
NEW BRITAIN, CONNECTICUT

Codified through
Ordinance No. 31251-2, adopted January 26, 2011.
(Supp. No. 29)

Preliminaries

CODE OF ORDINANCES
CITY OF
NEW BRITAIN, CONNECTICUT

GENERAL ORDINANCES

Published by Municipal Code Corporation
Tallahassee, Florida 1984

OFFICIALS
of the
CITY OF
NEW BRITAIN, CONNECTICUT
AT THE TIME OF THIS CODIFICATION

Anthony J. Cervoni
President Pro Tempore

Brenda J. Kennedy
Majority Leader

Thomas Moore
Assistant Majority Leader

Bert W. Anderson Ralph F. Hedenberg
Robert J. Balocki David S. Malinowski

Sec. 2-555. Reserved.

Editor's note: Item No. 26768-1, an ordinance adopted on Feb. 13, 2002, deleted § 2-555. Former § 2-555 pertained to annual reports and derived from the Code of 1970; and an ordinance adopted in September of 1993.

Secs. 2-556–2-565. Reserved.

DIVISION 3. PROCEDURE FOR FORMAL CONTRACT

Sec. 2-566. When contract required.

- (a) *Purchases over three thousand dollars (\$3,000.00).* All supplies and contractual services, except as otherwise provided in this article when the estimated cost thereof shall exceed three thousand dollars (\$3,000.00), shall be purchased by formal, written contract from the lowest responsible bidder, after due notice inviting proposals.
- (b) *Sale over five thousand dollars (\$5,000.00).* All sales of personal property which has become obsolete or unusable when the estimated value shall exceed five thousand dollars (\$5,000.00) shall be sold by formal, written contract to the highest responsible bidder, after due notice inviting proposals.

(Code 1970, § 2-141; No. 26768-1, 2-13-02)

Sec. 2-567. Notice inviting bids.

- (a) *Newspapers.* Notice inviting bids shall be published once in at least one official newspaper in the city and at least five (5) days preceding the last day set for the receipt of proposals.
- (b) *City of New Britain website.* Notice inviting bids shall be posted on the City of New Britain website.
- (c) *Bidders' list.* The agent shall also solicit sealed bids from all responsible prospective suppliers who have requested their names to be added to a "bidders' list" which the agent shall maintain, by sending them a copy of such newspaper notice or such other notice as will acquaint them with the proposed purchase or sale. The agent may remove from the list any prospective supplier that has failed to send a bid in response to the last two (2) solicitations sent by the agent.
- (d) *Other services.* Any other services deemed appropriate by the purchasing agent.
- (e) *Approval of change orders.* No change order shall be approved without competitive bidding unless it is within the scope of the work of the original project and the total amount of such change order does not exceed twenty-five (25) per cent of the original price.

(Code 1970, § 2-142; Ord. of 2-72; No. 26768-1, 2-13-02; Ord. No. 28482-2, 5-5-05)

- (a) *Local vendors.* If all bids received are for the same total amount or unit price, quality and service being equal, the contract shall be awarded to a local bidder.
- (b) *Foreign vendors.* Where all tie bidders or none of them are local bidders, the agent shall award the contract by drawing lots.

(Code 1970, § 2-148; No. 26768-1, 2-13-02)

Sec. 2-574. Rejection of bids when in public interest.

The agent shall have the authority to reject all bids, parts of all bids or all bids for any one or more supplies or contractual services included in the proposed contract, when the public interest will be served thereby.

(Code 1970, § 2-149)

Sec. 2-575. Rejection of bid where bidder is in default to city.

The agent shall not accept the bid of a contractor who is in default on the payment of taxes, licenses or other monies due the city, or of a contractor, a principal of which is in default on the payment of taxes, licenses or other monies due the city.

The agent shall include in the bid document a form to be executed by a bidder, certifying that said bidder is not in default on the payment of taxes, licenses or other monies due the city.

As used in this section, (1) a "principal" of a contractor shall mean an individual who is a director, an officer, an owner, a limited partner or a general partner; and, (2) "default in the payment of taxes" shall mean the failure to pay taxes by the date such taxes are due and payable or the failure to be current with respect to a delinquent taxes payment schedule as set forth in a written agreement with the tax collector.

(Code 1970, § 2-150; Ord. of 9-95; Ord. of 11-95)

Sec. 2-576. Award of contract.

The agent shall award contracts entered into under the terms of this division to the lowest responsible bidder.

(Code 1970, § 2-151)

Sec. 2-577. Award to other than lowest bidder; reasons must be stated.

When the award is not given to the lowest bidder, a full and complete statement of the reasons for placing the order elsewhere shall be prepared by the agent and filed in his records with the other documents relating to the award.

(Code 1970, § 2-152)

Sec. 2-578. Considerations used in determining lowest responsible bidder.

The purchasing agent shall consider the following in his determination of who is the lowest responsible bidder:

- (1) The ability, capacity and skill of the bidder to perform the contract or provide the service required.
- (2) Whether the bidder can perform the contract or provide the service promptly, or within the time specified, without delay or interference.
- (3) The character, integrity, reputation, judgment, experience and efficiency of the bidder.
- (4) The quality of performance of previous contracts or services.
- (5) The previous and existing compliance by the bidder with laws and ordinances relating to the contract or service, including, but not limited to, the provisions of subdivisions (4) or (5) of subsection (a) of section 2-580 of this Code of Ordinances.
- (6) The sufficiency of the financial resources and ability of the bidder to perform the contract or provide the services.
- (7) The quality, availability, and adaptability of the supplies, or contractual services to the particular use required.
- (8) The ability of the bidder to provide future maintenance and service for the subject of the contract.
- (9) On all new concrete sidewalk and curb installations the purchasing agent shall call for bids on a total job basis and not on a yearly or item by item basis and the lowest bidder for the total job shall be recommended to the common council for its approval.
- (10) (a) For all purchases and contracts except construction and/or capital improvement projects the purchasing agent shall allow a ten (10) percent differential in favor of a city-based bidder and shall cause the bid document to specify the percentage of differential. Any city-based bidder which has submitted a bid shall be awarded the bid provided that such city-based bidder agrees to accept the award of the bid at the amount of the low bid. If more than one (1) city-based bidder submits a bid not more than ten (10) percent higher than the low bid and has agreed to accept the award of the bid at the amount of the low bid, the bidder who has submitted the lower/lowest bid shall be awarded the bid. For purposes of this subsection, a "city-based bidder" shall mean a business with a legal principal place of business located within the City of New Britain. A business shall not be considered a city-based bidder unless evidence satisfactory to the purchasing agent has been submitted with the bid to establish that said business has a bona fide principal place of business within the City of New Britain. Such evidence may include evidence of ownership of or a long-term lease of real estate within the city from which the principal place of business is legally operated or the payment of personal property taxes on the personal property of the business to the City of New Britain.

- (b) For construction projects and capital improvement projects the lowest responsible bidder shall be determined in the following order; unless otherwise prohibited by applicable state or federal legislation:
1. For construction projects and capital improvement projects involving a total contract price of one million dollars (\$1,000,000.00) or less: Any city-based bidder that submitted a low bid not more than eight (8) percent higher than the lowest bid, provided such city-based bidder agrees to accept the award of the bid at the lowest bid amount. If more than one (1) city-based bidder has submitted bids not more than eight (8) percent higher than the lowest bid and has agreed to accept the award of the bid at the lowest bid amount, the lowest responsible bidder shall be the city-based bidder that submitted the lowest bid.
 2. For construction projects and capital improvement projects involving a total contract price of more than one million dollars (\$1,000,000.00) but less than five million dollars (\$5,000,000.00): Any city-based bidder that submitted a low bid not more than four (4) percent higher than the lowest bid, provided such city-based bidder agrees to accept the award of the bid at the lowest bid amount. If more than one (1) city-based bidder has submitted bids not more than four (4) percent higher than the lowest bid and has agreed to accept the award of the bid at the lowest bid amount, the lowest responsible bidder shall be the city-based bidder that submitted the lowest bid.
 3. For construction projects and capital improvement projects involving a total contract price of over five million dollars (\$5,000,000.00): Any city-based bidder that submitted a low bid not more than two (2) percent higher than the lowest bid, provided such city-based bidder agrees to accept the award of the bid at the lowest bid amount. If more than one (1) city-based bidder has submitted bids not more than two (2) percent higher than the lowest bid and has agreed to accept the award of the bid at the lowest bid amount, the lowest responsible bidder shall be the city-based bidder that submitted the lowest bid.
- (c) For all purchases and contracts except construction and/or capital improvement projects the following procedure shall apply in a situation where no city-based bidder submits a bid or where a city-based bidder does not come within the ten (10) percent or chooses not to meet the lowest bid, however, there are bids submitted by companies based in Connecticut and other companies based outside Connecticut. In that event, the purchasing agent shall allow a five (5) percent differential in favor of the Connecticut-based bidder and shall cause the bid document to specify the percentage of differential. If more than one (1) Connecticut-based bidder submits a bid of not more than five (5) percent

higher than the low bid and has agreed to accept the award of the bid at the amount of the low bid, the bidder who has submitted the lower/lowest

Stamford, Connecticut, Code of Ordinances >> - CODE OF ORDINANCES >> CHAPTER 103. -
CONTRACTORS >> ARTICLE I. - IN GENERAL >>

ARTICLE I. - IN GENERAL

Sec. 103-1. - Contractor's statement. 2

Sec. 103-2. - (Reserved) 3

Sec. 103-3. - Certain employment contracts not affected. 4

Sec. 103-4. - Subcontract information. 5

Sec. 103-5. - Compliance required; bid forms. 6

Sec. 103-6. - Annual statement. 7

Sec. 103-7. - Violations and penalties. 8

Sec. 103-8. - Inspection of contract work.

Sec. 103-9. - Acceptance or rejection of contract work.

Sec. 103-10. - Responsible employer obligations of bidding and proposing contractors and subcontractors under such bidders or proposers. 9

Secs. 103-11—103-25. - Reserved.

Sec. 103-1. - Contractor's statement. [482]2

No person shall enter directly or indirectly into any contract for an amount in excess of \$10,000 with the city for the sale or lease of goods, services unless said person shall first supply to the city a statement, on a form to be supplied by the city, which statement shall supply the following:

- A. The name and address of said person.
- B. If said person is a joint venture, trustee, partnership, limited liability company or partnership, the names and addresses of all joint venturers, beneficiaries, partners or members.
- C. If said person is a corporation, the names and addresses of all officers and the names and addresses of all parties owning over 10% of its common stock or over 10% of its preferred stock. If any of said stockholders is a holding corporation, said form shall state the names and addresses of all persons owning a beneficial interest in over 10% of the common or preferred stock of said holding corporation.
- D. The names and positions of all persons listed in said form who are elected or appointed officers or employees of the city.

Sec. 103-2. - (Reserved) [483]3

Sec. 103-3. - Certain employment contracts not affected. [484]4

Sections 103-1 through 103-7 shall not apply to the employment contracts of employees of the city for whom payroll tax and social security are withheld, nor to publicly held corporations whose stock is traded upon any public exchange.

Sec. 103-4. - Subcontract information. [485]5

Anything contained in this chapter notwithstanding, any contractor entering into a contract with the city for an amount in excess of \$10,000 shall first agree to supply to the city the names and addresses of all subcontractors to be used by said contractor under said contract, for any subcontract which shall be for an amount in excess of \$10,000. Said information shall be supplied at the time such subcontracts are entered into.

Sec. 103-5. - Compliance required; bid forms. [486]6

- A. The city shall make compliance with §§ 103-1 through 103-7 a condition to each contract entered into by the city and shall set forth such sections in all bid forms sent out by the city.
- B. In the case of an emergency purchase made pursuant to § 23-18.3 of the Code of Ordinances, all information required by §§ 103-1 through 103-7 shall be filed not later than seven days from said purchase.

Sec. 103-6. - Annual statement. [487]7

No later than January 15 of each year, the Director of Administration shall cause to be filed in the office of the Town and City Clerk the following information for the calendar year ending on the preceding December 31: a list of all vendors supplying goods and services to the City of Stamford giving the name and address of each such vendor and the amount paid to such vendor by the city, with a cumulative total for the year. This section shall apply to all contracts regardless of amount.

Sec. 103-7. - Violations and penalties. [488]8

Any person willfully giving false information or willfully failing to file the required statement or information shall be punished by a fine of not more than ninety dollars (\$90.00). Each such occurrence of false information or willfully failing to file shall constitute a separate offense and be liable to a separate fine.

Sec. 103-8. - Inspection of contract work.

No contract by or on behalf of the city concerning the construction or repair of any city structure or other public facility shall be entered into unless such contract shall contain a clause to the effect that all architects, engineers, general contractors and/or subcontractors inspect said construction or repair work within 30 days before the guaranty or bond covering such construction or repair work shall expire.

Sec. 103-9. - Acceptance or rejection of contract work.

Immediately following the inspection, said architects, engineers, general contractors and/or subcontractors shall submit to the contracting officer of the city a notarized affidavit setting forth either an acceptance of said construction and repair work or an itemized list of work to be corrected, repaired or replaced, and no bond or guaranty shall be released until this section shall have been complied with.

Sec. 103-10. - Responsible employer obligations of bidding and proposing contractors and subcontractors under such bidders or proposers. [489]9

- A. The bidder or proposer and all subcontractors under the bidder or proposer shall comply with the 1996 Stamford Construction Jobs Agreement which is hereby incorporated into and made a part of this ordinance.
- B. The bidder or proposer and all subcontractors under the bidder or proposer must comply with the obligations established under state and federal laws to pay lawful prevailing rate to their employees. The prevailing wage law does not apply to the rehabilitation, remodeling, refinishing, refurbishing, alteration or repair of any project where the total cost of all work performed by contractors and subcontractors is less than \$100,000.00. Under new construction, the law does not apply when the total cost of all work performed is less than \$400,000.00. C.G.S. § 31-53(g).
- C. As may be required by state and federal law or regulations, the bidder or proposer and all subcontractors under the bidder or proposer must maintain and participate in a bona fide apprentice training program for each apprenticeable trade or occupation represented in his or her workforce that is approved and shall use good faith efforts to abide by the apprentice to journeymen ratio for each trade prescribed therein in the performance of the contract.
- D. The bidder or proposer and all subcontractors under the bidder or proposer must furnish, at their expense, hospitalization and medical benefits and/or coverage for all their employees employed on the project. CGS § 31-53(a), (e) and (h).
- E. The bidder or proposer and all subcontractors under the bidder or proposer must properly classify employees as employees rather than as independent contractors and treat them accordingly for purposes of Workers' Compensation, insurance coverage, unemployment taxes, social security and income tax withholdings all in accordance with CGS § 31-53(f), 31-58(f) (definition of employee under wage and hour laws), 31-222(a) (definition of employee under the unemployment statutes), 31-273(c) to (g), 31-275(9) (definition of an employee under the Workers' Compensation statutes) and 31-288(g) (Workers' Compensation fraud).
- F. Any bidder or proposer or subcontractor under the bidder or proposer who fails to comply with any one of obligations A through E, as set forth above, for any period of time shall be, at the sole discretion of the City of Stamford, subject to one or more of the following sanctions:
 - 1. Cessation of work on the project until compliance is obtained;
 - 2. Permanent removal from any further work on the project;
 - 3. Withholding of payment due under any contract or subcontract until compliance is obtained;
 - 4. Liquidated damages payment to the City of Stamford in the amount of 5% of the dollar value of the contract.

In addition to the sanctions outlined above, a general bidder or proposer or contractor shall be jointly and severally liable for the violations of its subcontractors. Any contractor or subcontractor that has been determined by the City of Stamford, or by any court or governmental agency to have violated any of the obligations set forth above may be, at the sole discretion of the City of Stamford, barred from performing any work on future City of Stamford projects as provided in the City's purchasing ordinance (§ 23-18.12 of the Stamford Code of Ordinances).

Secs. 103-11—103-25. - Reserved.

FOOTNOTE(S):

- ⁽⁴⁸²⁾ 2 Amended 4-7-1997 by Ord. No. 811. [\(Back\)](#)
- ⁽⁴⁸³⁾ 3 Editor's note—Former § 103-2, When statement not required, was repealed 4-7-1997 by Ord. No. 811. [\(Back\)](#)
- ⁽⁴⁸⁴⁾ 4 Amended 4-7-1997 by Ord. No. 811. [\(Back\)](#)
- ⁽⁴⁸⁵⁾ 5 Amended 1-7-1985 by Ord. 541; 4-7-1997 by Ord. No. 811. [\(Back\)](#)
- ⁽⁴⁸⁶⁾ 6 Amended 4-7-1997 by Ord. No. 811. [\(Back\)](#)
- ⁽⁴⁸⁷⁾ 7 Amended 4-7-1997 by Ord. No. 811. [\(Back\)](#)
- ⁽⁴⁸⁸⁾ 8 Amended 4-7-1997 by Ord. No. 811; Amended 1-4-1999 by Ord. No. 864. [\(Back\)](#)
- ⁽⁴⁸⁹⁾ 9 Added 6-4-2001 by Ord. No. 958. [\(Back\)](#)



**Town of Mansfield
Agenda Item Summary**

To: Town Council
From: Matt Hart, Town Manager *MWH*
CC: Maria Capriola, Assistant Town Manager; Cherie Trahan, Director of Finance
Date: September 10, 2012
Re: Agreement between the Town of Mansfield, Mansfield Board of Education and Region 19 Board of Education for Financial Management, Information Technology, Risk Management, and Employee Benefits Services

Subject Matter/Background

The attached agreement outlines various administrative services provided by the Town of Mansfield and the Mansfield Board of Education to the Region 19 Board of Education. The agreement between the Town-MBOE-Region 19 for financial management, information technology, risk management, and employee benefits services was originally entered into shortly after the creation of the Regional School District in 1986. This agreement has been modified and extended over the years as the signatories or contracted services expanded.

The current agreement does not break new ground in the amount of services provided, but does formalize the previously unwritten agreement whereby the Town provides the R-19 Board employee benefits services. The proposed contract duration is three years, June 1, 2012 through June 30, 2015.

Financial Impact

The costs and/or revenues associated with the first year of the agreement have been incorporated within the adopted 2012/13 budgets of the respective entities.

Legal Review

This agreement has been reviewed by staff at the Town and both Boards of Education.

Recommendation

Staff recommends that the Town Council authorize the Town Manager to execute the attached agreement. The Mansfield Board of Education will be asked to approve the agreement at its regular meeting on September 13, 2012. Region 19 is ready to execute the agreement as presented.

If the Town Council supports this recommendation, the following motion would be in order:

Move, effective September 10, 2012, to authorize the Town Manager to execute the Agreement between the Town of Mansfield, the Mansfield Board of Education and the Region 19 Board of Education for Financial Management, Information Technology, Risk Management, and Employee Benefits Services, for a term commencing on July 1, 2012 and expiring on June 30, 2015.

Attachments

- 1) Agreement between the Town of Mansfield, Mansfield Board of Education and Region 19 Board of Education for Financial Management, Information Technology Risk Management, and Employee Benefits Services (*with markup*)
- 2) Agreement between the Town of Mansfield, Mansfield Board of Education and Region 19 Board of Education for Financial Management, Information Technology Risk Management, and Employee Benefits Services (*clean*)

AGREEMENT BETWEEN
THE TOWN OF MANSFIELD,
THE MANSFIELD BOARD OF EDUCATION
AND
THE REGION 19 BOARD OF EDUCATION
FOR FINANCIAL MANAGEMENT, INFORMATION TECHNOLOGY,
~~AND~~ RISK MANAGEMENT AND EMPLOYEE BENEFITS SERVICES

This Agreement is made and entered into, effective on the 1st day of July 2012, by and between the Town of Mansfield (hereinafter called the Town), The Mansfield Board of Education (hereinafter called the Mansfield Board) and the Region 19 Board of Education (hereinafter called the R-19 Board).

Whereas, the Town and the Mansfield Board share certain financial management, information technology, and risk management services, and employee benefits services and R-19 Board wishes to engage the Town and the Mansfield Board to render certain financial management, information technology, and risk management, and employee benefits technical services hereinafter described in connection with the administration of Regional School District No. 19; and

Whereas, to the extent that this Agreement is entered into by and between the Mansfield Board and the R-19 Board, such Boards enter into such Agreement in accordance with the provisions of Section 10-158a of the Connecticut General Statutes.

Now therefore the parties do mutually agree as follows:

1. The R-19 Board agrees to engage the Town and the Mansfield Board, and the Town and the Mansfield Board agree to perform the services hereinafter set forth.
2. The Town, working through its Director of Finance, shall do, perform and carry out in a satisfactory and proper manner, a scope of activities established by the R-19 Board and its Superintendent, and acceptable to the Town, for the purpose of providing to the R-19 Board the financial and ~~risk management~~ services described in this Agreement.
3. The Town, working through its Town Manager and his/her designee (e.g. Assistant Town Manager), shall do, perform and carry out in a satisfactory and proper manner, a scope of activities established by the R-19 Board and its Superintendent, and acceptable to the Town, for the purpose of providing to the R-19 Board the risk management and employee benefits services described in this Agreement.
4. The Mansfield Board, working through its Director of Information Technology, shall do, perform and carry out in a satisfactory and proper manner, a scope of activities established by the R-19 Board and its Superintendent, and acceptable to the Mansfield Board and its Superintendent, for the purpose of providing to the R-19 Board the Information Technology services described in this Agreement.

For the period beginning July 1, 2012 to June 30, 2015, the Town and the Mansfield Board will provide the following services:

A. Operations

The Town and the Mansfield Board shall provide R-19 with the following services:

1. Provide the R-19 Board with an automated cash disbursements system which shall provide for a systematic paying of bills.
2. Provide the R-19 Board with an automated cash receipts system which will systematically record the receipt of cash.
3. Provide the R-19 Board with a fully operational payroll system including all necessary State and Federal reporting.
4. Provide the R-19 Board with accounting and bookkeeping services through monthly trial balance preparation for all funds and account groups.
5. Provide the R-19 Board with an automated budget package for all funds.
6. Prepare computer generated financial reports for all funds in the same form as is currently being provided. Any changes in form shall be mutually agreed to by the R-19 Superintendent and the Director of Finance for the Town.
7. Prepare a Comprehensive Annual Financial Report in accordance with GAAP.
8. Prepare monthly, quarterly and annual reports and other reports as needed.
9. Prepare the ED-001 for submission to State Department of Education.
10. Pursuant to a Memorandum of Understanding between the R-19 Board and the Edwin O. Smith Foundation, Inc., provide financial management services to the Foundation as enumerated in the agreement.
11. ~~Provide the R-19 Board with a centralized risk management system for all insurances including: medical, auto, general liability, and workers' compensation.~~
Provide the R-19 Board with Risk Management services that assist in supporting the existing R-19 Board staff in the following areas:
 - Liability, automobile, property (LAP) insurance plan administration
 - Workers compensation administration
 - Safety administration
12. Provide the R-19 Board with Employee Benefits services that assist in supporting the existing R-19 Board staff in the following areas:
 - Health insurance plan administration
 - Life insurance plan administration
 - Flexible benefits plan administration
 - Optional retirement plan administration (457 plans, 403 plans)
 - Employee wellness programming
 - Collective bargaining as it relates to employee benefits
 - GASB 45 compliance (OPEB actuarial analysis coordination) biannually
 - Other employee benefits services/issues as needed
13. Provide the R-19 Board with Information Technology services that assist in supporting the existing R-19 Board Staff in the following areas:
 - Local Area Network (LAN) management
 - System Usage

- Disk space usage
 - Backup verification
 - Overall Network Health
 - Error Logs
 - System Performance
 - Installation of updates: Antivirus software and definitions
 - Configure user ID's and e-mail addresses when required
 - Shared network printing
14. Provide the R-19 Board with Information Technology services that assist in supporting the existing R-19 Board in the following areas:
- 1) Wide Area Network (WAN) management
 - 2) Remote Access Service Assistance
 - 3) Internet Connectivity
15. Provide the R-19 Board with other services and technological support that are requested by the R-19 Superintendent and are acceptable to the Town and the Mansfield Board, as applicable.

B. Personnel

1. The Town will provide the personnel necessary to process the accounting information as provided by the R-19 Board personnel, to ensure a satisfactory end result.
2. It is mutually recognized by the parties that the Director of Finance has the authority on questions dealing with the design and implementation of the Financial Management System. Should there be changes to the Financial Management System requiring additional budget expenditures, such changes shall be presented by the Director of Finance to the Town and Mansfield Board for approval prior to proceeding with same.
3. The Town, working through its Town Manager and his/her designee (e.g. Assistant Town Manager), will provide to the R-19 Board services for risk management and employee benefits coordination (on the basis of shared services with the Town) as described in this agreement. It is mutually recognized by the parties that the Town Manager or his/her designee (e.g. Assistant Town Manager) has the authority on questions dealing with the implementation of the health insurance pool and plans, life insurance plans, and flexible benefits plans.
4. The Mansfield Board will provide to the R-19 Board the services of the Mansfield Board's Director of Information Technology (on the basis of shared services with the Mansfield Board). In providing such services, the Mansfield Board's Director of Information Technology shall perform for the R-19 Board the services described in the job description attached hereto, which may be amended from time to time by the Mansfield Board. In carrying out such services for the benefit of the R-19 Board, the Mansfield Board's Director of Information Technology shall have the authority to coordinate and direct the activity of all IT personnel at all locations insofar as their activities directly impact the integration of technology into the curriculum and/or for

the use of technology in support of the overall operations of either school district. The Mansfield Board's Director of Information Technology shall be an employee of the Mansfield Board only.

5. The Town will provide to the R-19 Board the services of the Town's Director of Finance who shall serve as the R-19 Board's Business Manager (on the basis of shared services with the Town). In providing such services, the Town's Director of Finance shall perform for the R-19 Board such services as described in the job description attached hereto, or as requested by the R-19 Superintendent of schools. The attached job description may be amended from time to time by the Town.

C. Compensation

1. The Town agrees to provide to the R-19 Board the financial services described in this Agreement at a cost not to exceed \$91,680 for fiscal year 2012-2013. The Mansfield Board agrees to provide to the R-19 Board the Information Technology services described in this Agreement at a cost not to exceed \$103,950 for fiscal year 2012-2013. The Town, Mansfield Board, and R-19 Board mutually agree that one half of the Assistant Town Manager's salary be funded through the Health Insurance Fund and that such cost be included in the calculation of health insurance premiums. The above costs shall be adjusted annually for fiscal years 2013-2014 and 2014-2015, as mutually agreed.
2. For budget purposes, the Town, the Mansfield Board and the R-19 Board shall share the cost of the Director of Finance position as follows: Town 40%; Mansfield Board 30%; and R-19 Board 30%. The above amount shall be adjusted annually during the remainder of this Agreement, based upon the Town Administrator's Pay Plan for nonunion personnel.

D. Termination for Cause an/or Convenience

During the term of this Agreement, the Town, the Mansfield Board or the R-19 Board may terminate this contract at the end of any given fiscal year. Notice of such termination must be given in writing to all parties to this Agreement at least 120 days prior to the end of the fiscal year.

E. Changes

The Town, the Mansfield Board or the R-19 Board may, from time to time, require changes in the scope of services of this agreement. Such changes, including any increase or decrease in the amount of compensation to be paid to the Town or Mansfield Board, as applicable, as mutually agreed upon by and between the Town, the Mansfield Board and the R-19 Board, shall be incorporated in written amendments to this contract.

IN WITNESS WHEREOF, the parties hereto have authorized their designated representatives to set their hands.

For the Town of Mansfield:

Matthew W. Hart, Town Manager

Date

Witness

For the Mansfield Board of Education:

Fred A. Baruzzi, Superintendent

Date

Witness

For the Region 19 Board of Education:

Bruce Silva, Superintendent

Date

Witness

AGREEMENT BETWEEN
THE TOWN OF MANSFIELD,
THE MANSFIELD BOARD OF EDUCATION
AND
THE REGION 19 BOARD OF EDUCATION
FOR FINANCIAL MANAGEMENT, INFORMATION TECHNOLOGY,
RISK MANAGEMENT AND EMPLOYEE BENEFITS SERVICES

This Agreement is made and entered into, effective on the 1st day of July 2012, by and between the Town of Mansfield (hereinafter called the Town), The Mansfield Board of Education (hereinafter called the Mansfield Board) and the Region 19 Board of Education (hereinafter called the R-19 Board).

Whereas, the Town and the Mansfield Board share certain financial management, information technology, risk management services, and employee benefits services and R-19 Board wishes to engage the Town and the Mansfield Board to render certain financial management, information technology, risk management, and employee benefits technical services hereinafter described in connection with the administration of Regional School District No. 19; and

Whereas, to the extent that this Agreement is entered into by and between the Mansfield Board and the R-19 Board, such Boards enter into such Agreement in accordance with the provisions of Section 10-158a of the Connecticut General Statutes.

Now therefore the parties do mutually agree as follows:

1. The R-19 Board agrees to engage the Town and the Mansfield Board, and the Town and the Mansfield Board agree to perform the services hereinafter set forth.
2. The Town, working through its Director of Finance, shall do, perform and carry out in a satisfactory and proper manner, a scope of activities established by the R-19 Board and its Superintendent, and acceptable to the Town, for the purpose of providing to the R-19 Board the financial services described in this Agreement.
3. The Town, working through its Town Manager and his/her designee (e.g. Assistant Town Manager), shall do, perform and carry out in a satisfactory and proper manner, a scope of activities established by the R-19 Board and its Superintendent, and acceptable to the Town, for the purpose of providing to the R-19 Board the risk management and employee benefits services described in this Agreement.
4. The Mansfield Board, working through its Director of Information Technology, shall do, perform and carry out in a satisfactory and proper manner, a scope of activities established by the R-19 Board and its Superintendent, and acceptable to the Mansfield Board and its Superintendent, for the purpose of providing to the R-19 Board the Information Technology services described in this Agreement.

For the period beginning July 1, 2012 to June 30, 2015, the Town and the Mansfield Board will provide the following services:

A. Operations

The Town and the Mansfield Board shall provide R-19 with the following services:

1. Provide the R-19 Board with an automated cash disbursements system which shall provide for a systematic paying of bills.
2. Provide the R-19 Board with an automated cash receipts system which will systematically record the receipt of cash.
3. Provide the R-19 Board with a fully operational payroll system including all necessary State and Federal reporting.
4. Provide the R-19 Board with accounting and bookkeeping services through monthly trial balance preparation for all funds and account groups.
5. Provide the R-19 Board with an automated budget package for all funds.
6. Prepare computer generated financial reports for all funds in the same form as is currently being provided. Any changes in form shall be mutually agreed to by the R-19 Superintendent and the Director of Finance for the Town.
7. Prepare a Comprehensive Annual Financial Report in accordance with GAAP.
8. Prepare monthly, quarterly and annual reports and other reports as needed.
9. Prepare the ED-001 for submission to State Department of Education.
10. Pursuant to a Memorandum of Understanding between the R-19 Board and the Edwin O. Smith Foundation, Inc., provide financial management services to the Foundation as enumerated in the agreement.
11. Provide the R-19 Board with Risk Management services that assist in supporting the existing R-19 Board staff in the following areas:
 - Liability, automobile, property (LAP) insurance plan administration
 - Workers compensation administration
 - Safety administration
12. Provide the R-19 Board with Employee Benefits services that assist in supporting the existing R-19 Board staff in the following areas:
 - Health insurance plan administration
 - Life insurance plan administration
 - Flexible benefits plan administration
 - Optional retirement plan administration (457 plans, 403 plans)
 - Employee wellness programming
 - Collective bargaining as it relates to employee benefits
 - GASB 45 compliance (OPEB actuarial analysis coordination) biannually
 - Other employee benefits services/issues as needed
13. Provide the R-19 Board with Information Technology services that assist in supporting the existing R-19 Board Staff in the following areas:
 - Local Area Network (LAN) management
 - System Usage
 - Disk space usage
 - Backup verification

- Overall Network Health
 - Error Logs
 - System Performance
 - Installation of updates: Antivirus software and definitions
 - Configure user ID's and e-mail addresses when required
 - Shared network printing
14. Provide the R-19 Board with Information Technology services that assist in supporting the existing R-19 Board in the following areas:
- 1) Wide Area Network (WAN) management
 - 2) Remote Access Service Assistance
 - 3) Internet Connectivity
15. Provide the R-19 Board with other services and technological support that are requested by the R-19 Superintendent and are acceptable to the Town and the Mansfield Board, as applicable.

B. Personnel

1. The Town will provide the personnel necessary to process the accounting information as provided by the R-19 Board personnel, to ensure a satisfactory end result.
2. It is mutually recognized by the parties that the Director of Finance has the authority on questions dealing with the design and implementation of the Financial Management System. Should there be changes to the Financial Management System requiring additional budget expenditures, such changes shall be presented by the Director of Finance to the Town and Mansfield Board for approval prior to proceeding with same.
3. The Town, working through its Town Manager and his/her designee (e.g. Assistant Town Manager), will provide to the R-19 Board services for risk management and employee benefits coordination (on the basis of shared services with the Town) as described in this agreement. It is mutually recognized by the parties that the Town Manager or his/her designee (e.g. Assistant Town Manager) has the authority on questions dealing with the implementation of the health insurance pool and plans, life insurance plans, and flexible benefits plans.
4. The Mansfield Board will provide to the R-19 Board the services of the Mansfield Board's Director of Information Technology (on the basis of shared services with the Mansfield Board). In providing such services, the Mansfield Board's Director of Information Technology shall perform for the R-19 Board the services described in the job description attached hereto, which may be amended from time to time by the Mansfield Board. In carrying out such services for the benefit of the R-19 Board, the Mansfield Board's Director of Information Technology shall have the authority to coordinate and direct the activity of all IT personnel at all locations insofar as their activities directly impact the integration of technology into the curriculum and/or for the use of technology in support of the overall operations of either school district.

The Mansfield Board's Director of Information Technology shall be an employee of the Mansfield Board only.

5. The Town will provide to the R-19 Board the services of the Town's Director of Finance who shall serve as the R-19 Board's Business Manager (on the basis of shared services with the Town). In providing such services, the Town's Director of Finance shall perform for the R-19 Board such services as described in the job description attached hereto, or as requested by the R-19 Superintendent of schools. The attached job description may be amended from time to time by the Town.

C. Compensation

1. The Town agrees to provide to the R-19 Board the financial services described in this Agreement at a cost not to exceed \$91,680 for fiscal year 2012-2013. The Mansfield Board agrees to provide to the R-19 Board the Information Technology services described in this Agreement at a cost not to exceed \$103,950 for fiscal year 2012-2013. The Town, Mansfield Board, and R-19 Board mutually agree that one half of the Assistant Town Manager's salary be funded through the Health Insurance Fund and that such cost be included in the calculation of health insurance premiums. The above costs shall be adjusted annually for fiscal years 2013-2014 and 2014-2015, as mutually agreed.
2. For budget purposes, the Town, the Mansfield Board and the R-19 Board shall share the cost of the Director of Finance position as follows: Town 40%; Mansfield Board 30%; and R-19 Board 30%. The above amount shall be adjusted annually during the remainder of this Agreement, based upon the Town Administrator's Pay Plan for nonunion personnel.

D. Termination for Cause an/or Convenience

During the term of this Agreement, the Town, the Mansfield Board or the R-19 Board may terminate this contract at the end of any given fiscal year. Notice of such termination must be given in writing to all parties to this Agreement at least 120 days prior to the end of the fiscal year.

E. Changes

The Town, the Mansfield Board or the R-19 Board may, from time to time, require changes in the scope of services of this agreement. Such changes, including any increase or decrease in the amount of compensation to be paid to the Town or Mansfield Board, as applicable, as mutually agreed upon by and between the Town, the Mansfield Board and the R-19 Board, shall be incorporated in written amendments to this contract.

IN WITNESS WHEREOF, the parties hereto have authorized their designated representatives to set their hands.

For the Town of Mansfield:

Matthew W. Hart, Town Manager

Date

Witness

For the Mansfield Board of Education:

Fred A. Baruzzi, Superintendent

Date

Witness

For the Region 19 Board of Education:

Bruce Silva, Superintendent

Date

Witness



**Town of Mansfield
Agenda Item Summary**

To: Town Council
From: Matt Hart, Town Manager *MWH*
CC: Maria Capriola, Assistant Town Manager; Cherie Trahan, Director of Finance
Date: September 10, 2012
Re: Quarterly Financial Reports

Subject Matter/Background

Enclosed please find the fourth quarter financial report for the period ending June 30, 2012. The Finance Committee will review this item at its meeting on Monday night.

Recommendation

If the Finance Committee wishes to recommend the acceptance of the financial statements, the following motion is in order:

Move, effective September 10, 2012, to accept the Financial Statements Dated June 30, 2012.

Attachments

- 1) Financial Statements Dated June 30, 2012

TOWN OF MANSFIELD
MANSFIELD BOARD OF EDUCATION

Quarterly Financial Statements

(For the Quarter Ending June 30, 2012)

Finance Department
Cherie Trahan
Director of Finance
September 10, 2012

TABLE OF CONTENTS
JUNE 30, 2012

Letter of Transmittal

Overview – Revenues/Expenditures.....

Preliminary Schedule of Changes in Fund Balance.....

Trial Balance – GAAP Basis.....

Day Care Fund

Cafeteria Fund

Parks and Recreation Fund

CNR Fund Roll Forward

Capital Projects – Revenue and Expenditure Summary

Debt Service Fund

Solid Waste Disposal Fund

Health Insurance Fund

Workers’ Compensation Fund

Management Services Fund

Cemetery Fund

Long Term Investment Pool

Eastern Highlands Health District

Downtown Partnership.....

Changes in Debt Outstanding – Schools and Towns

Detail of Debt Outstanding – Schools and Towns

Summary of Short Term Investments.....

Amounts and Percentage of Tax Collections

Open Space Report.....

Recap of Special Education Reserve Fund

Status of Deferred Maintenance Account.....

Town of Mansfield YTD Revenue Summary by Source

Town of Mansfield Expenditure Summary by Activity

Mansfield Board of Education Expenditure Summary by Activity

Town of Mansfield		Memorandum
--------------------------	--	-------------------

*To: Mansfield Town Council
Mansfield Board of Education*

From: Cherie Trahan, Director of Finance

Date: September 10, 2012

Subject: June 30, 2012 Quarterly Financial Statements

Attached please find the financial statements for the year ending June 30, 2012.

Attachment

OVERVIEW

GENERAL FUND BUDGET

REVENUES:

Tax Collections

The total collection rate through June 30, 2012 is 98.4%, as compared to 98.8% through June 30, 2011. Real estate collections, which account for approximately 85% of the levy, are 98.9% as compared to 99.1% for last year. Collections in motor vehicles are 94.8% as compared to 96.4% at June 30, 2011.

Licenses and Permits

Conveyance taxes received for the fiscal year are \$110,652 or 55.3% of the annual budget. We were therefore short of budget by \$89,348. Building permits received were \$183,917 or \$23,917 more than budget.

Federal Support for General Government

No major change from the budget.

State Support for Education

We received \$10,065,506 from the State for the ECS grant or \$5,174 less than budget. We received \$116,428 for the Transportation grant from the State or \$4,972 less than budget.

State Support for General Government

The Pilot grant is by far the largest single grant within this category and we received \$7,058,654 or \$2,524 more than budget. Based on early State estimates for the State Revenue Sharing grant, we have accrued \$54,054 in due from the State.

Charges for Services

Charges for services are primarily fixed by contract and are normally received during the year. The primary exceptions are: Recording, where we received \$62,032 or \$7,032 more than budget and Police Services which are based on expenditures.

Fines and Forfeitures

No major change from budget.

Miscellaneous

This area is primarily interest income and the telecommunications service payment. Total interest income through June 30, 2012 is \$22,392 as compared to \$28,090 for the same period

last year. STIF interest rate for June, 2012 is 0.12% as compared to 0.21% in June 2011. The amount of the telecommunications payment was \$54,248.

GENERAL FUND BUDGET - EXPENDITURES

Town Expenditures

We have filed for (2) FEMA grants to help cover the costs related to storm recovery and cleanup. Storm Irene's grant was approved for approximately \$74,000 and we expect Storm Alfred will be approximately the same.

Board Expenditures

There were no significant issues for the Board of Education.

DAY CARE FUND

The Day Care Fund ended the fiscal year with revenues exceeding expenditures by \$19,261. Fund balance at July 1, 2011 of \$228,292 increased to \$247,553 at June 30, 2012.

CAFETERIA FUND

Revenues exceeded expenditures by \$52,646 for the period. Fund balance at July 1, 2011 increased from \$318,666 to \$371,312 at June 30, 2012. A \$20,000 transfer from the Board of Education is included.

RECREATION PROGRAM FUND

The Recreation Program Fund ended the period with revenues exceeding expenditures by \$28,961. Fund Balance increased from \$88,388 to \$117,349.

CAPITAL NONRECURRING FUND

We received \$211,700 for the Pequot/Mohegan Grant. Ambulance user fees were \$73,915 less than anticipated and we therefore needed an additional transfer from the General Fund of \$25,000 to maintain a positive fund balance.

DEBT SERVICE FUND

Fund Balance decreased from \$130,145 on July 1, 2011 to \$79,431 at June 30, 2012.

ENTERPRISE/INTERNAL SERVICE FUNDS

Solid Waste Fund

Expenditures exceeded revenues by \$35,320. Retained Earnings decreased from \$245,725 at July 1, 2011 to \$210,405 at June 30, 2012.

Health Insurance Fund (Town of Mansfield, Mansfield BOE, and Region 19 BOE)

Revenues and Other Financing sources were more than expenditures for the fiscal year by \$198,271. Fund Equity increased from \$3,706,795 (including contributed capital) at July 1, 2011 to \$3,905,066 at June 30, 2012. Claims for the fiscal year have averaged \$463,669 as compared to \$501,124 for the prior year, a decrease of 7.5%. Medical inflation is currently running at about 10%. To be considered fully funded, the Health Insurance Fund needs to maintain a fund balance of \$1.6 million at a minimum.

Worker's Compensation Fund

Operating expenditures exceeded revenues by \$5,398 for the fiscal year. Retained Earnings decreased from \$56,691 to \$51,293 at June 30, 2012.

Management Services Fund

Management Services Fund revenues through June 30, 2012 exceeded expenditures by \$219,253. Fund Balance increased from \$1,517,120 at July 1, 2011 to \$1,736,373 at June 30, 2012.

CEMETERY FUND

Retained earnings in the Cemetery Fund decreased from \$322,251 at July 1, 2011 to \$307,261 at June 30, 2012. The major costs for this fund are mowing and cemetery maintenance.

LONG TERM INVESTMENT POOL

The pool experienced a \$51,292 increase in the market value of its portfolio for the period July 1, 2011 to June 30, 2012.

EASTERN HIGHLANDS HEALTH DISTRICT

Operating revenues exceeded expenditures by \$75,450 and Fund Balance increased from \$310,607 to \$386,058. Service fee revenues remained below budget this year, but savings primarily in salaries and benefits offset the loss in revenues.

MANSFIELD DOWNTOWN PARTNERSHIP

Operating revenues exceeded expenditures by \$13,696 through June 30, 2012, and Fund Balance increased from \$289,578 to \$303,274.

Town of Mansfield
General Fund

Preliminary Schedule of Changes in Fund Balance - Legal Basis

For the Year Ended June 30, 2012

Designated for 2011/2012 Budget	\$ -
Undesignated	<u>2,070,077</u>

Fund Balance, July 1, 2011	\$ 2,070,077
----------------------------	--------------

	Original Budget	Amendment	Final Budget	Estimated Actual	Budget Comparison	
Total revenues and transfers in	\$ 44,331,150	\$ -	\$ 44,331,150	\$ 44,367,322	\$ 36,172	
<hr/>						
Appropriation of fund balance						
Total appropriation, transfers in	44,331,150	-	44,331,150	44,367,322	36,172	
<hr/>						
Total expenditures and transfers out:						
Town	13,829,750		13,829,750	13,781,934	47,816	
Mansfield Board of Education	20,572,170	15,990	20,588,160	20,584,915	3,245	
Contribution to Region #19 Board of Ed	9,729,230		9,729,230	9,729,230	-	
Total expenditures	44,131,150	15,990	44,147,140	44,096,079	51,061	
Results from budgetary operations	\$ 200,000	\$ (15,990)	\$ 184,010	\$ 271,243	\$ 87,233	<u>271,243</u>
Fund balance, June 30, 2012						<u>\$ 2,341,320</u>

Fund balance:

Designated for 2012/13 budget	
Undesignated	<u>2,341,320</u>

	<u>\$ 2,341,320</u>
--	---------------------

TOWN OF MANSFIELD
 TRIAL BALANCE
 June 30, 2012

GENERAL FUND	DEBIT	CREDIT
Cash Equivalent Investments	\$ 5,423,095	\$ -
Working Cash Fund	4,400	
Accounts Receivable	270,791	
Taxes Receivable - Current	410,862	
Taxes Receivable - Delinquent	240,217	
Due from Other Funds	442,000	
Accounts and Other Payables		3,024,996
Refundable Deposits		97,998
Due to Other Funds		354,626
Deferred Revenue - Taxes		572,855
Taxes Collected in Advance		146,042
Encumbrances Payable - Prior Year		253,527
Liquidation - Prior Year Encumbrances	319,057	
Fund Balance - Undesignated		2,146,237
Actual Expenditures	43,842,551	
Actual Revenues		44,356,692
	<u>\$ 50,952,973</u>	<u>\$ 50,952,973</u>

DAYCARE COMBINED PROGRAM
 COMPARATIVE STATEMENT OF REVENUES AND EXPENDITURES
 AND CHANGES IN FUND BALANCE
 FOR THE PERIOD ENDED JUNE 30, 2012
 (with comparative totals for June 30, 2011)

	BUDGET	JUNE 30	
	2011/12	2012	2011
REVENUES:			
Intergovernmental - Nat'l. School Lunch	\$ 37,000	\$ 37,384	\$ 32,450
Intergovernmental - Day Care Grant	318,128	332,983	334,841
School Readiness Program	25,740	36,291	32,890
UConn	78,750	78,750	78,750
Fees	833,200	788,813	703,674
Subsidies	25,000	65,490	83,511
Total Revenues	1,317,818	1,339,711	1,266,116
EXPENDITURES:			
Administrative	179,751	190,212	189,157
Direct Program	988,958	963,233	990,843
Purchased Property Services	16,750	18,512	16,466
Repairs & Maintenance	5,500	10,337	4,762
Insurance	18,000	8,308	14,446
Other Purchased Services	12,100	13,897	8,494
Food Service Supplies	37,000	41,786	39,491
Energy	28,500	28,500	28,500
Supplies & Miscellaneous	17,350	16,895	14,129
Capital Projects		27,563	
Equipment	1,500	1,207	454
Total Expenditures	1,305,409	1,320,450	1,306,742
EXCESS/(DEFICIENCY)	12,409	19,261	(40,626)
FUND BALANCE, JULY 1	228,292	228,292	268,918
FUND BALANCE, END OF PERIOD	\$ 240,701	\$ 247,553	\$ 228,292

MANSFIELD BOARD OF EDUCATION
CAFETERIA FUND
BALANCE SHEET
AS OF JUNE 30, 2012
(with comparative totals for JUNE 30, 2011)

	June 30	
	2012	2011
<u>Assets</u>		
Cash	\$ 332,650	\$ 215,446
Due From State	47,900	46,780
Accounts Receivable	509	
Inventory	15,568	67,178
Total Assets	\$ 396,627	\$ 329,404
<u>Liabilities and Fund Balances</u>		
<u>Liabilities</u>		
Accounts Payable	\$ 3,720	\$ 1,695
Due to Other Funds	7,528	9,043
Total Liabilities	11,248	10,738
<u>Fund Balance</u>		
Fund Balance:		
Deferred Revenue	14,067	
Unreserved, undesignated	371,312	318,666
Total Fund Balance	385,379	318,666
Total Liabilities and Fund Balance	\$ 396,627	\$ 329,404

MANSFIELD BOARD OF EDUCATION
CAFETERIA FUND
COMPARATIVE STATEMENT OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE
FOR THE PERIOD ENDED JUNE 30, 2012
(with comparative totals for JUNE 30, 2011)

	BUDGET	JUNE 30	
	2011/12	2012	2011
Operating Revenues:			
Intergovernmental	\$ 175,972	\$ 302,659	\$ 224,108
Sales of Food	578,860	586,712	581,572
Other	58,216	58,913	80,310
Total Operating Revenues	813,048	948,284	885,990
Other Financing:			
Transfers In - General Fund Board	20,000	20,000	20,000
Total Revenues & Other Financing	833,048	968,284	905,990
Operating Expenditures:			
Salaries & Benefits	570,865	522,578	539,561
Food & Supplies	278,785	380,240	254,261
Professional and Technical	2,500	2,500	2,500
Equipment - Other	10,000	10,320	3,631
Equipment Repairs & Contracts	2,000		2,100
Total Operating Expenditures	864,150	915,638	802,053
Excess/(Deficiency)	(31,102)	52,646	103,937
Fund Balance, July 1	318,666	318,666	214,729
Fund Balance, End of Period	\$ 287,564	\$ 371,312	\$ 318,666

Mansfield Parks and Recreation
Balance Sheet
As of June 30, 2012
(with comparative totals for June 30, 2011)

	June 30	
	2012	2011
<u>Assets</u>		
Cash	\$ 338,422	\$ 219,548
Due From State Government	8,000	
Accounts Receivable	1,652	-
Total Assets	\$ 348,074	\$ 219,548
 <u>Liabilities and Fund Balances</u>		
<u>Liabilities</u>		
Accounts Payable	\$ 26,362	\$ 21,450
Due to Other Funds	8,244	9,100
Total Liabilities	34,606	30,550
 <u>Fund Balance</u>		
Fund Balance:		
Deferred Revenue	186,398	100,610
Reserve for Encumbrances	9,721	911
Unreserved, undesignated	117,349	87,477
Total Fund Balance	313,468	188,998
Total Liabilities and Fund Balance	\$ 348,074	\$ 219,548

MANSFIELD PARKS & RECREATION FUND
REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE
AS OF JUNE 30, 2012
(With comparative totals as of June 30, 2012)

	Budget	June 30	
	2011/12	2012	2011
REVENUES:			
Membership Fees	\$ 900,000	\$ 817,668	\$ 827,401
Program Fees	641,990	634,007	595,728
Fee Waivers	122,020	128,683	120,316
Daily Admission Fees	63,250	60,158	63,692
Rent - Facilities/Parties	32,000	26,277	31,018
Employee Wellness	20,160	18,620	17,700
Rent - E.O. Smith	11,250	13,100	13,655
Contributions	4,050	6,160	4,462
Sale of Merchandise	5,100	5,085	3,264
Sale of Food	3,200	585	2,793
Other	3,400	4,531	4,367
Total Revenues	1,806,420	1,714,874	1,684,396
OPERATING TRANSFERS:			
General Fund - Recreation Administrative	314,160	314,160	265,760
General Fund - Community Programs	75,000	75,000	75,000
CNR Fund - Bicent. Pond	25,000	25,000	25,000
CNR Fund - Teen Center	25,000	25,000	25,000
Total Rev. & Op Trans	2,245,580	2,154,034	2,075,156
EXPENDITURES:			
Salaries & Wages	1,294,480	1,231,732	1,220,836
Benefits	261,960	254,761	249,822
Professional & Technical	147,100	153,215	142,797
Purchased Property Services	33,600	34,778	42,830
Repairs & Maintenance	22,200	18,049	20,190
Other Purchased Services/Rentals	151,650	125,638	139,368
Other Supplies	8,320	6,355	5,348
Energy	136,750	128,750	136,750
Building Supplies	46,900	41,675	45,825
Recreation Supplies	74,190	80,855	71,059
Equipment	46,100	46,965	35,000
Improvements	2,300	2,300	
Total Expenditures	2,225,550	2,125,073	2,109,825
EXCESS/DEFICIENCY	20,030	28,961	(34,669)
FUND BALANCE, JULY 1	88,388	88,388	122,146
FUND BALANCE, End of Period	\$ 102 108,418	\$ 117,349	\$ 87,477

TOWN OF MANSFIELD
 CAPITAL AND NONRECURRING RESERVE FUND BUDGET
 ESTIMATED REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE
 FISCAL YEAR 2011/12

	Actual 07/08	Actual 08/09	Actual 09/10	Actual 10/11	Actual 11/12	Projected 12/13	Projected 13/14	Projected 14/15	Projected 15/16	Projected 16/17
SOURCES:										
Revenues:										
General Fund Contribution	644,000	85,000	685,000	387,500	561,000	1,014,210	1,258,000	1,350,000	1,450,000	1,525,000
Board Contribution			85,000							
Ambulance User Fees	289,884	304,089	279,790	362,821	251,085	330,000	330,000	330,000	330,000	330,000
Other		30,813	10,464							
Sewer Assessments	14,400					3,000	3,000	3,000	3,000	3,000
Pequot Funds	389,462	349,407	191,333	193,910	211,700	212,000	212,000	212,000	212,000	212,000
Total Sources	1,337,746	769,309	1,251,587	944,231	1,023,785	1,559,210	1,803,000	1,895,000	1,995,000	2,070,000
USES:										
Operating Transfers Out:										
Community Events										
Management Services Fund	200,000	150,000	150,000	150,000	175,000	175,000	200,000	200,000	200,000	200,000
Debt Service Sinking Fund	200,000	75,000	150,000	150,000						
Retire Debt for Fire Truck	70,000		80,000	80,000						
Property Tax Revaluation Fund	25,000	25,000	25,000	35,000	25,000	25,000				
Capital Fund	458,300	307,124	395,000	457,891	730,079	1,208,000	1,481,000	1,548,500	1,693,335	1,828,260
Capital Fund - Storrs Center Reserve						96,210	96,210	96,210	96,210	96,210
Capital Fund - MMS Heating Conversion			376,000							
Parks & Recreation Operating Subsidy	251,538	50,000	50,000	50,000	50,000					
Retiree Medical Insurance Fund	50,000									
Compensated Absences Fund	50,000	40,000	50,000	70,000	55,000	58,000	57,000			
Downtown Partnership	63,000									
Total Uses	1,367,838	647,124	1,276,000	992,891	1,035,079	1,562,210	1,834,210	1,844,710	1,989,545	2,124,470
Excess/(Deficiency)	(30,092)	122,185	(24,413)	(48,660)	(11,294)	(3,000)	(31,210)	50,290	5,455	(54,470)
Fund Balance/(Deficit) July 1	(5,817)	(35,909)	86,276	61,863	13,203	1,909	(1,091)	(32,301)	17,989	23,444
Fund Balance, June 30	(\$35,909)	\$86,276	\$61,863	\$13,203	\$1,909	(\$1,091)	(\$32,301)	\$17,989	\$23,444	(\$31,026)

Revenue/Expenditure Summary

Revenues

Expenses

Account and Description	Revenues			Expenses			
	<u>Adjusted Budget</u>	<u>Received</u>	<u>Balance</u>	<u>Adjusted Budget</u>	<u>Encumbrance</u>	<u>Expenses</u>	<u>Balance</u>
General Government	520,800	390,800	130,000	520,800	-	423,252	97,548
Community Development	27,910,030	9,120,672	18,789,359	27,910,030	5,703,930	14,349,235	7,856,865
Public Safety	666,000	156,000	510,000	666,000	4,970	68,528	592,502
Community Services	5,914,009	4,719,347	1,194,662	5,914,009	46,480	4,470,565	1,396,964
Facilities Management	6,984,291	6,056,646	927,645	6,984,291	78,334	6,953,262	(47,306)
Public Works	9,504,863	6,167,273	3,337,590	9,504,863	417,374	5,871,757	3,215,732
Grand Total:	\$ 51,499,992.69	\$ 26,610,737.63	\$ 24,889,255.06	\$ 51,499,992.69	\$ 6,251,087.94	\$ 32,136,599.17	\$ 13,112,305.58

Capital Projects as of July 31, 2012

General Government

Revenues

Expenses

Account and Description	Adjusted Budget	Received	Balance	Adjusted Budget	Encumbrance	Expenses	Balance
81103 Landscape Public Buildings	10,000.00	10,000.00	-	10,000.00	0.00	6,044.38	3,955.62
81611 Pool Cars	35,000.00	-	35,000.00	35,000.00	0.00	0.00	35,000.00
81820 Financial Software	245,799.58	205,799.58	40,000.00	245,799.58	0.00	243,657.17	2,142.41
81821 Fiber Connection to Fire Stations	25,000.00	-	25,000.00	25,000.00	0.00	0.00	25,000.00
81822 Town Clerk Imaging/Mgmt System	20,000.00	-	20,000.00	20,000.00	0.00	0.00	20,000.00
81919 Strategic Planning Study	185,000.00	175,000.00	10,000.00	185,000.00	0.00	173,549.97	11,450.03
Total General Government:	\$ 520,799.58	\$ 390,799.58	\$ 130,000.00	\$ 520,799.58	0.00	\$ 423,251.52	\$ 97,548.06

Community Development

Revenues

Expenses

Account and Description	Adjusted Budget	Received	Balance	Adjusted Budget	Encumbrance	Expenses	Balance
83530 Four Corners Sewer/Water Impro	680,000.00	330,000.00	350,000.00	680,000.00	1,443.00	140,330.37	538,226.63
84103 Storrs Center Reserve	1,648,700.00	1,346,292.18	302,407.82	1,648,700.00	7,872.89	1,050,542.55	590,284.56
84122 Improvements Storrs Rd Urban	2,500,000.00	107,274.00	2,392,726.00	2,500,000.00	1,950,846.00	288,656.64	260,497.36
84123 Streetscape/Ped.Improv. DOT	1,474,800.00	302,000.00	1,172,800.00	1,474,800.00	500,000.00	2,176.00	972,624.00
84124 Imprvmnts StorrsRd DOT/Lieber	2,250,000.00	72,817.65	2,177,182.35	2,250,000.00	1,844,147.81	405,849.50	2.69
84125 StorrsCtr Inter Transp CtrDesign	612,500.00	245,566.48	366,933.52	612,500.00	66,959.41	278,829.13	266,711.46
84126 Parking Garage Transit Hub	10,000,000.00	6,172,702.00	3,827,298.00	10,000,000.00	883,734.65	10,519,773.07	(1,403,507.72)
84127 DECD STEAP#2 Pha1A+Dog Lane Co:	500,000.00	-	500,000.00	500,000.00	-	500,000.00	0.00
84128 DECD STEAP #3 Dog Lane Design	200,000.00	200,000.00	-	200,000.00	-	199,999.49	0.51
84129 Omnibus Budget Bill Feb2009	712,500.00	-	712,500.00	712,500.00	249,842.57	474,657.38	(11,999.95)
84130 Bus Facilities Program (FTA)	6,175,000.00	335,618.22	5,839,381.78	6,175,000.00	97,104.65	434,708.50	5,643,186.85
84131 DECD STEAP 4 Village Street Utilities	500,000.00	-	500,000.00	500,000.00	-	-	500,000.00
84132 Leyland/EDR Infrastructure (\$3M)	-	-	-	-	101,979.05	45,311.56	(147,290.61)
84133 DECD Brownfield Remediation	450,000.00	-	450,000.00	450,000.00	-	-	450,000.00
84170 HUD Community Challenge Grant	206,530.00	8,400.97	198,129.03	206,530.00	-	8,400.96	198,129.04
Total Community Development:	\$ 27,910,030.00	\$ 9,120,671.50	\$ 18,789,358.50	\$ 27,910,030.00	\$ 5,703,930.03	\$ 14,349,235.15	\$ 7,856,864.82

Public Safety

Revenues

Expenses

Account and Description	Revenues			Expenses			
	Adjusted Budget	Received	Balance	Adjusted Budget	Encumbrance	Expenses	Balance
82701 Animal Control Van	20,000.00	20,000.00	-	20,000.00	-	-	20,000.00
82801 Fire & Emerg Serv Comm Equipment	30,000.00	20,000.00	10,000.00	30,000.00	-	-	30,000.00
82819 Vehicle Key Boxes	7,500.00	7,500.00	-	7,500.00	-	559.00	6,941.00
82822 Forestry 307 Chassis Changeover	30,000.00	30,000.00	-	30,000.00	-	26,990.44	3,009.56
82823 Rescue Equipment	18,000.00	18,000.00	-	18,000.00	-	-	18,000.00
82824 Fire Hose	20,000.00	15,000.00	5,000.00	20,000.00	4,970.00	5,882.50	9,147.50
82825 Ambulance 607 11/12	210,000.00	-	210,000.00	210,000.00	-	-	210,000.00
82826 SCBA Air Tanks	25,000.00	10,000.00	15,000.00	25,000.00	-	9,998.00	15,002.00
82827 Fire Personal Protective Equipment	31,000.00	-	31,000.00	31,000.00	-	-	31,000.00
82828 Replacement 78MF	33,000.00	-	33,000.00	33,000.00	-	-	33,000.00
82829 Replacement ET507	200,000.00	-	200,000.00	200,000.00	-	-	200,000.00
82902 Fire Ponds	41,500.00	35,500.00	6,000.00	41,500.00	-	25,098.07	16,401.93
Total Public Safety:	\$ 666,000.00	\$ 156,000.00	\$ 510,000.00	\$ 666,000.00	\$ 4,970.00	\$ 68,528.01	\$ 592,501.99

Community Services

Revenues

Expenses

Account and Description	Revenues			Expenses			
	Adjusted Budget	Received	Balance	Adjusted Budget	Encumbrance	Expenses	Balance
84808 Senior Center Van 11/12	50,000.00	10,000.00	40,000.00	50,000.00	45,482.00	-	4,518.00
85102 BCP Restroom Improvements	13,000.00	13,000.00	-	13,000.00	-	4,500.00	8,500.00
85104 Lions Club Park	566,000.00	566,000.00	-	566,000.00	-	566,000.00	-
85105 Open Space Purchase	4,409,389.00	3,369,355.00	1,040,034.00	4,409,389.00	-	3,167,823.13	1,241,565.87
85804 Community Center Equipment	283,200.00	235,100.00	48,100.00	283,200.00	-	230,332.89	52,867.11
85806 Skate Park	40,000.00	40,000.00	-	40,000.00	-	38,565.68	1,434.32
85808 Comm Center Locker Room Ventilatic	20,000.00	20,000.00	-	20,000.00	-	18,466.71	1,533.29
85811 Playscapes New/Replacements	60,000.00	-	60,000.00	60,000.00	-	-	60,000.00
85812 Comm Center Facility Upgrades	15,000.00	-	15,000.00	15,000.00	-	-	15,000.00
85816 Park Improvements	243,000.00	223,000.00	20,000.00	243,000.00	-	224,666.52	18,333.48
85824 Playground Resurfacing	52,000.00	47,000.00	5,000.00	52,000.00	998.00	42,312.18	8,689.82
85830 WMTC River Greenway/Blueway	133,880.00	159,640.00	(25,760.00)	133,880.00	-	156,874.34	(22,994.34)
85831 Commonfields Trail Improvement	19,340.00	27,052.40	(7,712.40)	19,340.00	-	21,023.36	(1,683.36)
85835 WHIP Grants-MHP EGVP OSHF	9,200.00	9,200.00	-	9,200.00	-	-	9,200.00
Total Community Services:	\$ 5,914,009.00	\$ 4,719,347.40	\$ 1,194,661.60	\$ 5,914,009.00	\$ 46,480.00	\$ 4,470,564.81	\$ 1,396,964.19

Capital Projects as of July 31, 2012

Facilities Management

Account and Description	Revenues			Expenses			
	Adjusted Budget	Received	Balance	Adjusted Budget	Encumbrance	Expenses	Balance
82205 Boiler/Heat/Plumbing - Fire	50,000.00	50,000.00	-	50,000.00	4,350.00	34,972.94	10,677.06
86106 New Wells - Schools	1,100,000.00	960,687.00	139,313.00	1,100,000.00	-	1,172,656.26	(72,656.26)
86260 Maintenance Projects	784,391.00	729,391.00	55,000.00	784,391.00	56,587.07	711,069.20	16,734.73
86278 Four School Renovation Project	160,000.00	10,000.00	150,000.00	160,000.00	3,000.00	281,435.55	(124,435.55)
86284 MMS Heating Alterations	4,600,000.00	4,053,706.86	546,293.14	4,600,000.00	-	4,507,868.34	92,131.66
86285 MMS Asbestos Removal 2007	65,000.00	46,152.13	18,847.87	65,000.00	-	44,559.13	20,440.87
86286 MMS Carpet Replacement	25,000.00	26,808.87	(1,808.87)	25,000.00	-	23,397.00	1,603.00
86290 Roof Repairs	199,900.00	179,900.00	20,000.00	199,900.00	14,397.00	177,304.03	8,198.97
Total Facilities Management:	\$ 6,984,291.00	\$ 6,056,645.86	\$ 927,645.14	\$ 6,984,291.00	\$ 78,334.07	\$ 6,953,262.45	(\$47,305.52)

Public Works

Account and Description	Revenues			Expenses			
	Adjusted Budget	Received	Balance	Adjusted Budget	Encumbrance	Expenses	Balance
83101 Tree Replacement	32,500.00	22,500.00	10,000.00	32,500.00	-	15,214.84	17,285.16
83219 Salt Storage Building	250,000.00	250,000.00	-	250,000.00	-	231,144.96	18,855.04
83302 Sm Bridges & Culverts	319,084.00	309,084.00	10,000.00	319,084.00	-	221,591.73	97,492.27
83303 Large Bridge Maintenance	536,286.00	521,286.00	15,000.00	536,286.00	-	388,910.01	147,375.99
83306 Stone Mill Bridge	1,716,350.00	652,215.61	1,064,134.39	1,716,350.00	314,368.51	703,668.71	698,312.78
83308 Town Walkways/Transp Enhancemt	668,000.00	581,452.89	86,547.11	668,000.00	24,374.08	681,651.02	(38,025.10)
83309 Laurel Lane Bridge	1,340,600.00	401,807.59	938,792.41	1,340,600.00	21,264.72	202,275.28	1,117,060.00
83310 South Eagleville Walkway 11/12	400,000.00	-	400,000.00	400,000.00	-	-	400,000.00
83401 Road Drainage	508,811.00	459,840.09	48,970.91	508,811.00	27,485.90	373,697.78	107,627.32
83510 Guard Rails	44,197.00	39,197.00	5,000.00	44,197.00	-	31,866.53	12,330.47
83524 Road Resurfacing	2,933,810.00	2,617,951.00	315,859.00	2,933,810.00	2,890.99	2,569,786.95	361,132.06
83527 Hunting Lodge Rd Walkway 0809	100,000.00	100,000.00	-	100,000.00	-	90,718.54	9,281.46
83601 Pickup Mounted Sign	10,000.00	10,000.00	-	10,000.00	-	-	10,000.00
83636 LARGE DUMP TRUCK 11/12	166,225.11	21,229.11	144,996.00	166,225.11	-	167,192.46	(967.35)
83637 Small Dump Truck & Sander 11/12	45,000.00	1,710.00	43,290.00	45,000.00	15,641.00	31,260.08	(1,901.08)
83638 Small Dump Truck & Sander	30,000.00	-	30,000.00	30,000.00	-	-	30,000.00
83639 Large Dump Trucks	100,000.00	-	100,000.00	100,000.00	-	-	100,000.00
83729 Snowplows	20,500.00	20,500.00	-	20,500.00	-	14,662.50	5,837.50
83733 Storrs Center Equipment	100,000.00	-	100,000.00	100,000.00	-	-	100,000.00
83911 Engineering Cad Upgrades	168,500.00	158,500.00	10,000.00	168,500.00	11,348.64	143,948.84	13,202.52
83917 GPS Units - Additional Units	15,000.00	-	15,000.00	15,000.00	-	4,167.00	10,833.00
Total Public Works:	\$ 9,504,863.11	\$ 6,167,273.29	\$ 3,337,589.82	\$ 9,504,863.11	\$ 417,373.84	\$ 5,871,757.23	\$ 3,215,732.04

DEBT SERVICE FUND
BALANCE SHEET
AS OF JUNE 30, 2012
(with comparative totals for June 30, 2011)

	JUNE 30	
	2012	2011
Assets:		
Cash and cash equivalents	\$ 79,431	\$ 130,144
Total Assets	\$ 79,431	\$ 130,144
Liabilities and Fund Balance		
Liabilities:		
Interest Payable	\$ -	\$ 30,636
Total Liabilities	-	30,636
Fund Balance:		
Unreserved:		
Undesignated	\$ 79,431	\$ 99,508
Total Liabilities and Fund Balance	\$ 79,431	\$ 130,144

DEBT SERVICE FUND
 COMPARATIVE STATEMENT OF REVENUES, EXPENDITURES AND
 CHANGES IN FUND BALANCE
 FOR THE PERIOD ENDED JUNE 30, 2012
 (with comparative totals for June 30 2011)

	BUDGET	JUNE 30	
	2011/12	2012	2011
Revenues:			
Bond Proceeds	\$ -	\$ -	\$ 133,000
Interest Income		1,285	-
Total Revenues	-	1,285	133,000
Other Financing:			
Operating Transfers In:			
General Fund	\$ 825,000	\$ 825,000	\$ 760,000
CNR Fund			150,000
Total Revenues and Other Financing Sources	825,000	826,285	1,043,000
Expenditures:			
Principal Payments	725,114	711,491	677,842
Interest Payments	137,360	165,508	107,556
Legal Services			43,139
Financial Services & Fees			42,161
Total expenditures	862,474	876,999	870,698
Excess of revenues and other financing sources over expenditures	(37,474)	(50,714)	172,302
Fund balance, July 1	99,508	130,145	(72,794)
Fund balance, End of Period	\$ 62,034	\$ 79,431	\$ 99,508

TOWN OF MANSFIELD
DEBT SERVICE FUND
REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE

	06/07 ACTUAL	07/08 ACTUAL	08/09 ACTUAL	09/10 ACTUAL	10/11 ACTUAL	11/12 ACTUAL	12/13 BUDGET	13/14 PROJECTED	14/15 PROJECTED	15/16 PROJECTED	16/17 PROJECTED	17/18 PROJECTED
REVENUES:												
Intergovernmental	\$295,462	\$180,794	\$105,218									
Bonds					\$133,000							
Premium Income					\$55,542							
State Revenue Sharing												
Interest on Unspent Balance						1,285						
Other (Refund on Lease Purchase in 09/10)				6,500								
Other (Co-Gen Grant in 09/10 elimin)												
TOTAL REVENUES	295,462	180,794	105,218	6,500	188,542	1,285						
Operating Transfers In - General Fund	400,000	400,000	415,000	500,000	760,000	825,000	825,000	675,000	350,000	300,000	300,000	300,000
Operating Transfers In - CNR Fund	215,000	200,000	75,000	150,000	150,000							
Operating Transfers In - MS Fund			75,000									
TOTAL REVENUES AND OPERATING TRANSFERS IN	910,462	780,794	670,218	656,500	1,098,542	826,285	825,000	675,000	350,000	300,000	300,000	300,000
EXPENDITURES:												
Principal Retirement	805,000	660,000	530,000	455,000	455,000	460,000	460,000	145,000				
Interest	176,482	136,082	104,202	81,927	64,765	45,655	25,900	5,220				
Principal Retirement - GOB 2011								220,000	220,000	220,000	220,000	220,000
Interest - GOB 2011						91,706	93,525	93,525	86,925	80,325	73,725	67,125
Lease Purchase - Co-Gen/Pool Covers 07/08			78,134	78,142	64,129	78,134	78,134					
Lease Purchase - CIP Equip 08/09				48,878	113,886	113,886	113,886	113,886				
Lease Purchase - CIP Equip 09/10					87,617	87,618	87,617	87,617	87,617			
Financial/Issuance Costs		5,000	3,000		110,206							
TOTAL EXPENDITURES	981,482	801,082	715,336	663,947	895,603	876,999	859,062	665,248	394,542	300,325	293,725	287,125
REVENUES AND OTHER FINANCING SOURCES OVER/ (UNDER) EXPENDITURES	(71,020)	(20,288)	(45,118)	(7,447)	202,939	(50,714)	(34,062)	9,752	(44,542)	(325)	6,275	12,875
FUND BALANCE, JULY 1	71,079	59	(20,229)	(65,347)	(72,794)	130,145	79,431	45,369	55,121	10,579	10,254	16,529
FUND BALANCE, JUNE 30	\$59	(\$20,229)	(\$65,347)	(\$72,794)	\$130,145	\$79,431	\$45,369	\$55,121	\$10,579	\$10,254	\$16,529	\$29,404

TOWN OF MANSFIELD
DEBT SERVICE FUND
REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE

	18/19 PROJECTED	19/20 PROJECTED	20/21 PROJECTED	21/22 PROJECTED	22/23 PROJECTED	23/24 PROJECTED	24/25 PROJECTED	25/26 PROJECTED
REVENUES:								
Intergovernmental								
Bonds								
Premium Income								
State Revenue Sharing								
Interest on Unspent Balance								
Other (Refund on Lease Purchase in 09/10)								
Other (Co-Gen Grant in 09/10 elimin)								
<hr/>								
TOTAL REVENUES								
Operating Transfers In - General Fund	275,000	275,000	275,000	250,000	250,000	250,000	250,000	200,000
Operating Transfers In - CNR Fund								
Operating Transfers In - MS Fund								
TOTAL REVENUES AND OPERATING TRANSFERS IN	275,000	275,000	275,000	250,000	250,000	250,000	250,000	200,000
<hr/>								
EXPENDITURES:								
Principal Retirement								
Interest								
Principal Retirement - GOB 2011	220,000	220,000	220,000	220,000	220,000	220,000	220,000	200,000
Interest - GOB 2011	60,525	53,925	47,325	40,725	33,850	25,600	16,800	8,000
Lease Purchase - Co-Gen/Pool Covers 07/08								
Lease Purchase - CIP Equip 08/09								
Lease Purchase - CIP Equip 09/10								
Financial/Issuance Costs								
TOTAL EXPENDITURES	280,525	273,925	267,325	260,725	253,850	245,600	236,800	208,000
<hr/>								
REVENUES AND OTHER FINANCING SOURCES OVER/ (UNDER) EXPENDITURES	(5,525)	1,075	7,675	(10,725)	(5,850)	4,400	13,200	(8,000)
FUND BALANCE, JULY 1	29,404	23,879	24,954	32,629	21,904	18,054	22,454	35,654
FUND BALANCE, JUNE 30	\$23,879	\$24,954	\$32,629	\$21,904	\$18,054	\$22,454	\$35,654	\$27,654

SOLID WASTE DISPOSAL FUND
BALANCE SHEET
AS OF JUNE 30, 2012
(with comparative totals for June 30, 2011)

	JUNE 30	
	2012	2011
<u>CURRENT ASSETS</u>		
Cash	\$ 304,250	\$ 319,491
Accounts Receivable (net of allow. for uncollectable accts)	8,740	3,995
Total Current Assets	312,990	323,486
<u>FIXED ASSETS</u>		
Land	8,500	8,500
Buildings & Equipment	565,138	565,138
Less: Accumulated Depreciation	(497,257)	(487,722)
Total Fixed Assets	76,381	85,916
TOTAL ASSETS	\$ 389,371	\$ 409,402
<u>LIABILITIES AND FUND EQUITY</u>		
<u>CURRENT LIABILITIES</u>		
Accounts Payable	\$ 51,788	\$ 34,445
Accrued Compensated Absences	14,853	14,707
Refundable Deposits	20,325	18,525
Total Current Liabilities	86,966	67,677
<u>LONG-TERM LIABILITIES</u>		
Landfill Postclosure Costs	92,000	96,000
Total Long-Term Liabilities	92,000	96,000
TOTAL LIABILITIES	178,966	163,677
<u>FUND EQUITY</u>		
Retained Earnings	210,405	245,725
Total Fund Equity	210,405	245,725
TOTAL LIABILITIES AND FUND EQUITY	\$ 389,371	\$ 409,402

SOLID WASTE DISPOSAL FUND
 COMPARATIVE STATEMENTS OF REVENUES, EXPENDITURES
 AND CHANGES IN FUND BALANCE
 JUNE 30, 2012
 (with comparative totals for June 30, 2011)

	BUDGET	JUNE 30	
	2011/12	2012	2011
Operating Revenues:			
Transfer Station Fees	\$ 84,000	\$ 80,391	\$ 72,877
Garbage Collection Fees	901,700	895,236	880,607
Sale of Recyclables	15,000	25,198	17,368
Other Revenues	-	3,581	6,036
Total Operating Revenues	<u>1,000,700</u>	<u>1,004,406</u>	<u>976,888</u>
Operating Expenses:			
Hauler's Tipping Fees	172,960	155,627	149,398
Mansfield Tipping Fees	53,440	65,593	44,354
Wage & Fringe Benefits	302,515	325,126	261,640
Computer Software	4,080	4,320	4,080
Trucking Fee	30,900	22,735	22,336
Recycling Cost	20,500	27,919	12,104
Contract Pickup	372,500	386,746	397,471
Supplies and Services	22,740	10,749	11,704
Depreciation Expense	30,000	9,535	13,507
Hazardous Waste	12,300	16,259	11,528
Equipment Parts/Other	5,500	5,117	189
LAN/WAN Expenditures	10,000	10,000	10,000
Total Operating Expenses	<u>1,037,435</u>	<u>1,039,726</u>	<u>938,311</u>
NET INCOME (LOSS)	(36,735)	(35,320)	38,577
Retained Earnings, July 1	<u>245,725</u>	<u>245,725</u>	<u>207,148</u>
Retained Earnings, End of Period	<u>\$ 208,990</u>	<u>\$ 210,405</u>	<u>\$ 245,725</u>

HEALTH INSURANCE FUND
BALANCE SHEET
June 30th, 2012
(with comparative totals for June 30th, 2011)

	June 30th	
	2012	2011
<u>Assets</u>		
Cash and cash equivalents	\$ 4,299,009	\$ 3,616,516
Accounts Receivable	186,833	179,688
Due from Other Funds	339,224	294,691
Total Assets	<u>\$ 4,825,066</u>	<u>\$ 4,090,895</u>
<u>Liability and Fund Equity</u>		
Liabilities:		
Accrued Medical Claims	130,000	
Due to Region 19		8,100
Due to General Fund	442,000	
Accrued Medical Claims	<u>\$ 348,000</u>	<u>\$ 376,000</u>
Total Liabilities	<u>920,000</u>	<u>384,100</u>
Fund Equity		
Net Contributed Capital	400,000	400,000
Retained Earnings	<u>3,505,066</u>	<u>3,306,795</u>
Total Fund Equity	<u>3,905,066</u>	<u>3,706,795</u>
Total Liabilities and Fund Equity	<u>\$ 4,825,066</u>	<u>\$ 4,090,895</u>

HEALTH INSURANCE FUND
COMPARATIVE STATEMENTS OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE

June 30th, 2012
(with comparative totals for June 30th, 2011)

	June 30th	
	2012	2011
Revenues:		
Premium income	\$ 6,759,829	\$ 7,294,179
Interest income	3,646	2,981
Total Revenues	6,763,475	7,297,160
Expenditures:		
Payroll	102,556	97,098
Administrative expenses	706,653	674,165
Medical claims	5,533,697	5,565,150
Consultants	17,000	45,489
Employee Wellness	90,876	50,408
Medical Supplies	104,420	102,924
LAN/WAN Expenditures	10,000	10,000
Total Expenditures	6,565,203	6,545,235
Revenues and Other Financing Sources Over/ (Under) Expenditures	198,271	751,925
Contributed Capital	400,000	400,000
Fund Equity, July 1	3,306,795	2,554,870
Fund Equity plus Cont. Capital, End of Period	\$ 3,905,066	\$ 3,706,795

ANTHEM BLUE CROSS MONTHLY CLAIMS
FISCAL YEAR BASIS

MONTH	99/00	00/01	FY 01/02	FY 02/03	FY 03/04	FY 04/05	FY 05/06	FY 06/07	FY 07/08	FY08/09	FY09/10	FY10/11	FY11/12	Average '92-'12	5 Yr. Average FY'08-'12
JULY	170,906	216,792	216,195	231,239	353,025	332,653	368,941	409,635	430,780	493,991	534,203	667,615	410,100	279,336	507,338
AUGUST	146,139	215,571	247,118	247,238	296,808	327,584	323,401	499,754	554,171	567,129	520,970	583,042	443,808	291,797	533,824
SEPTEMBER	140,741	264,603	230,526	257,491	323,667	302,399	298,440	415,053	430,908	438,495	438,428	320,452	475,683	257,798	420,793
OCTOBER	108,729	180,875	240,996	262,401	312,245	275,610	351,888	370,945	384,033	440,640	518,768	524,875	429,967	257,518	459,657
NOVEMBER	125,629	203,813	208,715	217,831	342,691	446,834	299,882	370,405	489,535	383,653	461,484	371,112	419,740	253,260	425,105
DECEMBER	181,592	185,278	256,252	190,532	415,554	358,577	343,209	427,447	436,589	358,543	368,522	502,648	451,734	262,205	423,607
JANUARY	204,232	200,762	251,986	333,923	342,476	358,256	356,891	364,331	508,001	454,813	389,841	497,371	461,600	281,118	462,325
FEBRUARY	194,411	180,679	267,614	331,286	340,298	305,259	492,485	527,867	629,924	521,301	497,159	550,094	480,989	316,612	535,894
MARCH	211,199	200,818	237,003	358,881	386,649	409,245	392,138	482,188	399,055	482,221	519,594	600,223	503,600	304,516	500,939
APRIL	181,703	206,143	342,562	259,835	402,093	443,362	321,969	484,465	476,056	473,587	517,452	513,677	461,016	289,803	488,357
MAY	215,754	244,270	276,117	387,515	391,287	387,104	383,505	562,876	516,518	511,932	346,650	398,403	557,547	304,018	466,210
JUNE	193,549	251,842	251,747	347,060	357,517	399,827	386,641	606,023	425,253	419,214	465,244	483,975	468,241	297,590	452,385
ANNUAL TOTAL	2,074,584	2,551,446	3,026,831	3,425,231	4,264,309	4,348,731	4,319,389	5,520,987	5,680,824	5,545,518	5,578,314	6,013,488	5,564,023	3,395,570	5,676,434
MONTHLY AVG	172,882	212,620	252,236	285,436	355,359	362,394	359,949	460,082	473,402	462,127	464,860	501,124	463,669	282,964	473,036
% OF INCREASE	-5.1%	23.0%	18.6%	13.2%	24.5%	2.0%	-0.7%	27.8%	2.9%	-2.4%	0.6%	7.8%	-7.5%	9.81%	0.29%

WORKERS' COMPENSATION FUND
BALANCE SHEET
JUNE 30, 2012
(with comparative totals for June 30, 2011)

	June 30	
	2012	2011
<u>ASSETS</u>		
Current Assets:		
Cash and Cash Equivalents	\$ 51,293	\$ 56,691
Total Assets	\$ 51,293	\$ 56,691
<u>FUND BALANCE</u>		
Equity:		
Retained Earnings	\$ 51,293	\$ 56,691
Total Liabilities and Equity	\$ 51,293	\$ 56,691

WORKERS' COMPENSATION FUND
 COMPARATIVE STATEMENT OF REVENUES, EXPENDITURES
 AND CHANGES IN FUND BALANCE
 AS OF JUNE 30, 2012
 (with comparative totals for June 30, 2011)

	BUDGET	JUNE 30	
	2011/12	2012	2011
<u>REVENUES:</u>			
Premium Income	\$ 420,000	\$ 420,000	\$ 403,950
CIRMA Member Distribution		23,632	
Total Revenues	420,000	443,632	403,950
<u>OPERATING EXPENSES:</u>			
Workers' Compensation Insurance	432,530	449,030	414,679
Medical Equipment			21,894
Total Operating Expenses	432,530	449,030	436,573
NET INCOME (LOSS)	(12,530)	(5,398)	(32,623)
Fund Balance, July 1	56,691	56,691	89,314
Fund Balance, End of Period	\$ 44,161	\$ 51,293	\$ 56,691

MANAGEMENT SERVICES FUND
BALANCE SHEET
JUNE 30, 2012
(With comparative totals for June 30, 2011)

	June 30	
	2012	2011
<u>ASSETS</u>		
Current Assets:		
Cash and Cash Equivalents	\$ 686,897	\$ 251,423
Due from Region 19/Town GF	47,686	
Accounts Receivable	58,350	103,910
Inventory	10,908	3,624
Total Current Assets	803,841	358,957
Fixed Assets:		
Construction in Progress		
Land	145,649	145,649
Buildings	226,679	226,679
Office Equipment	1,966,087	1,901,109
Construction in Progress	-	14,898
Accum. Depreciation	(1,037,073)	(918,217)
Net Fixed Assets	1,301,342	1,370,118
Total Assets	\$ 2,105,183	\$ 1,729,075
<u>LIABILITIES AND EQUITY</u>		
Liabilities:		
Accounts Payable	\$ 217,150	\$ 73,447
Lease Purchase Payable	147,834	217,738
Due to the General Fund		
Due to Internal Service Fund	3,826	4,563
Total Liabilities	368,810	295,748
Equity:		
Contributed Capital	146,000	146,000
Retained Earnings	1,590,373	1,287,327
Total Equity	1,736,373	1,433,327
Total Liabilities and Equity	\$ 2,105,183	\$ 1,729,075

MANAGEMENT SERVICES FUND
ESTIMATED STATEMENT OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE
FOR THE PERIOD ENDING JUNE 30, 2012

	TOTAL MANAGEMENT SERVICES FUND			
	Budget 2011/12	Actual 2011/12	Variance Favorable (Unfavorable)	Proposed 2012/13
REVENUES:				
Mansfield Board of Education	\$ 106,250	\$ 106,250	\$ -	\$ 109,440
Region 19	100,920	100,920		103,950
Town of Mansfield	10,300	48,500	38,200	10,820
Communication Service Fees	216,200	222,601	6,401	221,490
Copier Service Fees	227,250	228,972	1,722	226,240
Energy Service Fees	1,977,080	2,015,410	38,330	2,019,710
Rent	74,620	72,450	(2,170)	74,260
Rent - Telecom Tower	115,000	143,389	28,389	120,000
Sale of Supplies	40,000	39,350	(650)	35,000
CNR Fund	175,000	175,000		175,000
Health Insurance Fund	10,000	10,000		10,000
Solid Waste Fund	10,000	10,000		10,000
Sewer Operating Fund	3,000	3,000		3,000
Local Support				
Postal Charges	93,250	94,040	790	88,290
Universal Services Fund	30,000	27,587	(2,413)	33,340
Total Revenues	3,188,870	3,297,469	108,599	3,240,540
EXPENDITURES:				
Salaries & Benefits	409,660	387,352	22,308	410,964
Training	8,650	335	8,315	8,550
Repairs & Maintenance	28,250	31,783	(3,533)	28,350
Professional & Technical	33,570	17,238	16,332	40,870
System Support	116,800	123,800	(7,000)	126,820
Copier Maintenance Fees	90,000	82,959	7,041	91,000
Communications	205,360	160,474	44,886	165,780
Supplies and Software Licensing	24,800	17,176	7,624	26,800
Equipment	158,000	212,069	(54,069)	158,000
Postage	85,000	45,056	39,944	73,000
Energy	1,876,120	1,900,633	(24,513)	1,909,000
Equipment Rental/Cost of Sales	55,180	82,300	(27,120)	48,660
Total Expenditures	3,091,390	3,061,175	30,215	3,087,794
Add:				
Depreciation	221,060	192,431	28,629	198,080
Less:				
Equipment Capitalized	(133,500)	(175,390)	(18,110)	(133,500)
Operating Expenditures	3,178,950	3,078,216	100,734	3,152,374
Net Income (Loss)	9,920	219,253	209,333	88,166
Total Equity & Contributed Capital, July 1	1,550,700	1,517,120		1,736,373
Total Equity & Contributed Capital, End of Period	\$ 1,560,620	\$ 1,736,373	\$ 209,333	\$ 1,824,539

CEMETERY FUND
BALANCE SHEET
JUNE 30, 2012
(with comparative totals for June 30, 2011)

	JUNE 30	
	2012	2011
<u>ASSETS</u>		
Cash and cash equivalents	\$ -	\$ -
Investments	436,082	405,740
Total Assets	\$ 436,082	\$ 405,740

LIABILITIES AND FUND BALANCE

<u>Liabilities</u>		
Accounts Payable	\$ 910	\$ 4,450
Due to General Fund	127,911	79,039
Total Liabilities	128,821	83,489

FUND BALANCE

Fund Balance		
Reserved for perpetual care	517,125	517,125
Reserved for nonexpendable trust	1,200	1,200
Unreserved, undesignated	(211,064)	(196,074)
Total Fund Balance	307,261	322,251
Total Liabilities and Fund Balance	\$ 436,082	\$ 405,740

CEMETERY FUND
 COMPARATIVE STATEMENTS OF REVENUES, EXPENDITURES
 AND CHANGES IN FUND BALANCE
 JUNE 30, 2012
 (with comparative totals for June 30, 2011)

	BUDGET	JUNE 30	
	2011/12	2012	2011
Operating Revenues:			
Interest & Dividend Income	\$ 16,460	\$ 16,403	\$ 23,721
Unrealized Gain (Loss) in Market Value	15,100	16,963	-
Sale of Plots	4,200	6,000	9,350
Total Operating Revenues	35,760	39,366	33,071
Operating Expenses:			
Salaries	2,500	6,211	3,986
Road Work		7,535	
Cemetery Maintenance	14,000	22,630	18,202
Mowing Service	25,000	17,980	18,236
Other Purchased Services		-	2,150
Total Operating Expenses	41,500	54,356	42,574
Operating Income/(Loss)	(5,740)	(14,990)	(9,503)
Retained Earnings, July 1	322,251	322,251	331,754
Retained Earnings, End of Period	\$ 316,511	\$ 307,261	\$ 322,251

Town of Mansfield
Investment Pool
As of June 30, 2012

	Equity Percentage	Equity In Investments	Equity In Cash Equiv.	Total Equity
Cemetery Fund	65.050%	436,082.34	10,340.54	446,422.88
School Non-Expendable Trust Fund	0.092%	616.75	14.62	631.37
Compensated Absences Fund	34.858%	233,681.14	5,541.13	239,222.27
Total Equity by Fund	100.000%	670,380.23	15,896.29	686,276.52

Investments	Market Value
<u>Stock Funds:</u>	
Fidelity - Select Utilities Growth	54,594.10
BofA US LRG CAP - GROWTH & VALUE/RESTRUCT	8,204.47
BofA INT'L DEVELOP-MARSICO/ACORN/VALUE	1,985.07
BofA EMERGING MARKETS FUND	2,576.78
BofA US MID CAP VALUE & ACORN	2,993.73
BofA US SMALL CAP - GROWTH & VALUE FUND	1,872.51
Sub-Total Stock Funds	<u>72,226.66</u>
<u>Bond Funds:</u>	
Wells Fargo Advantage -Income Plus	69,259.84
T. Rowe Price - U. S. Treasury Long-Term	87,034.18
People's Securities, Inc. - U.S. Treasury Notes	66,935.97
BofA GLOBAL HIGH YIELD - INCOME OPPORTUNITIES	4,181.55
BofA INTERNATIONAL DEV. BONDS	467.48
BofA INVESTMENT GRADE TAXABLE - BOND FUND	15,791.97
Vanguard - GNMA Fund	351,906.81
Sub-Total Bond Funds	<u>595,577.80</u>
<u>Public Real Estate Investment Trust</u>	
BofA REAL ESTATE EQUITY FUND	<u>476.62</u>
<u>Commodities</u>	
BofA PIMCO Real Return Strategy Fund	<u>2,099.15</u>
<u>Cash Equivalents:</u>	
BofA MONEY MARKET RESERVES	<u>15,896.29</u>
Total Investments	<u>686,276.52</u>

Allocation	Amount	Percentage
Stocks	72,226.66	10.52%
Bonds	595,577.80	86.78%
Public Real Estate Investment Trust	476.62	0.07%
Commodities	2,099.15	0.31%
Cash Equivalents	15,896.29	2.32%
Total Investments	<u>686,276.52</u>	<u>100.00%</u>

TOWN OF MANSFIELD
INVESTMENT POOL
AS OF JUNE 30, 2012

	MARKET VALUE JUL 01, 2011	MARKET VALUE SEP 30, 2011	MARKET VALUE DEC 31, 2011	MARKET VALUE MAR 31, 2012	MARKET VALUE JUN 30, 2012	FISCAL 11/12 CHANGE IN VALUE
<u>STOCK FUNDS:</u>						
<u>FIDELITY INVESTMENTS:</u>						
SELECT UTILITIES GROWTH	49,310.48	47,756.66	51,105.14	51,028.77	54,594.10	5,283.62
<u>BANK OF AMERICA</u>						
US LRG CAP - GROWTH & VALUE/RESTRUCT	13,253.90	10,591.53	12,848.35	8,836.26	8,204.47	(5,049.43)
INT'L DEVELOP-MARSICO/ACORN/VALUE	3,577.59	2,901.10	3,317.08	2,508.77	1,985.07	(1,592.52)
EMERGING MARKETS FUND	1,565.26	1,214.85	1,505.36	2,517.97	2,576.78	1,011.52
US MID CAP VALUE & ACORN	1,837.16	1,461.98	1,750.00	3,120.22	2,993.73	1,156.57
US SMALL CAP - GROWTH & VALUE FUND	1,479.22	1,137.32	1,274.53	2,029.11	1,872.51	393.29
SUB-TOTAL BANK OF AMERICA	21,713.13	17,306.78	20,695.32	19,012.33	17,632.56	(4,080.57)
TOTAL STOCK FUNDS	71,023.61	65,063.44	71,800.46	70,041.10	72,226.66	1,203.05
<u>BOND FUNDS:</u>						
<u>WELLS FARGO ADVANTAGE</u>						
WELLS FARGO INCOME PLUS-INV	64,197.40	66,070.69	67,232.43	67,782.36	69,259.84	5,062.44
<u>T. RDWE PRICE</u>						
U.S. TREASURY LONG	66,224.15	82,253.56	83,450.40	78,711.65	87,034.18	20,810.03
<u>PEOPLE'S SECURITIES</u>						
U.S. TREASURY NOTES	66,887.74	66,904.83	66,919.98	66,927.42	66,935.97	48.23
<u>BANK OF AMERICA</u>						
GLOBAL HIGH YIELD - INCOME OPPORTUNIT	2,016.07	1,970.10	2,019.90	4,221.18	4,181.55	2,165.48
INTERNATIONAL DEVELOPED BONDS				553.58	467.48	467.48
INVESTMENT GRADE TAXABLE - BOND FUND	19,334.85	19,813.54	17,800.43	15,126.02	15,791.97	(3,542.86)
SUB-TOTAL BANK OF AMERICA	21,350.92	21,783.64	19,820.33	19,900.78	20,441.00	(909.92)
<u>VANGUARD INVESTMENTS</u>						
GNMA FUND	332,213.60	342,423.23	346,439.33	348,094.75	351,906.81	19,693.21
TOTAL BOND FUNDS	550,873.81	579,435.95	583,862.47	581,416.96	595,577.80	44,703.99
<u>PUBLIC REAL ESTATE INVESTMENT TRUST:</u>						
<u>BANK OF AMERICA</u>						
REAL ESTATE EQUITY FUND	1,838.94	1,560.15	1,744.18	463.48	476.62	(1,362.32)
TOTAL CASH	1,838.94	1,560.15	1,744.18	463.48	476.62	(1,362.32)
<u>COMMODITIES</u>						
<u>BANK OF AMERICA</u>						
PIMCO Comm. Real Return Strategy Fund				2,187.43	2,099.15	2,099.15
TOTAL COMMODITIES				2,187.43	2,099.15	2,099.15
<u>CASH:</u>						
<u>BANK OF AMERICA</u>						
MONEY MARKET RESERVES	11,248.55	11,341.53	12,048.46	15,822.36	15,896.29	4,647.74
TOTAL CASH	11,248.55	11,341.53	12,048.46	15,822.36	15,896.29	4,647.74
TOTAL INVESTMENTS	634,984.91	657,401.07	669,455.57	669,931.33	686,276.52	51,291.61

EASTERN HIGHLANDS HEALTH DISTRICT
BALANCE SHEET
AS OF June 30th, 2012
(with comparative totals for June 30th, 2011)

<u>Assets</u>	June 30,	
	2012	2011
Cash and cash equivalents	\$ 392,378	\$ 320,704
Total Assets	\$ 392,378	\$ 320,704
<u>Liabilities and Fund Balance</u>		
<u>Liabilities</u>		
Accounts Payable	\$ 6,320	\$ 10,096
Total Liabilities	6,320	10,096
<u>Fund Balance</u>		
Fund Balance:		
Reserved for Prior Year Encumbrances		-
Unreserved, undesignated	386,058	310,607
Total Fund Balance	386,058	310,607
Total Liabilities & Fund Balance	\$ 392,378	\$ 320,704

EASTERN HIGHLANDS HEALTH DISTRICT
COMPARATIVE STATEMENT OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE

AS OF June 30th, 2012

(with comparative totals for June 30th, 2011)

	Adopted	Amended	June 30th,		
	Budget	Budget	2012	2011	
	2011/12	2011/12	2012	2011	
Operating Revenues:					
Member Town Contributions	\$ 365,530	\$ 365,530	\$ 366,972	100.4%	\$360,946
State Grants	149,950	149,950	149,943	100.0%	148,015
Septic Permits	31,000	31,000	29,295	94.5%	26,100
Well Permits	20,500	20,500	12,135	59.2%	13,604
Soil Testing Service	32,480	32,480	31,475	96.9%	33,330
Food Protection Service	51,710	51,710	51,781	100.1%	46,609
B100a Reviews	28,000	28,000	20,770	74.2%	21,880
Septic Plan Review	28,500	28,500	24,365	85.5%	23,215
Other Health Services	5,160	5,160	15,033	291.3%	9,508
Appropriation of Fund Balance	4,370	4,370	-	0.0%	
Total Operating Revenues	717,200	717,200	701,768	97.8%	683,207
Operating Expenditures:					
Salaries & Wages	474,340	505,450	443,808	87.8%	430,618
Grant Deductions	-	(38,590)	(31,911)	82.7%	-
Benefits	156,320	156,810	137,124	87.4%	155,642
Miscellaneous Benefits	6,090	6,090	3,989	65.5%	3,582
Insurance	15,650	15,650	15,336	98.0%	14,376
Professional & Technical Services	15,700	15,700	13,061	83.2%	14,139
Other Purchased Services	36,650	36,650	34,271	93.5%	31,998
Other Supplies	8,000	8,000	7,223	90.3%	6,602
Equipment - Minor	1,450	1,450	417	28.8%	924
Contingency	-	6,990	-	0.0%	-
Total Operating Expenditures	714,200	714,200	623,318	87.3%	657,880
Transfers Out:					
Transfers to CNR	3,000	3,000	3,000	100.0%	3,000
Total Operating Exp. & Transfers O	717,200	717,200	626,318	87.3%	660,880
Operating Income/(Loss)	-	-	75,450		22,327
Fund Balance, July 1	310,607	310,607	310,607		288,280
Fund Balance, End of Period	\$ 310,607	\$ 310,607	\$ 386,058		\$310,607

EASTERN HIGHLANDS HEALTH DISTRICT
 CAPITAL NONRECURRING FUND BALANCE SHEET
 AS OF June 30th, 2012
 (with comparative totals for June 30th, 2011)

	June 30,	
	2012	2011
<u>Assets</u>		
Cash and cash equivalents	\$ 60,032	\$ 74,467
Total Assets	\$ 60,032	\$ 74,467
<u>Fund Balance</u>		
Fund Balance:		
Unreserved, undesignated	\$ 60,032	\$ 74,467
Total Fund Balance	\$ 60,032	\$ 74,467

EASTERN HIGHLANDS HEALTH DISTRICT
 CAPITAL NONRECURRING FUND
 COMPARATIVE STATEMENT OF REVENUES, EXPENDITURES
 AND CHANGES IN FUND BALANCE
 AS OF June 30th, 2012
 (with comparative totals for June 30th, 2011)

	June 30,	
	2012	2011
Operating Revenues:		
State Grants	\$ -	\$ -
Transfers In-G/F	3,000	3,000
Total Operating Revenues	3,000	3,000
Operating Expenditures:		
Prof & Tech Services	3,200	
Vehicles	14,235	-
Office Equipment	-	-
Total Operating Expenditures	17,435	-
Operating Income/(Loss)	(14,435)	3,000
Fund Balance, July 1	74,467	71,467
Fund Balance, End of Period	\$ 60,032	\$ 74,467

MANSFIELD DOWNTOWN PARTNERSHIP
BALANCE SHEET
AS OF JUNE 30, 2012
 (with comparative totals for June 30, 2012)

	June 30	
	2012	2011
<u>ASSETS</u>		
Cash & Cash Equivalents	\$ 304,094	\$ 292,098
Accounts Receivable	900	900
 Total Assets	\$ 304,994	\$ 292,998
<u>LIABILITIES</u>		
Accounts Payable	\$ 1,720	\$ 3,420
 Total Liabilities	1,720	3,420
<u>FUND BALANCE</u>		
Fund Balance, Unreserved	303,274	289,578
 Total Fund Balance	303,274	289,578
 Total Liabilities and Fund Balance	\$ 304,994	\$ 292,998

MANSFIELD DOWNTOWN PARTNERSHIP
STATEMENT OF REVENUES, EXPENDITURES AND
CHANGES IN FUND BALANCE

	Actual 2000/01	Actual 2001/02	Actual 2002/03	Actual 2003/04	Actual 2004/05	Actual 2005/06	Actual 2006/07	Actual 2007/08	Actual 2008/09	Actual 2009/10	Actual 2010/11	Adopted Budget 2011/12	Amended Budget 2011/12	June 30 2012	Adopted Budget 2012/13
Revenues:															
Intergovernmental:															
Mansfield General Fund/CNR	\$ 32,500	\$ 20,000	\$ 30,000	\$ 41,500	\$ 50,000	\$ 62,000	\$ 62,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000
Uconn		32,500	45,000	46,500	60,000	62,000	62,000	125,000	125,000	125,000	125,000	125,000	125,000	125,000	125,000
Mansfield Capital Projects *											60,000				
Leyland Share - Relocation								30,210			10,000				
Membership Fees			10,040	13,085	17,355	20,282	19,215	21,820	22,440	20,199	16,983	15,000	15,000	16,778	15,000
Local Support				1,500	1,500										
State Support						4,993									
Contributions/Other					200	2,165	(165)			240					
Total Revenues	32,500	52,500	85,040	102,585	129,055	211,440	143,050	302,030	272,440	270,459	276,983	265,000	265,000	266,778	265,000
Operating Expenditures:															
Salaries and Benefits		15,531	71,378	73,007	83,974	92,800	107,140	121,544	133,679	135,713	147,126	164,070	174,877	170,810	178,264
Professional & Technical	930	9,519	7,386	5,406	8,397	63,068	44,967	31,817	27,202	28,893	71,561	102,100	102,100	61,608	61,700
Relocation Costs							20,000	40,420							
Office Rental		3,600	11,000	11,800	13,181	13,775	16,451	17,565	17,584	15,918	15,040	8,000	8,000	8,000	7,810
Insurance			1,650	1,760	1,764	1,772	1,702	1,704	1,713	1,724	1,715	1,750	1,750	1,747	2,205
Purchased Services			8,029	5,005	6,092	9,065	7,092	7,003	8,157	6,666	6,612	7,100	7,100	9,641	7,000
Supplies & Services		3,980	4,704	2,837	2,463	4,075	2,055	2,733	2,783	3,257	3,000	1,450	1,450	1,276	900
Contingency												25,000	14,193		25,000
Total Operating Expenditures	930	32,630	104,147	99,815	115,871	184,555	199,407	222,786	191,118	192,171	245,054	309,470	309,470	253,082	282,879
Operating Income/(Loss)	31,570	19,870	(19,107)	2,770	13,184	26,885	(56,357)	79,244	81,322	78,268	31,929	(44,470)	(44,470)	13,696	(17,879)
Fund Balance, July 1		31,570	51,440	32,333	35,103	48,287	75,172	18,815	98,059	179,381	257,649	289,578	289,578	289,578	303,274
Fund Balance, End of Period	\$ 31,570	\$ 51,440	\$ 32,333	\$ 35,103	\$ 48,287	\$ 75,172	\$ 18,815	\$ 98,059	\$ 179,381	\$ 257,649	\$ 289,578	\$ 245,108	\$ 245,108	\$ 303,274	\$ 285,395
Contribution Recap:															
Mansfield	\$ 32,500	\$ 20,000	\$ 30,000	\$ 41,500	\$ 50,000	\$ 62,000	\$ 62,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000
Mansfield Capital Projects							60,000								
UCONN		32,500	45,000	46,500	60,000	62,000	62,000	125,000	125,000	125,000	125,000	125,000	125,000	125,000	125,000
Total Contributions	\$ 32,500	\$ 52,500	\$ 75,000	\$ 88,000	\$ 110,000	\$ 184,000	\$ 124,000	\$ 250,000	\$ 250,000	\$ 250,000	\$ 250,000				

TOWN OF MANSFIELD
DOWNTOWN REVITALIZATION & ENHANCEMENT
PROJECT #84120 through #84130
ESTIMATED STATEMENT OF REVENUES, EXPENDITURES AND
CHANGES IN FUND BALANCE
AS OF JUNE 30, 2012

	Project Length	
	Budget	Actual
Operating Revenues:		
Intergovernmental Revenues -		
USDA Rural Development Grant	\$ 175,509	\$ 175,509
DECD STEAP Grants - I, II, III	1,200,000	700,000
Urban Action Grant	2,500,000	107,274
DOT Grant # 77-217	1,172,800	
Urban Action Grant/Rell	10,000,000	8,165,600
DOT Grant # 77-223	2,250,000	72,818
Federal Transit Authority (GHTD)	490,000	196,453
Omnibus Bill (DOT)	712,500	134,719
Federal Transit Authority (Bus Facility)	4,940,000	335,618
Local Support (DECD grant)	115,640	53,819
Local Share - Bonds	302,000	302,000
Leyland Share	1,250,860	9,000
Total Operating Revenues	25,109,309	10,252,810
Operating Expenditures:		
Downtown Revitalization & Enhancement:		
Legal Services	226,847	234,931
Legal Services - DECD Contract	7,442	2,442
Contracted Services	285,884	53,396
Architects & Engineers	2,136,207	1,778,938
Demolition	130,460	149,631
Environmental Remediation	70,022	79,559
Site Improvements	1,474,800	2,176
Construction Costs	18,162,818	11,178,821
Construction - Storrs Road	2,392,558	86,995
Construction - Walkway	222,271	222,271
Total Operating Expenditures	25,109,309	13,789,159
Revenues Over/(Under) Expenditures *		(3,536,350)
Fund Balance, July 1		
Fund Balance, End of Period	\$ -	\$ (3,536,350)

* Due from other agencies (grants)

SERIAL BONDS SUMMARY
SCHOOLS AND TOWN
June 30, 2012

	Schools	Town	Total
Balance at July 1, 2011	\$1,270,000	\$2,635,000	\$3,905,000
Issued During Period			
Retired During Period	85,000	375,000	460,000
Balance at 06/30/12	<u>\$1,185,000</u>	<u>\$2,260,000</u>	<u>\$3,445,000</u>

CHANGES IN BOND AND NOTES OUTSTANDING

	Serial Bonds	BAN's	Promissory Note	Total
Balance at July 1, 2011	\$3,905,000			\$3,905,000
Debt Issued				
Debt Retired	460,000			460,000
Balance at 06/30/12	<u>\$3,445,000</u>			<u>\$3,445,000</u>

Description	Original Amount	Payment Date		Bonds	BAN's	Promissory Note	Total
		P & I	I				
2004 Town Taxable Gen. Obligation Bond	2,590,000	6/01	12/01	315,000			315,000
2004 Town General Obligation Bond	940,000	6/01	12/01	160,000			160,000
2004 Town General Obligation Bond	725,000	6/01	12/01	130,000			130,000
2011 Town General Obligation Bond	2,840,000	3/01	09/01	2,840,000			2,840,000
	<u>\$7,095,000</u>			<u>\$3,445,000</u>			<u>\$3,445,000</u>

ESTIMATED DETAIL OF DEBT OUTSTANDING
SCHOOLS AND TOWNS
AS OF JUNE 30, 2012

	Original <u>Amount</u>	Estimated Balance <u>06/30/12</u>
Schools		
Consists of -		
2004 General Obligation Bonds:		
MMS IRC	\$ 940,000	\$ 160,000
2011 General Obligation Bonds:		
MMS Heating Conversion	1,025,000	1,025,000
	<hr/>	<hr/>
Schools Outstanding Debt	1,965,000	1,185,000
Town		
Consists of -		
2004 Taxable General Obligation Bonds:		
Community Center	\$ 2,590,000	\$ 315,000
2004 General Obligation Bonds:		
Library Renovations	725,000	130,000
2011 General Obligation Bonds:		
Community Center Air Conditioning	173,620	173,620
Hunting Lodge Road Bikeway	105,250	105,250
Salt Storage Shed	263,130	263,130
Storrs Rd/Flaherty Rd Streetscape Improvements	302,000	302,000
Various Equipment Purchases	93,000	93,000
Facility Improvements	40,000	40,000
Transportation Facility Improvements	130,000	130,000
Stone Mill Rd/Laurel Lane Bridge Replacements	378,000	378,000
2011 Sewer Purpose Obligation Bonds:		
Four Corners Sewer & Water Design	330,000	330,000
	<hr/>	<hr/>
Town Outstanding Debt	5,130,000	2,260,000
Total Debt Outstanding	<u>\$ 7,095,000</u>	<u>\$ 3,445,000</u>

TOWN OF MANSFIELD
SUMMARY OF INVESTMENTS

June 30, 2012

ALL OTHER FUNDS:

Institution	Principal	Rate of Interest	Date of Purchase	Date of Maturity	Accrued Interest @ 06/30/12
State Treasurer	7,361,821	0.120	Various	Various	
Total Accrued Interest @ 06/30/12					<u>22,392</u>
Interest Received 7/1/11 - 06/30/12					<u>22,392</u>
Total Interest, General Fund, 06/30/12					<u><u>22,392</u></u>

CAPITAL FUND:

Institution	Principal	Rate of Interest	Date of Purchase	Date of Maturity	Accrued Interest @ 06/30/12
State Treasurer			Various	Various	
Total Accrued Interest @ 06/30/12					_____
Interest Received 7/1/11 - 06/30/12					_____
Total Interest, Capital Fund @ 06/30/12					<u>_____</u>

HEALTH INSURANCE FUND:

Institution	Principal	Rate of Interest	Date of Purchase	Date of Maturity	Accrued Interest @ 06/30/12
MBIA - Class	2,139,740	0.010	Various	Various	
State Treasurer	2,134,069	0.120	Various	Various	
Total Accrued Interest @ 06/30/12					<u>3,646</u>
Interest Received 7/1/11 - 06/30/12					<u>3,646</u>
Total Interest, Health Insurance Fund @ 06/30/12					<u><u>3,646</u></u>

Town of Mansfield
Memo

DATE: July 2, 2012

TO: Matt Hart, Town Manager
Cherie Trahan, Director of Finance

FROM: Christine Gamache, Collector of Revenue

SUBJECT: Amounts and % of Collections for 7/1/11 to 06/30/2012 comparable to 7/1/10 to 06/30/2011

	GRAND LIST			DELINQUENT				
	2010	ADJUSTMENTS	ADJUSTED LIST	PAID	% PAID	BALANCE	% DEL	
TOTAL	23,230,929	(103,737)	23,127,191	(22,870,594)	98.9%	256,598	1.1%	
RESIDENTIAL	887,978	(1,447)	886,531	(856,505)	96.6%	30,026	3.4%	
COMMERCIAL	1,866,225	(51,248)	1,814,977	(1,721,486)	94.8%	93,491	5.2%	
INDUSTRIAL	25,985,132	(156,433)	25,828,700	(25,448,586)	98.5%	380,114	1.5%	
UNASSIGNED	211,218	(4,216)	207,001	(176,254)	85.1%	30,748	14.9%	
TOTAL	26,196,350	(160,649)	26,035,701	(25,624,839)	98.4%	410,862	1.6%	

PRIOR YEARS COLLECTION

July 1, 2011 to June 30, 2012

Suspense Collections	12,454.93	Suspense Interest	9,264.84
Prior Years Taxes	<u>104,326.01</u>	Interest and Lien Fees	<u>120,296.56</u>
	<u>116,780.94</u>		<u>129,561.40</u>

	GRAND LIST			DELINQUENT				
	2009	ADJUSTMENTS	ADJUSTED LIST	PAID	% PAID	BALANCE	% DEL	
TOTAL	22,250,372	(14,457)	22,235,915	22,041,596	99.1%	194,318	0.9%	
RESIDENTIAL	846,956	(9,643)	837,313	816,079	97.5%	21,234	2.5%	
COMMERCIAL	1,755,812	(56,578)	1,699,234	1,638,848	96.4%	60,386	3.6%	
INDUSTRIAL	24,853,140	(80,678)	24,772,462	24,496,524	98.9%	275,938	1.1%	
UNASSIGNED	187,103	(2,483)	184,620	164,971	89.4%	19,649	10.6%	
TOTAL	25,040,243	(83,161)	24,957,082	24,661,495	98.8%	295,587	1.2%	

PRIOR YEARS COLLECTION

July 1, 2010 to June 30, 2011

Suspense Collections	9,766	Suspense Interest Less Fees	11,259
Prior Years Taxes	<u>434,442</u>	Interest and Lien Fees	<u>254,661</u>
	<u>444,207</u>		<u>265,920</u>

CAPITAL PROJECTS - OPEN SPACE
STATUS REPORT THROUGH JUNE 30, 2012

Acreage	Total Budget	Expended Thru 6/30/2011	Current Year Expenditures	Estimated Unexpended Balance	Anticipated Grants
	\$4,409,389				
Expenditures Prior to 92/93		130,790			
UNALLOCATED COSTS:					
Appraisal Fees - Various		17,766			
Financial Fees		8,975			
Legal Fees		15,159			
Survey & Inspections		6,475			
Outdoor Maintenance		14,052	(100)		
Major Additions - Improvements		3,000			
Miscellaneous Costs		2,927	500		
Forest Stewardship-50' Cliff Preserve		3,652			
Parks Coordinator		103,604			
PROPERTY PURCHASES:					
Bassetts Bridge Rd Lots 1,2,3	8.23	128,439			
Baxter Property	25.80	163,330			
Bodwell Property	6.50	42,703			
Boettiger, Orr, Parish Property	106.00	101,579			
Dorwart Property	61.00	342,482			
Dunnack Property	32.00	35,161			
Eaton Property	8.60	162,236			
Ferguson Property	1.19	31,492			
Fesik Property	7.40	7,638			
Hatch/Skinner Property	35.33	291,780			
Holinko Property	18.60	62,576			
Larkin Property	11.70	24,202			
Lion's Club Park		81,871			
McGregor Property	2.10	8,804			
McShea Property		1,500			
* Merrow Meadow Park Develop.	15.00				
Morneau Property		4,310			
Moss Property	134.50	100,000			
Mulberry Road (Joshua's Trust)	5.90	12,500			
Mullane Property (Joshua's Trust)	17.00	10,000			
Olsen Property	59.75	104,133			
Ossen - Birchwood Heights Property		500			
Porter Property	6.70	135,466			
Reed Property	23.70	69,527			
Rich Property	102.00	283,322			
Sibley Property	50.57	90,734			
Swanson Property (Browns Rd)	29.00	64,423			
Thompson/Swaney Prop. (Bone Mill)		1,500			
Torrey Property	29.50	91,792			
Vernon Property	3.00	31,732			
Estate of Vernon - Property	88.41	257,996			
Warren Property	6.80	24,638			
Watts Property	23.50	92,456			
899.78	\$4,409,389	\$3,167,420	\$400	\$1,241,569	\$0

Project Name		Breakdown of Expenditures of Prior to 92/93	
85105 - Local Funds 94/95	\$250,000	White Cedar Swamp - Purchase	\$50,000
85105 - Local Funds 90/91	227,855	Appraisal Fees	250
85105 - Local Funds 97/98	250,000	Financial Fees	5,457
85105 - Local Funds 98/99	250,000	Miscellaneous Costs	605
85105 - Local Funds 99/00	250,000	Unidentifiable (Prior 89/90)	74,478
85105 - Local Funds 00/01	250,000		
85105 - Local Support June 15, 2001	5,000		
85105 - Local Funds 01/02	250,000		
85105 - Local Funds 02/03	75,000		
85105 - Local Funds 03/04	100,000		
85105 - State Support - Rich Property	60,000		
85105 - State Support - Hatch/Skinner Property	126,000		
85105 - State Support - Olsen Property	50,000		
85105 - State Support - Vernon Property	113,000		
85105 - State Support - Dorwart Property	112,534		
85114 - Bonded Funds	1,000,000		
85105 - Authorized Bonds 2010/11	1,040,000		
	\$4,409,389		

Mansfield Board of Education
Special Education Reserve Fund

07/01/11	Beginning Balance	\$ 694,000
	Plus: SpEd Grants/tuition revenue	306,800
	Less: Tuition/Transportation Expenditures from GF	<u>(379,919)</u>
06/30/12	Ending Balance	\$ 620,881
	Less: Designated for 2012/13 Special Education Costs	(350,000)
	Reserved*	<u>(95,000)</u>
06/30/12	Ending Available Balance	<u><u>175,881</u></u>

* Reserved: In the event of major failure these funds will be used to cover:
Food Service, Maintenance, and Technology Equipment - \$25,000 each
Language Arts Textbooks - \$20,000

MAINTENANCE PROJECTS - CAPITAL 86260

Date	Project Description	Status	Paid	Encumbered	Total Estimated Project Cost	Account Balance
07/01/10	Beginning Balance					155,235
1	Roof Repairs to all Town Buildings (American Heritage - 108697)	Open 08/09	14,974	-	14,974	140,261
2	Roof Repairs to All Town Buildings (American Heritage - 108686)	Completed 11/10	10,492	-	10,492	129,769
3	Preventive Maintenance to all Town Buildings and School (American Heritage - 108685)	Completed 11/10	15,838	-	15,838	113,931
4	New body for utility truck (New Haven Body - 108711)	Completed 12/09	8,430	-	8,430	105,501
5	Repairs/Paint for utility truck (Chris' Automotive - PV)	Completed 12/09	3,442	-	3,442	102,059
6	Evaluation of Siemen's Project (Fuss & O'Neill - 7464)	Cancel prior year encumbrance	-	(1,200)	(1,200)	103,259
7	Roof Repairs to All Town Buildings (American Heritage - Accrued A/P)	Completed 07/10	9,489	-	9,489	93,770
8	MCC Pool Pump Repairs (Piela Electric)	Completed 09/10	5,879	-	5,879	87,891
9	Firestation 107 Roof Repairs (American Heritage)	Completed 10/10	3,300	-	3,300	84,591
10	A/C Air Handler/Curb Adpt Vinton (Johnstone Supply)	Completed 10/10	2,926	-	2,926	81,665
11	Roof Repairs - Vinton American Heritage	Completed 1/11	317	-	317	87,574
12	Roof Repairs - Southeast American Heritage	Completed 1/11	715	-	715	86,859
13	Roof Repairs - MMS American Heritage	Completed 1/11	353	-	353	86,506
14	Roof Repairs - Southeast American Heritage	Completed 3/11	972	-	972	86,602
15	Roof Repairs - Library American Heritage	Completed 3/11	370	-	370	86,232
16	Roof Repairs - Southeast American Heritage	Completed 3/11	860	-	860	85,372
17	Boiler Repairs Willimantic Winnelson	Completed 2/11	4,253	-	4,253	81,119
18	Roof Repairs - MMS American Heritage	Completed 5/11	927	-	927	80,192
7/1/2011	11/12 Appropriation \$40,000					120,192
19	Arrow Fence Goodwin	Completed 9/11	3,828	-	3,828	116,364
20	Fuss & O'Neill Modifications to Generator at MCC	Completed 12/11	3,500	-	3,500	112,864
21	Willimantic Winnelson Boiler at Historical Society	Completed 1/12	4,666	-	4,666	108,198
22	Piela Electric Generator	Open	27,508	492	28,000	80,198
23	Rovic Rug Extractor	Completed 4/12	1,499	-	1,499	78,699
24	Overhead Door Repairs/Installation PW & Maint. Shop Doors	Open	3,265	235	3,500	75,199
25	Automated Building System Software License/25425	Open	4,820	-	4,820	70,379
26	A&A Asphalt LLC Vinton, Southeast, Goodwin Play area repairs	Completed 11/11	1,712	-	1,712	68,667
27	Grainger Air Compressor	Completed 11/11	3,307	-	3,307	65,360
28	Automated Building System Software License/25440	Open	4,920	-	4,920	60,440
29	Nutmeg Companies Repairs to waste pipe at Town Hall	Completed 4/12	4,642	-	4,642	55,798
30	Depot Pump Repairs to Well Pump at MMS	Completed 4/12	3,668	-	3,668	52,131
31	Willimantic Winnelson Plumbing/Electrical supplies MCC Generator	Open	-	2,500	2,500	49,631
32	Andert's Carpet Service Replaced Vinyl Flooring at Historical Society	Completed	1,894	-	1,894	47,737
33	Art Signs Senior Center Sign	Completed	1,750	-	1,750	45,987

Town of Mansfield
YTD Revenue Summary by Source

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriation	Appropriation Adj	Debit Amounts	Credit Amounts	Ending Balance	% Rec'd	Activity
111 General Fund - Town							
Taxes and Related Items							
40101 Current Year Levy	(25,507,520.00)	.00	123,861.81	25,666,211.22	34,829.41	100.14	25,542,349.41
40102 Prior Year Levy	(200,000.00)	.00	143,368.15	179,268.28	(164,099.87)	17.95	35,900.13
40103 Interest & Lien Fees	(135,000.00)	.00	946.47	126,366.17	(9,580.30)	92.90	125,419.70
40104 Motor Vehicle Supplement	(165,000.00)	.00	119.31	181,231.47	16,112.16	109.76	181,112.16
40105 Susp. Coll. Taxes - Trasc.	(6,000.00)	.00	59.73	12,462.38	6,402.65	206.71	12,402.65
40106 Susp. Coll. Int. - Trasc.	(4,000.00)	.00	10.94	9,264.47	5,253.53	231.34	9,253.53
40108 Motor Vehicle Penalty	.00	.00	.00	25.00	25.00	.00	25.00
Total Taxes and Related Items	(26,017,520.00)	.00	268,366.41	26,174,828.99	(111,057.42)	99.57	
Licenses and Permits							
40201 Misc Licenses & Permits	(2,520.00)	.00	.00	2,669.00	149.00	105.91	2,669.00
40202 Sport Licenses	(500.00)	.00	32.00	335.00	(197.00)	60.60	303.00
40203 Dog Licenses	(8,000.00)	.00	(67.40)	8,171.00	238.40	102.98	8,238.40
40204 Conveyance Tax	(200,000.00)	.00	.00	110,651.66	(89,348.34)	55.33	110,651.66
40205 Vacant Property Registration	(300.00)	.00	.00	300.00	.00	100.00	300.00
40210 Subdivision Permits	(4,000.00)	.00	.00	800.00	(3,200.00)	20.00	800.00
40211 Zoning/Special Permits	(18,000.00)	.00	120.00	17,258.00	(862.00)	95.21	17,138.00
40212 Zba Applications	(4,000.00)	.00	.00	2,400.00	(1,600.00)	60.00	2,400.00
40214 Iwa Permits	(5,000.00)	.00	25.00	2,815.00	(2,210.00)	55.80	2,790.00
40224 Road Permits	(1,250.00)	.00	.00	400.00	(850.00)	32.00	400.00
40230 Building Permits	(160,000.00)	.00	1,300.50	185,217.00	23,916.50	114.95	183,916.50
40231 Adm Cost Reimb-permits	(100.00)	.00	.00	216.00	116.00	216.00	216.00
40232 Housing Code Permits	(86,000.00)	.00	150.00	80,505.00	(5,645.00)	93.44	80,355.00
40233 Housing Code Penalties	(100.00)	.00	.00	700.00	600.00	700.00	700.00
40234 Landlord Registrations	(600.00)	.00	.00	2,905.00	2,305.00	484.17	2,905.00
Total Licenses and Permits	(490,370.00)	.00	1,560.10	415,342.66	(76,587.44)	84.38	
Federal Support - Education							
40369 FEMA Grant	.00	.00	.00	70,000.00	70,000.00	.00	70,000.00
Total Federal Support - Education	.00	.00	.00	70,000.00	70,000.00	.00	
Fed. Support Gov							
40352 Payment In Lieu Of Taxes	(1,850.00)	.00	.00	14,113.00	12,263.00	762.86	14,113.00
40357 Social Serv Block Grant	.00	.00	.00	3,316.00	3,316.00	.00	3,316.00
Total Fed. Support Gov	(1,850.00)	.00	.00	17,429.00	15,579.00	942.11	
State Support Education							
40401 Education Assistance	(10,070,680.00)	.00	.00	10,065,506.00	(5,174.00)	99.95	10,065,506.00
40402 School Transportation	(121,400.00)	.00	.00	116,428.00	(4,972.00)	95.90	116,428.00
Total State Support Education	(10,192,080.00)	.00	.00	10,181,934.00	(10,146.00)	99.90	

-140-

Town of Mansfield
YTD Revenue Summary by Source

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriation	Appropriation Adj	Debit Amounts	Credit Amounts	Ending Balance	% Rec'd	Activity
State Support Gov							
40451 Pilot - State Property	(7,056,130.00)	.00	.00	7,058,654.34	2,524.34	100.04	7,058,654.34
40454 Circuit Crt-parking Fines	(1,000.00)	.00	.00	2,285.00	1,285.00	228.50	2,285.00
40455 Circuit Breaker	(50,140.00)	.00	.00	45,246.70	(4,893.30)	90.24	45,246.70
40456 Tax Relief For Elderly	(2,000.00)	.00	.00	2,000.00	.00	100.00	2,000.00
40457 Library - Connecticutcard/ill	(15,000.00)	.00	1,281.00	15,072.00	(1,209.00)	91.94	13,791.00
40458 Library - Basic Grant	(2,300.00)	.00	.00	1,281.00	(1,019.00)	55.70	1,281.00
40459 Tax Credit New Mfg Equipment	(9,510.00)	.00	.00	.00	(9,510.00)	.00	.00
40460 Boat Reimbursement	(2,500.00)	.00	.00	.00	(2,500.00)	.00	.00
40462 Disability Exempt Reimb	(1,200.00)	.00	.00	1,253.96	53.96	104.50	1,253.96
40465 Emerg Mgmt Performance Grant	(13,000.00)	.00	23,311.00	35,600.00	(711.00)	94.53	12,289.00
40469 Veterans Reimb	(7,750.00)	.00	.00	7,117.98	(632.02)	91.84	7,117.98
40470 State Revenue Sharing	.00	.00	.00	54,053.96	54,053.96	.00	54,053.96
40494 Judicial Revenue Distribution	(9,000.00)	.00	.00	11,836.00	2,836.00	131.51	11,836.00
40496 Pilot-holinko Estates	(13,500.00)	.00	.00	9,854.00	(3,646.00)	72.99	9,854.00
40551 Pilot - Senior Housing	.00	.00	14,895.10	32,342.10	17,447.00	.00	17,447.00
Total State Support Gov	(7,183,030.00)	.00	39,487.10	7,276,597.04	54,079.94	100.75	
Charge for Services							
40605 Region 19 Financial Serv	(88,840.00)	.00	.00	88,840.00	.00	100.00	88,840.00
40606 Health District Services	(22,150.00)	.00	.00	22,150.00	.00	100.00	22,150.00
40610 Recording	(55,000.00)	.00	.00	62,032.00	7,032.00	112.79	62,032.00
40611 Copies Of Records	(11,400.00)	.00	.00	13,431.66	2,031.66	117.82	13,431.66
40612 Vital Statistics	(8,500.00)	.00	.00	13,985.00	5,485.00	164.53	13,985.00
40613 Sale Of Maps/regs	(100.00)	.00	.00	115.00	15.00	115.00	115.00
40620 Police Service	(2,000.00)	.00	2,044.50	71,772.90	67,728.40	3,486.42	69,728.40
40622 Redemption/Release Fees	(2,500.00)	.00	.00	975.00	(1,525.00)	39.00	975.00
40625 Animal Adoption Fees	(900.00)	.00	.00	645.00	(255.00)	71.67	645.00
40641 Postage On Overdue Books	(17,000.00)	.00	.00	11,359.94	(5,640.06)	66.82	11,359.94
40644 PARKING PLAN REVIEW FEE	(5,700.00)	.00	35.00	6,570.00	870.00	114.65	6,535.00
40650 Blue Prints	(50.00)	.00	.00	410.00	360.00	820.00	410.00
40656 Reg Dist 19 Grnds Mntnce	(73,480.00)	.00	.00	69,720.00	(3,760.00)	94.88	69,720.00
40663 Zoning Regulations	(200.00)	.00	.00	241.00	41.00	120.50	241.00
40671 Day Care Grounds Maintenance	(11,980.00)	.00	.00	11,980.00	.00	100.00	11,980.00
40674 Charge for Services	(2,500.00)	.00	.00	2,903.76	403.76	116.15	2,903.76
40678 Celeron Sq Assoc Bikepath Main	(2,700.00)	.00	.00	2,700.00	.00	100.00	2,700.00
40684 Cash Overage/Shortage	.00	.00	100.40	.74	(99.66)	.00	(99.66)
40699 Fire Safety Code Fees	(20,000.00)	.00	858.83	23,241.77	2,382.94	111.91	22,382.94
Total Charge for Services	(325,000.00)	.00	3,038.73	403,073.77	75,035.04	123.09	
Fines and Forfeitures							
40702 Parking Tickets - Town	(7,800.00)	.00	.00	10,905.00	3,105.00	139.81	10,905.00
40710 Building fines	(1,000.00)	.00	.00	3,015.00	2,015.00	301.50	3,015.00
40711 Landlord Registration Penalty	(90.00)	.00	.00	.00	(90.00)	.00	.00
40713 NUISANCE ORDINANCE	.00	.00	250.00	9,725.00	9,475.00	.00	9,475.00
40714 Littering Ordinance	.00	.00	.00	90.00	90.00	.00	90.00
40715 Ordinance Violation Penalty	(500.00)	.00	.00	3,703.00	3,203.00	740.60	3,703.00
40716 Noise Ordinance Violation	(1,300.00)	.00	.00	88.00	(1,212.00)	6.77	88.00

Town of Mansfield
YTD Revenue Summary by Source

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriation	Appropriation Adj	Debit Amounts	Credit Amounts	Ending Balance	% Rec'd	Activity
40717 Possession Alcohol Ordinance	(8,500.00)	.00	.00	3,150.00	(5,350.00)	37.06	3,150.00
40718 Open Liquor Container Ordin	(12,000.00)	.00	.00	5,130.00	(6,870.00)	42.75	5,130.00
Total Fines and Forfeitures	(31,190.00)	.00	250.00	35,806.00	4,366.00	114.00	
Miscellaneous							
40804 Rent - Historical Soc	(2,000.00)	.00	.00	3,300.00	1,300.00	165.00	3,300.00
40807 Rent - Town Hall	(200.00)	.00	.00	8,150.00	7,950.00	4,075.00	8,150.00
40808 Rent - Senior Center	(100.00)	.00	.00	.00	(100.00)	.00	.00
40817 Telecom Services Payment	(55,000.00)	.00	.00	54,248.44	(751.56)	98.63	54,248.44
40820 Interest Income	(25,000.00)	.00	4,531.90	26,923.80	(2,608.10)	89.57	22,391.90
40824 Sale Of Supplies	(20.00)	.00	.00	15.00	(5.00)	75.00	15.00
40825 Rent - R19 Maintenance	(2,790.00)	.00	.00	2,790.00	.00	100.00	2,790.00
40890 Other	(2,500.00)	.00	794.03	1,781.84	(1,512.19)	39.51	987.81
Total Miscellaneous	(87,610.00)	.00	5,325.93	97,209.08	4,273.15	104.88	
Operating Transfers In							
40928 School Cafeteria	(2,500.00)	.00	.00	2,500.00	.00	100.00	2,500.00
Total Operating Transfers In	(2,500.00)	.00	.00	2,500.00	.00	100.00	
Total 111 General Fund - Town	(44,331,150.00)	.00	318,028.27	44,674,720.54	25,542.27	100.06	

-142-

Town of Mansfield
YTD Revenue Summary by Source

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriation	Appropriation Adj	Debit Amounts	Credit Amounts	Ending Balance	% Rec'd	Activity
Accounts : 86		**** Grand Total ****	(44,331,150.00)	.00	318,028.27	44,674,720.54	25,542.27 100.06 44,356,692.27

==== Selection Legend =====

Account Type: R
FY: 2012 to 2012
From Fund: 111 to 111
Account Sub Type: CP
Object Element SubClass:

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriations	Transfers and Supplementals	Encumbrances	Expenditures	In-Progress Transactions	Remaining Balance	% Used
111 General Fund - Town							
General Government							
11100 Legislative	75,690.00	.00	1,351.12	73,570.72	.00	768.16	98.99
12100 Municipal Management	191,700.00	5,190.00	.00	202,898.09	.00	(6,008.09)	103.05
12200 Human Resources	126,620.00	2,410.00	9,110.00	135,840.71	.00	(15,920.71)	112.34
13100 Town Attorney	42,500.00	.00	.00	40,698.35	.00	1,801.65	95.76
13200 Probate	4,300.00	.00	.00	4,297.00	.00	3.00	99.93
14200 Registrars	63,700.00	(9,940.00)	105.00	49,544.14	.00	4,110.86	92.35
15100 Town Clerk	200,020.00	1,770.00	.00	204,231.94	.00	(2,441.94)	101.21
15200 General Elections	22,800.00	.00	380.00	11,946.43	.00	10,473.57	54.06
16100 Finance Administration	51,010.00	1,170.00	.00	53,278.92	.00	(1,098.92)	102.11
16200 Accounting & Disbursements	220,085.00	7,530.00	.00	222,024.09	.00	5,590.91	97.54
16300 Revenue Collections	148,540.00	(3,500.00)	3,377.05	146,628.16	.00	(4,965.21)	103.42
16402 Property Assessment	209,015.00	.00	.00	208,517.29	.00	497.71	99.76
16510 Central Copying	39,000.00	.00	.00	38,857.00	.00	143.00	99.63
16511 Central Services	34,000.00	.00	1,500.00	34,790.94	.00	(2,290.94)	106.74
16600 Information Technology	10,500.00	.00	.00	10,500.00	.00	.00	100.00
30900 Facilities Management	898,240.00	3,340.00	9,045.81	895,207.83	.00	(2,673.64)	100.30
Total General Government	2,337,720.00	7,970.00	24,868.98	2,332,831.61	.00	(12,010.59)	100.51
Public Safety							
21200 Police Services	994,620.00	.00	482.52	1,045,644.50	.00	(51,507.02)	105.18
21300 Animal Control	92,980.00	.00	.00	91,783.56	.00	1,196.44	98.71
22101 Fire Marshal	136,130.00	1,360.00	25.00	132,333.84	.00	5,131.16	96.27
22155 Fire & Emerg Services Admin	210,380.00	2,360.00	.00	203,541.37	.00	9,198.63	95.68
22160 Fire & Emergency Services	1,402,370.00	2,510.00	6,601.49	1,613,134.89	.00	(214,856.38)	115.29
23100 Emergency Management	50,140.00	630.00	.00	51,996.17	.00	(1,226.17)	102.42
Total Public Safety	2,886,620.00	6,860.00	7,109.01	3,138,434.33	.00	(252,063.34)	108.71
Public Works							
30100 Public Works Administration	102,500.00	2,720.00	.00	105,708.94	.00	(488.94)	100.46
30200 Supervision & Operations	93,120.00	2,040.00	.00	90,977.98	.00	4,182.02	95.61
30300 Road Services	685,620.00	.00	.00	635,444.85	.00	50,175.15	92.68
30400 Grounds Maintenance	355,970.00	.00	.00	351,195.44	.00	4,774.56	98.66
30600 Equipment Maintenance	591,000.00	.00	1,628.00	570,585.43	.00	18,786.57	96.82
30700 Engineering	181,050.00	.00	.00	121,730.70	.00	59,319.30	67.24
Total Public Works	2,009,260.00	4,760.00	1,628.00	1,875,643.34	.00	136,748.66	93.21
Community Services							
42100 Human Services Administration	328,910.00	2,250.00	.00	332,356.29	.00	(1,196.29)	100.36
42202 Mansfield Challenge - Winter	.00	.00	.00	30.07	.00	(30.07)	.00
42204 Youth Employment - Middle Sch	2,000.00	.00	.00	2,757.50	.00	(757.50)	137.88
42210 Youth Services	165,970.00	.00	.00	162,049.20	.00	3,920.80	97.64
42300 Senior Services	199,250.00	120.00	18.19	205,628.59	.00	(6,276.78)	103.15
43100 Library Services Admin	641,475.00	13,290.00	4,678.95	583,953.48	.00	66,132.57	89.90
45000 Contributions To Area Agency	317,940.00	.00	.00	317,938.68	.00	1.32	100.00

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriations	Transfers and Supplementals	Encumbrances	Expenditures	In-Progress Transactions	Remaining Balance	% Used
Total Community Services	1,655,545.00	15,660.00	4,697.14	1,604,713.81	.00	61,794.05	96.30
Community Development							
30800 Building Inspection	163,680.00	6,830.00	.00	175,381.45	.00	(4,871.45)	102.86
30810 Housing Inspection	106,625.00	1,860.00	.00	103,220.73	.00	5,264.27	95.15
51100 PLANNING & DEVELOPMENT	208,580.00	24,410.00	.00	225,081.58	.00	7,908.42	96.61
52100 Planning/Zoning Inland/Wetlnd	7,530.00	.00	.00	6,203.70	.00	1,326.30	82.39
58000 Boards and Commissions	4,750.00	.00	.00	4,183.65	.00	566.35	88.08
Total Community Development	491,165.00	33,100.00	.00	514,071.11	.00	10,193.89	98.06
Town-Wide Expenditures							
71000 Employee Benefits	2,329,430.00	.00	.00	2,197,371.43	.00	132,058.57	94.33
72000 Insurance	126,470.00	.00	.00	122,905.00	.00	3,565.00	97.18
73000 Contingency	120,880.00	(68,350.00)	.00	.00	.00	52,530.00	.00
Total Town-Wide Expenditures	2,576,780.00	(68,350.00)	.00	2,320,276.43	.00	188,153.57	92.50
Other Financing							
92000 Other Financing Uses	1,872,660.00	.00	.00	1,957,660.00	.00	(85,000.00)	104.54
Total Other Financing	1,872,660.00	.00	.00	1,957,660.00	.00	(85,000.00)	104.54
Total 111 General Fund - Town	13,829,750.00	.00	38,303.13	13,743,630.63	.00	47,816.24	99.65

145

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriations	Transfers and Supplementals	Encumbrances	Expenditures	In-Progress Transactions	Remaining Balance	% Used
Accounts : 485 **** Grand Total ****	13,829,750.00	.00	38,303.13	13,743,630.63	.00	47,816.24	99.65

==== Selection Legend =====

Account Type: E
FY: 2012 to 2012
From Fund: 111 to 111
Account Sub Type: P
Department SubClass:

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriations	Transfers and Supplementals	Encumbrances	Expenditures	In-Progress Transactions	Remaining Balance	% Used
112 General Fund - Board							
Reg Instructional Prog							
61101 Regular Instruction	7,780,020.00	(1,940.00)	.00	7,774,901.32	.00	3,178.68	99.96
61102 English	49,520.00	.00	12,130.95	23,738.02	.00	13,651.03	72.43
61104 World Languages	10,090.00	.00	1,578.48	7,176.50	.00	1,335.02	86.77
61105 Health & Safety	7,730.00	.00	1,172.24	5,570.76	.00	987.00	87.23
61106 Physical Education	12,690.00	.00	2,444.24	11,717.00	.00	(1,471.24)	111.59
61107 Art	14,060.00	.00	2,554.70	10,189.39	.00	1,315.91	90.64
61108 Mathematics	30,020.00	.00	5,036.03	13,099.05	.00	11,884.92	60.41
61109 Music	17,240.00	.00	1,672.62	11,367.60	.00	4,199.78	75.64
61110 Science	30,750.00	.00	1,561.77	25,245.60	.00	3,942.63	87.18
61111 Social Studies	20,680.00	.00	2,206.33	11,488.22	.00	6,985.45	66.22
61115 Information Technology	201,250.00	.00	29,536.81	192,997.97	.00	(21,284.78)	110.58
61122 Family & Consumer Science	9,080.00	.00	557.40	2,400.48	.00	5,122.12	32.58
61123 Technology Education	10,830.00	.00	2,408.18	11,511.71	.00	(3,089.89)	128.53
Total Reg Instructional Prog	8,193,960.00	(1,940.00)	62,859.75	8,101,403.62	.00	27,756.63	99.66
Special Educ. Programs							
61201 Special Ed Instruction	1,372,510.00	(12,970.00)	1,621.24	1,339,292.04	.00	18,626.72	98.63
61202 Enrichment	404,710.00	.00	535.31	395,798.97	.00	8,375.72	97.93
61204 Preschool	331,060.00	380.00	.00	323,968.15	.00	7,471.85	97.75
Total Special Educ. Programs	2,108,280.00	(12,590.00)	2,156.55	2,059,059.16	.00	34,474.29	98.35
Culturally Disadv Pupil							
61310 Remedial Reading/Math	336,700.00	(13,770.00)	.00	321,326.40	.00	1,603.60	99.50
Total Culturally Disadv Pupil	336,700.00	(13,770.00)	.00	321,326.40	.00	1,603.60	99.50
Summer School-Free Only							
61400 Summer School	40,500.00	.00	.00	42,553.93	.00	(2,053.93)	105.07
Total Summer School-Free Only	40,500.00	.00	.00	42,553.93	.00	(2,053.93)	105.07
Tuition Payments							
61600 Tuition Payments	14,760.00	.00	2,928.00	101,327.67	.00	(89,495.67)	706.34
Total Tuition Payments	14,760.00	.00	2,928.00	101,327.67	.00	(89,495.67)	706.34
Central Serv Instr Supp							
61900 Central Service-Instr Suppl.	159,760.00	.00	10,921.85	131,917.53	.00	16,920.62	89.41
Total Central Serv Instr Supp	159,760.00	.00	10,921.85	131,917.53	.00	16,920.62	89.41
Support Serv-Students							
62102 Guidance Services	140,420.00	90.00	3,219.49	135,075.10	.00	2,215.41	98.42
62103 Health Services	208,370.00	2,280.00	926.79	214,376.51	.00	(4,653.30)	102.21
62104 Outside Eval/Contracted Serv	231,500.00	.00	1,938.39	237,125.41	.00	(7,563.80)	103.27

-147-

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriations	Transfers and Supplementals	Encumbrances	Expenditures	In-Progress Transactions	Remaining Balance	% Used
62105 Speech And Hearing Services	151,860.00	.00	54.95	140,419.01	.00	11,386.04	92.50
62106 Pupil Services - Testing	11,570.00	.00	.00	30.00	.00	11,540.00	.26
62108 Psychological Services	290,380.00	.00	368.17	287,026.63	.00	2,985.20	98.97
Total Support Serv-Students	1,034,100.00	2,370.00	6,507.79	1,014,052.66	.00	15,909.55	98.47
Improv-Instr Services							
62201 Curriculum Development	167,440.00	.00	16,885.00	103,558.68	.00	46,996.32	71.93
62202 Professional Development	36,990.00	.00	10,419.30	25,418.24	.00	1,152.46	96.88
Total Improv-Instr Services	204,430.00	.00	27,304.30	128,976.92	.00	48,148.78	76.45
Educ Media Services							
62302 Media Services	70,770.00	.00	14,541.96	66,054.75	.00	(9,826.71)	113.89
62310 Library	289,040.00	.00	2,268.66	263,409.20	.00	22,362.14	92.24
Total Educ Media Services	358,810.00	.00	16,810.62	329,463.95	.00	12,535.43	96.51
General Administration							
62401 Board Of Education	416,600.00	30,510.00	23,895.29	381,711.26	.00	41,503.45	90.72
62402 Superintendent's Office	372,860.00	3,890.00	7,752.00	336,101.57	.00	32,896.43	91.27
62404 Special Education Admin	289,200.00	.00	2,055.71	275,050.47	.00	12,093.82	95.82
Total General Administration	1,078,660.00	34,400.00	33,703.00	992,863.30	.00	86,493.70	92.23
School Based Admin							
62520 Principals' Office Services	1,023,220.00	2,200.00	13,411.30	1,018,305.40	.00	(6,296.70)	100.61
62521 Support Services - Central	16,490.00	.00	6,566.38	9,955.79	.00	(32.17)	100.20
62523 Field Studies	13,500.00	.00	.00	12,350.90	.00	1,149.10	91.49
Total School Based Admin	1,053,210.00	2,200.00	19,977.68	1,040,612.09	.00	(5,179.77)	100.49
Fiscal Serv/Bus Support							
62601 Business Management	323,330.00	1,870.00	.00	320,592.29	.00	4,607.71	98.58
Total Fiscal Serv/Bus Support	323,330.00	1,870.00	.00	320,592.29	.00	4,607.71	98.58
Plant Oper & Maint Serv							
62710 Plant Operations - Building	1,491,460.00	3,450.00	20,695.28	1,513,277.31	.00	(39,062.59)	102.61
Total Plant Oper & Maint Serv	1,491,460.00	3,450.00	20,695.28	1,513,277.31	.00	(39,062.59)	102.61
Student Transp Service							
62801 Regular Transportation	692,270.00	.00	10,995.00	808,815.22	.00	(127,540.22)	118.42
62802 Spec Ed Transportation	122,000.00	.00	.00	216,094.64	.00	(94,094.64)	177.13
Total Student Transp Service	814,270.00	.00	10,995.00	1,024,909.86	.00	(221,634.86)	127.22
Enterprise Activities							
63430 After School Program	40,330.00	.00	363.73	42,245.76	.00	(2,279.49)	105.65
63440 Athletic Program	36,190.00	.00	.00	30,847.37	.00	5,342.63	85.24

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

Account Number and Description	Appropriations	Transfers and Supplementals	Encumbrances	Expenditures	In-Progress Transactions	Remaining Balance	% Used
Total Enterprise Activities	76,520.00	.00	363.73	73,093.13	.00	3,063.14	96.00
Employee Benefits							
68000 Employee Benefits	3,217,370.00	.00	.00	3,078,211.32	.00	139,158.68	95.67
Total Employee Benefits	3,217,370.00	.00	.00	3,078,211.32	.00	139,158.68	95.67
Transfer Out-Other Fund							
69000 Transfers Out To Other Funds	66,050.00	.00	.00	96,050.00	.00	(30,000.00)	145.42
Total Transfer Out-Other Fund	66,050.00	.00	.00	96,050.00	.00	(30,000.00)	145.42
Total 112 General Fund - Board	20,572,170.00	15,990.00	215,223.55	20,369,691.14	.00	3,245.31	99.98

Town of Mansfield
YTD Expenditure Summary

Fiscal Year: 2012 to 2012

```

=====
Account Number and Description      Appropriations  Transfers and  Encumbrances  Expenditures  In-Progress  Remaining  % Used
=====  =====  =====  =====  =====  =====  =====  =====
Accounts : 529      **** Grand Total ****      20,572,170.00      15,990.00      215,223.55      20,369,691.14      .00      3,245.31      99.98
=====  =====  =====  =====  =====  =====  =====  =====

```

==== Selection Legend =====

Account Type: E
FY: 2012 to 2012
From Fund: 112 to 112
Account Sub Type: P
Department SubClass:



**Town of Mansfield
Agenda Item Summary**

To: Town Council
From: Matt Hart, Town Manager *MH*
CC: Maria Capriola, Assistant Town Manager; Cherie Trahan, Director of Finance
Date: September 10, 2012
Re: Year End Budget Transfers for FY 2011/12

Subject Matter/Background

At its September 10, 2012 meeting, the Finance Committee will review the Yearend Budget Transfers for 2011/12. These transfers align with the budget at yearend with actual expenditures. The fiscal year ended with a \$47,816 balance remaining unspent which reverts back to fund balance. The Finance Committee will consider recommending a resolution by the Town Council to approve the Yearend Budget Transfers as presented.

Recommendation

If the Finance Committee recommends acceptance of the budget transfers and the Town Council as a whole concurs with the Finance Committee's recommendation, the following motion would be in order:

Resolved, effective September 10, 2012, to adopt the Yearend Budget Transfers for FY 2011/12, as presented by the Director of Finance in her correspondence dated September 10, 2012.

Attachments

- 1) Yearend Budget Transfers – FY 2011/12

INTEROFFICE MEMORANDUM

TO: MANSFIELD TOWN COUNCIL
FROM: CHERIE TRAHAN
DATE: 09/10/12
SUBJECT: YEAREND BUDGET TRANSFERS 2011/2012

Attached for your consideration is a request for budget transfers for the 2011-2012 fiscal year. The Town finished the year with \$47,816 remaining unspent which will revert back to fund balance. A brief description of the requested transfers over \$1,000 follows.

Additional Appropriations

- Municipal Management: \$6,008 - This is primarily due to additional hours for administrative staff, and the annual salary increase for the Town Manager that was included in the contingency account of the adopted budget.
- Human Resources: \$15,921 - This is primarily due to an increase in legal services for contract negotiations (\$9,519) and additional hours for administrative staff.
- Town Clerk: \$2,442 - There was an increase in advertising costs due to the increase in the legal notices required for the political parties and the numerous ordinances that were enacted or amended. There were more than 32 separate notices published in the Chronicle.
- Finance Administration: \$1,099 - This is due to a calculation adjustment for the Town's share of the Finance Director's salary and additional costs for conference and training fees for staff.
- Revenue Collection: \$4,965 - This increase is due to the change in the process of how the June 2012 tax bills were processed through Quality Data. This increase was offset by savings in the postage account.
- Central Services \$2,291 - This increase is for carpet and desk replacements in the Resident State Troopers office.
- Facilities Management \$2,674 - This is primarily due to refuse collection expenditures more than anticipated.
- Police Services: \$ 51,507 - Reimbursable State Trooper Overtime was more than budget but is also offset by the revenues collected.
- Fire and Emergency Services: \$214,856 - The over-expenditures are primarily for staffing and equipment repairs. Attached is a memo from Chief Dagon explaining the fiscal year needs.

- Emergency Management: \$1,226 – This was due to a coding error for the Assistant Fire Marshal’s position and is offset by a savings in the Fire Marshal budget.
- Human Services Administration: \$1,196 - This is primarily due to an adjustment for fee waivers to the Mansfield Community Center.
- Senior Services: \$6,277 – Medical Services – This increase is to cover a remaining deficit balance for VNA services recorded in the 270 Fund.
- Building Inspection: \$4,871 – This increase was due to the temporary help, offset by savings in Housing Inspection.
- Other Financing Uses: \$85,000 – Additional appropriation to the CNR fund where \$60,000 was used for Capital Projects for the police services study and improvements to Sunny Acres playscape.

.....

Due to the number of budget reductions, please find a brief description of reductions that were greater than \$10,000.

Major Reductions

- General Elections: \$10,474 – This savings is primarily due to not using as many election workers during the April primary. A budget referendum was budgeted for but not needed which resulted in additional savings. Also, there were no equipment repairs during the year.
- Road Services: \$50,175 – This reduction is salary savings due to the mild winter that we had this past year and two employees being out on Workers Compensation.
- Equipment Maintenance: \$18,787 – This reduction is also due to the mild winter we had resulting in overtime salary savings and savings in parts and equipment.
- Engineering: \$59,319 – This reduction is a result of inspection services being reimbursed by grant funding.
- Library Services Administration: \$66,133 – This savings is mostly due to salary savings from the vacant Library Director position for three months along with vacant part-time positions. Also, materials and system support expenditures in the general fund were less than anticipated.

Town of Mansfield
Yearend Budget Transfers
FY 2011/12

<u>Department</u>	<u>Budget</u>	<u>Add'l</u>	<u>Reduction</u>	<u>Appropriation</u>	<u>Expenditures</u>	<u>Balance</u>
11100 Legislative	75,690		(768)	74,922	74,922	-
12100 Municipal Management	196,890	6,008		202,898	202,898	-
12200 Human Resources	129,030	15,921		144,951	144,951	-
13100 Town Attorney	42,500		(1,801)	40,699	40,699	-
13200 Probate	4,300		(3)	4,297	4,297	-
14200 Registrars	53,760		(4,111)	49,649	49,649	-
15100 Town Clerk	201,790	2,442		204,232	204,232	-
15200 General Elections	22,800		(10,474)	12,326	12,326	-
16100 Finance Administration	52,180	1,099		53,279	53,279	-
16200 Accounting & Disbursements	227,615		(5,591)	222,024	222,024	-
16300 Revenue Collections	145,040	4,965		150,005	150,005	-
16402 Property Assessment	209,015		(498)	208,517	208,517	-
16510 Central Copying	39,000		(143)	38,857	38,857	-
16511 Central Services	34,000	2,291		36,291	36,291	-
16600 Information Technology	10,500			10,500	10,500	-
30900 Facilities Management	901,580	2,674		904,254	904,254	-
Total General Government	2,345,690	35,400	(23,389)	2,357,701	2,357,701	-
21200 Police Services	994,620	51,507		1,046,127	1,046,127	-
21300 Animal Control	92,980		(1,196)	91,784	91,784	-
22101 Fire Marshal	137,490		(5,131)	132,359	132,359	-
22155 Fire & Emerg Services Admin	212,740		(9,199)	203,541	203,541	-
22160 Fire & Emergency Services	1,404,880	214,856		1,619,736	1,619,736	-
23100 Emergency Management	50,770	1,226		51,996	51,996	-
Total Public Safety	2,893,480	267,589	(15,526)	3,145,543	3,145,543	-
30100 Public Works Administration	105,220	489		105,709	105,709	-
30200 Supervision & Operations	95,160		(4,182)	90,978	90,978	-
30300 Road Services	685,620		(50,175)	635,445	635,445	-
30400 Grounds Maintenance	355,970		(4,775)	351,195	351,195	-
30600 Equipment Maintenance	591,000		(18,787)	572,213	572,213	-
30700 Engineering	181,050		(59,319)	121,731	121,731	-
Total Public Works	2,014,020	489	(137,238)	1,877,271	1,877,271	-
42100 Human Services Administration	331,160	1,196		332,356	332,356	-
42202 Mansfield Challenge - Winter	-	30		30	30	-
42204 Youth Employment - Middle Sch	2,000	758		2,758	2,758	-
42210 Youth Services	165,970		(3,921)	162,049	162,049	-
42300 Senior Services	199,370	6,277		205,647	205,647	-
43100 Library Services Admin	654,765		(66,133)	588,632	588,632	-
45000 Contributions To Area Agency	317,940		(1)	317,939	317,939	-
Total Community Services	1,671,205	8,261	(70,055)	1,609,411	1,609,411	-
30800 Building Inspection	170,510	4,871		175,381	175,381	-
30810 Housing Inspection	108,485		(5,264)	103,221	103,221	-
51100 Planning Administration	232,990		(7,908)	225,082	225,082	-
52100 Planning/Zoning Inland/Wetlnd	7,530		(1,326)	6,204	6,204	-
58000 Boards and Commissions	4,750		(566)	4,184	4,184	-
Total Community Development	524,265	4,871	(15,064)	514,072	514,072	-
71000 Employee Benefits	2,329,430		(132,059)	2,197,371	2,197,371	-
72000 Insurance	126,470		(3,565)	122,905	122,905	-
73000 Contingency	52,530		(4,714)	47,816	-	47,816
Total Town Wide Expenditures	2,508,430	-	(140,338)	2,368,092	2,320,276	47,816
92000 Other Financing Uses	1,872,660	85,000		1,957,660	1,957,660	-
Total Other Financing	1,872,660	85,000	-	1,957,660	1,957,660	-
Grand Total	13,829,750	401,610	(401,610)	13,829,750	13,781,934	47,816



Town of Mansfield Fire and Emergency Services

To: Cherie Trahan, Director of Finance
From: David J. Dagon, Fire Chief
Date: September 4, 2012
Subject: Fiscal Year 11-12 Budget expenditures

Personnel Costs

The most significant over expenditure in the Fire & Emergency Services budget occurred in areas related to personnel costs. A total of \$157,008 (73% of the over expenditure) took place specifically in the following line items:

- Regular Salaries
- Part-time Salaries
- Training Salaries
- Overtime – Time and One-Half
- Work Clothing
- Protective Clothing

The expense was associated with personnel vacancies that took place starting in the previous fiscal year and extended into fiscal year 11-12 even as the department was engaged in an entry level hiring process to fill the vacancies.

A full time vacancy occurred in fiscal year 10-11 which was followed quickly by four (4) part time firefighter vacancies. These vacancies, taken in total, severely impacted the department's ability to staff shifts with part time firefighters. In the absence of an adequate number of part time firefighters, full time firefighters were hired to staff shifts on overtime.

As soon as the department and town became aware of the vacancies an entry level hiring process was initiated for the full time and part time positions. The hiring process extended into fiscal year 11-12 before the vacancies were filled. At the time the department decided to hire seven (7) part time firefighters to help control personnel costs. The appointments took place in August of 2011 but it was not until late October and early November that the majority of the new part time firefighters became qualified to staff shifts, thus enabling the department to gain more control over salary expenditures related to staffing shifts.

Additionally, with the hiring of 7 new part time personnel, both work clothing and protective clothing was needed to outfit the new hires properly. It was not anticipated that the funds in the fire & emergency services operational budget for uniforms and protective clothing would be sufficient to cover a large group of new hires; funding is usually provided only for replacement of a limited number of ensembles of protective clothing and uniforms each year.

Vehicle Repairs and Maintenance

The second area of over expenditure in the Fire & Emergency Services budget occurred in areas related to maintenance of vehicles. A total of \$48,859 (23% of the over expenditure) took place in the following line items:

- Vehicle Repairs and Maintenance
- Ambulance Repairs
- Truck Parts

The over expenditure in these line items can generally be attributed to the fire department's aging fleet of apparatus. However, the quality and timeliness of maintenance are perhaps the most significant factors in determining how well apparatus age. Fire apparatus that breaks down at any time during an emergency operation not only compromises the success of the operation but might jeopardize the safety of the firefighters relying on that apparatus to support their role in the operation.

Medical Supplies

Unfortunately the department had to purchase 2 vitals monitors to replace monitors that were no longer functioning; the cost for the 2 monitors was \$5,198. In addition, we experienced an increase in cost for medical oxygen as well. These two expenses account for 60% of the over expenditure in this line item.

Firefighting Supplies

An analysis of spending in this account does not reveal any specific expense attributable to the over expenditure. This account is used for the purchase of a wide variety of items used during responses to calls for service as well as items needed for light maintenance and upkeep of the fire stations.



**Town of Mansfield
Agenda Item Summary**

To: Town Council
From: Matt Hart, Town Manager *Matt Hart*
CC: Maria Capriola, Assistant Town Manager; Cherie Trahan, Director of Finance
Date: September 10, 2012
Re: Capital Improvement Program Closeouts/Adjustments

Subject Matter/Background

Attached please find correspondence from the Director of Finance recommending adjustments to the Capital Projects Fund. Throughout the fiscal year, we do periodically recommend such adjustments, and the Director will be available at Monday's meeting to address any questions you may have.

Recommendation

The Finance Committee will review the proposed adjustments at their meeting on September 10, 2012. If they recommend approval, the following motion is in order:

Move, effective September 10, 2012, to approve the adjustments to the Capital Projects fund, as presented by the Director of Finance in her correspondence dated September 10, 2012.

Attachments

- 1) C. Trahan re: Capital Projects Fund
- 2) Proposed Capital Fund Budget Changes

TOWN OF MANSFIELD
OFFICE OF THE DIRECTOR OF FINANCE



CHERIE TRAHAN, Director of Finance

AUDREY P. BECK BUILDING
FOUR SOUTH EAGLEVILLE ROAD
MANSFIELD, CT 06268-2599
(860) 429-3344
fax: (860) 429-6863
E-Mail: trahanca@mansfieldct.org

TO: Matthew W. Hart, Town Manager
FROM: Cherie Trahan, Director of Finance
DATE: September 10, 2012
RE: Capital Projects Fund

Attached is an analysis of current and proposed Revenue and Expenditure Budgets for specific Capital Projects as of June 30, 2012. The additional funding for Strategic Planning will pay off the balance of the Police Services Study. As discussed during the 2012/13 budget process, yearend funds are available to make some improvements to the playscape at Sunny Acre Park. If adopted as presented, it will accomplish the following.

1. Increase/(Decrease) funding for the following projects:

81919 Strategic Planning – Police Services Study	\$10,000
85811 Playscapes New/Replacements – Sunny Acre Park	\$50,000

PROPOSED CAPITAL FUND BUDGET CHANGES

JOB #	DESCRIPTION	FUNDING SOURCE	REVENUE BUDGET				OVER/ (UNDER) PROPOSED	EXPENDITURE BUDGET				BALANCE TO SPEND (OVERSPENT)
			CURRENT BUDGET	PROPOSED CHANGE	AMENDED BUDGET	ACTUAL REVENUES		CURRENT BUDGET	PROPOSED CHANGE	AMENDED BUDGET	ACTUAL EXPEND.	
85811	Playscapes New/Replacements	CNR	-	50,000	50,000	-	(50,000)	-	50,000	50,000	-	50,000
81919	Strategic Planning Study	CNR	165,000	10,000	175,000	175,000	-	165,000	10,000	175,000	173,550	1,450
			<u>\$ 165,000</u>	<u>\$ 60,000</u>	<u>\$ 225,000</u>	<u>\$ 175,000</u>	<u>\$ (50,000)</u>	<u>\$ 165,000</u>	<u>\$ 60,000</u>	<u>\$ 225,000</u>	<u>\$ 173,550</u>	<u>\$ 51,450</u>
	Recap of Funding Changes:	CNR	60,000									

PAGE
BREAK

**MANSFIELD DOWNTOWN PARTNERSHIP
MEMBERSHIP DEVELOPMENT COMMITTEE MEETING
Mansfield Town Hall, Conference Room B
May 21, 2012
8:30 AM**

MINUTES

Present: Frank McNabb (Chair), Alexinia Baldwin, Jim Hintz, June Krisch

Staff: Cynthia van Zelm

1. Call to Order

Frank McNabb called the meeting to order at 8:35 am.

2. Approval of Minutes from April 23, 2012

June Krisch made a motion to approve the minutes of April 23, 2012. Jim Hintz seconded the motion. The motion was approved unanimously.

3. Follow-up on Renewals

The Committee reviewed the list of members who had not yet renewed. Committee members determined that adequate follow-up had been conducted.

4. Update on Membership Outreach and Volunteer Calendar

Cynthia van Zelm said she had written an additional article for the ReminderNews about the economic benefits of downtowns including Storrs Center.

Mr. McNabb asked if the Partnership should have Partnership and Storrs Center information at the Nutmeg Summer Theater series. Ms. van Zelm said she will ask Frank Mack, the Managing Director, if we can provide materials.

The Committee discussed who could be the liaison to include information on the UConn campus since Mr. Hintz will be leaving for his new job at Purdue.

Ms. van Zelm said she would like to make contact with Steve Rugens at UConn who works on conference scheduling to ensure that the word gets out about businesses in Storrs Center. Mr. Hintz said he would make that initial contact.

5. Adjourn

The Committee thanked Mr. Hintz for his service and wished him well in his new position at Purdue.

The meeting adjourned at 9:00 am.

Minutes taken by Cynthia van Zelm.

Town of Mansfield Traffic Authority
Minutes of the Meeting, August 2, 2012

Present: Hart, Hultgren, Meitzler, Painter, Raiola

The meeting was called to order at 5:40 PM. The minutes of the 5/29/12 meeting were reviewed and no corrections made.

Ravine Road – no change, still waiting for DOT response to our request for additional wayfinding signs approaching UConn from the west.

South Eagleville Road “walk facing traffic” sign request – no change, still waiting for DOT response.

Route 275 (west of Separatist Road) request for pedestrian/bicycle improvements – no change, still waiting for DOT report. This will be on the Transportation Advisory Committee’s August 30th meeting agenda as well.

Route 89 and Mt Hope Road – no change, Hultgren to contact the DOT project manager for an update.

Construction traffic/Storrs Center – no issues.

Commercial Traffic on Bone Mill Road – Hultgren to contact the Peter Pan bus company.

Willowbrook Road traffic concerns – signs are up on either end of Willowbrook; Engr is looking at possible intersection changes for the future if traffic increases materialize.

Gurleyville Road curve – Chevron and arrow signs are up and the curve sign was moved to the west.

Hunting Lodge/Separatist Road intersection – the suggestion to make this a 3 way stop was discussed, but members did not believe this was warranted or would significantly improve the safety of this intersection.

Slow Children/Crosswalk request on Merrow Road (at the new Dance Studio) – Slow Children signs were approved in both directions, but a crosswalk was not.

Removal of signs on Route 195 (UConn request) – no change, still waiting for a response from DOT.

Employee parking areas at Town Hall – the map and guidelines for employee parking in the Town Hall and Community Center lots will be recirculated to Town Hall employees as a reminder of where they are supposed to park.

Northwood request for “walk facing traffic” signs on North Eagleville Road – since a new walkway will soon be constructed on the north side of North Eagleville Road between Northwood and Hunting Lodge Roads, members felt it would not be appropriate to place these signs at this time.

EO Smith Crew Road Race – approved with the usual stipulations (abide by all traffic laws, notify emergency services, coordinate with Resident State Trooper’s office).

Camp Challenge Ride – ditto.

Huskython Canning Request (North Eagleville/Route 195) – members expressed serious safety concerns about having students in and out of the traffic on Town/State roadways; however, since this is a state intersection the request will be forwarded to the DOT.

Davis Road speed hump request – this road’s ADT was less than 400 vehicles per day the last time it was checked and therefore did not meet the minimum traffic criteria for speed hump consideration. This was referred to the DPW for to update the traffic count this fall.

Mansfield Center Sidewalk paving request – this will be discussed with the Historic District Commission at its September meeting. It is possible that a colored, stamped bituminous material made to look like cobblestones could satisfy the historic look requirements.

Request for signal or warning beacon at the EO Smith exit driveway (for the group bus exit) – Hultgren explained that mid-block signals and warning beacons are no longer authorized by the DOT, but he will discuss with the Storrs Center Traffic Engineer to see if there are any other options for the District.

The meeting was adjourned at 6:20 PM.

Respectfully submitted,

Lon Hultgren
Director of Public Works

Town of Mansfield Transportation Advisory Committee
Minutes of the Meeting – September 15, 2011

Present: Frantz (chair), Lindsey, Hall, Ryan, Nash, Hultgren (staff), Tristan Baker (Hertz Car Sharing)

The meeting was called to order by chair Frantz at 7:30 PM.

The minutes of the January 27, 2011 meeting were approved on a motion by Nash/Frantz with Ryan abstaining.

Hultgren reported that the fare-free program for the Storrs to Willimantic bus had been funded for the current (11-12) academic year by both the Town and UConn. He said that he thought this would be helpful in that the Town was in the midst of a \$6M grant from the Federal Transit Administration (FTA) for bus and bike transportation in Storrs Center.

Hultgren also reported that the Stone Mill Bridge replacement project was about to get started and the Laurel Lane Bridge project was in its final stages of design approval at the DOT. He said that the Birch Road bikeway had been completed in the early summer and the pathways to Liberty Bank and Storrs Heights were still in final design. The Route 275 walkway (Separatist Road to Maple Road) will be on the November ballot, and a Safe Routes to School grant application was filed this summer for extending the Mansfield Center walkway north on Route 89 to the Southeast School.

Hultgren further reported that the volunteer senior driver transportation program was underway with approximately 18 drivers participating. A new grant-funded van is being purchased by the Town.

In the Storrs Center development, the parking garage construction is slated to start by the end of the month within which there will be space for both car charging stations and vehicles that are part of the UConn car sharing program. The design of the Storrs Center Transportation Center and transit pathways is continuing and is expected to be submitted to the FTA for review in mid-November. Options for operating the transportation center for its first year of operation are being developed.

Tristan Baker of the Hertz on Demand car sharing company, which has been selected by UConn to be the campus area car sharing vendor, gave a presentation as to what car sharing is and how it will be implemented in Storrs.

Hultgren and Lindsey summarized the Storrs Center Parking Steering Committee's progress in working out a cooperative parking enforcement plan for the downtown area. The Steering Committee felt that many of the Town's parking fines are too low, and the Town's Traffic Authority will be reviewing these in their next couple of meetings.

Hultgren explained that he was working with UConn to have it make signs to be placed on Route 32 and North Eagleville Road to warn drivers that Ravine Road is not a recommended route to or from the UConn campus. He circulated sample sketches of these proposed signs.

A subcommittee composed of Lindsey and Frantz will work with Hultgren to draft an update of the Town's walkway/bikeway priority listing.

The meeting was adjourned at approximately 9 PM on a motion by Nash/Lindsey.

Respectfully submitted,

Lon Hultgren
Director of Public Works

TO: Town Council of Mansfield

In the midst of hard economical times, your recent proposal of the building of two new schools is reeking havoc amongst the elderly fixed income residents of Mansfield.

(many who have resided here for years and have paid their dues)

It's obvious you might get your way and move forward with this very costly plan. Therefore,

My suggestion would be to release elderly fixed income individuals from this tax burden or the least allow a sufficient TAX break.

This would be a fair plan.

Thank you
Flavia Haddad

PAGE
BREAK

SUBJECT: PROPOSED ALTERNATIVE ROUTE FOR THE NEW ENGLAND EAST-WEST SOLUTION for the Interstate Reliability Project
 FROM: DONALD B. HOYLE

As a result of meeting and touring the proposed route with the Siting Committee and attending the public hearing on April 24, 2014, I suggest and encourage the following alternate through Mansfield Hollow and the Hawthorne Lane crossing of the Interstate Reliability Project. I believe this could

1. save CL&P and its customers money,
2. help to preserve some agricultural and natural land
3. use less land for right of way,
4. be more in keeping with the rural nature of our area,
5. be less harmful to the health of our children and future generations.

As a resident property owner, volunteer member of Friends of Mansfield Hollow and a resident of our common home, planet Earth, and also using the Site Council's criteria of economic sustainability and environmental preservation, I propose the following alternative route for the area going into Mansfield Hollow. I propose an underground cable go from transmission tower 75 directly to transmission tower 83 for the new 345-kV transmission line. I believe this could save CL&P and thereby, their customers through the elimination of five (5) transmission towers even though underground cable is said to be more costly. Environmental protection and preservation would be enhanced by avoiding the need to go by the Montessori School and Green Dragon Home Daycare Center. The potential transition station now proposed for between towers 79 and 80 would be eliminated and would be placed on the Army Corps of Engineers land at the base of tower 83. I have been led to understand that underground cable, although more expensive, only takes 25' to 50' of ROW instead of 150 to 300' that above ground towers take. This would also eliminate easement of town land for the proposed Hawthorne alternative route.

As a member of Friends of Mansfield Hollow and the Mansfield Hollow community, I would be glad to communicate with the effected landowners by the new route. I would also be willing to write the Army Corps of Engineers for the ROW and additional land needed for this purposed underground cable route and the transition station. I started the whole procedure in March of 2010 when I wrote, as a member of Friends of Mansfield Hollow, to the Army Corps of Engineers and they referred it to DEEP.

Another possibility that should be considered at this time is the potential hydro-electric power generated by Kirby Mills. A transition station in closer proximity to the Mills may be important in the future.

PAGE
BREAK



Connecticut
Light & Power

The Northeast Utilities System



Interstate
Reliability Project

August 31, 2012

Item # 10

Christopher & Jessica Duers
21 Hawthorne Lane
Mansfield, CT 06250

Scott Welden
25 Hawthorne Lane
Mansfield, CT 06250

Thomas Mindek
27 Hawthorne Lane
Mansfield, CT 06250

Wayne Hawthorne
28 Hawthorne Lane
Mansfield, CT 06250

Dear Residents:

The Connecticut Siting Council ("CSC") concluded its evidentiary hearings on CL&P's Interstate Reliability Project yesterday, and I want to provide you with an update on CL&P's final testimony regarding the proposed "Hawthorne Lane Alternative".

As you'll recall, we first discussed Hawthorne Lane alternatives in 2008 when you and your fellow Hawthorne Lane property owners ("owners") presented CL&P ("Company") with a proposal intended to reduce the visibility from your homes of the planned new transmission line that will cross your properties. To accomplish this objective, the owners proposed a modification of property easements between the Company and the owners that would allow a shift of the existing right-of-way (ROW), and therefore the existing and new lines, away from your homes.

Based on its initial consideration of the proposal, CL&P agreed to include a "shifted ROW" configuration as part of the alternatives considered in the Field Management Design Plan section of its CSC Application for the Interstate Reliability Project. Throughout our discussions, however, the Company made it clear that this alternative configuration was not the proposed configuration for the Project, and the Company would build the higher-cost Hawthorne Lane Alternative only if it was ordered to do so by the CSC.

As you know, after further study of the alternative, the Company found that a conservation easement had been placed on a portion of the property where the Company would acquire new easement rights. Notwithstanding that additional complication, the Company continued to cooperate with you and the other owners, and with the Town of Mansfield, to facilitate releases of the conservation easement from the new easement area to be acquired, so that the shifted ROW configuration could be built if ordered by the CSC.

To date, not all of the agreed-upon items needed for timely implementation of the easement modifications are complete. Specifically, not all property owners have received mortgage subordinations that the Town of Mansfield needs in order to release its dedicated conservation restriction, and that CL&P must have in order to ensure that the relocated easement will have the same priority over encumbrances as the existing easement. As we agreed, in order to move forward, CL&P needed to have the executed documents placed in escrow before the close of record in the Siting Docket.

CL&P understands that the mortgage lenders who currently hold the mortgages have begun a review process and that a subordination decision will be forthcoming although the receipt dates are not exactly known at this time. If their decision is favorable, additional time will then be required for review and execution of the necessary easement modification documents. It appears likely, therefore, that CL&P may not have escrowed all of the executed documents needed for the easement modifications prior to the close of the record in this Docket. As we have discussed, the close of the record is the last opportunity for CL&P to provide such information to the CSC. At the end of yesterday's hearing, the CSC set October 1, 2012 as the close-of-record date.

As we have discussed with you and your attorney, without these unencumbered easement rights to property that would make possible construction of the Hawthorne Lane Alternative, CL&P had no choice but to request in its final testimony on August 30, 2012, that the CSC approve the route and line configuration proposed in the Application, which would use the existing ROW. If, however, the owners are able to deposit all of the necessary executed documents into escrow before the close of record on October 1, 2012, we will make the necessary representations in our closing brief to the CSC and continue to be open in our willingness to build the Alternative if so ordered by the CSC.

In addition, in case the owners are not able to provide CL&P with those executed documents in escrow before the close of record, CL&P also put forth another approval option for the CSC's consideration. In its testimony, CL&P noted that if, after consideration of the record, the Council is amenable to the Hawthorne Lane Alternative and considers the \$1.8 million incremental cost of the Hawthorne Lane Alternative to be justified by the interests of the property owners, the Council could approve the route and configuration proposed in CL&P's Application and also conditionally approve the Hawthorne Lane Alternative. Were the Council to do this, the conditional approval could remain in effect for the period between the issuance of the CSC's Decision and Order (D&O) in January 2013 and CSC's issuance of a subsequent construction plan approval, i.e., the Development and Management Plan (D&M). Such a conditional approval might state that if CL&P determines that all of the required real estate rights are available prior to submitting a D&M Plan for this segment of the route, the Company should propose the Hawthorne Lane Alternative in its D&M Plan. As a practical matter, CL&P would make that determination if, but only if, all of the rights necessary to relocate the ROW were acquired in a closing before the proposed D&M Plan is filed with the CSC by CL&P. We currently estimate that we will be filing the proposed D&M plan early in the second quarter of 2013.

Of course, although we have requested the Council to consider holding open the possibility of approving the Hawthorne Lane Shift at the D&M Plan stage by means of this conditional approval in their Decision and Order scheduled for January 2013, there is no assurance that it will do so. Indeed, we know of no precedent for such an approval.

If such a conditional approval were to be granted by the CSC, I hope that you and your neighbors would take full advantage of this additional and final opportunity to complete the necessary requirements that would allow for the implementation of the Hawthorne Lane Alternative.

If you have any questions regarding CL&P's testimony before the CSC, please don't hesitate to contact me.

Sincerely,



Anthony P. Mele
Project Manager,
Interstate Reliability Project

cc: Linda Painter, Director of Planning & Development, Mansfield
Dennis O'Brien, Esquire

NEW ENGLAND
EAST - WEST
SOLUTION

Northeast Utilities System
P.O. Box 270
Hartford, CT 06141-0270

PAGE
BREAK

My name is Jim Raynor. I live on Moulton Road in Mansfield. I'd like to speak to you about the upcoming vote on building 2 new schools in town. Specifically, I'd like to address the timing of the vote on this proposal. I sent a letter to you a few weeks ago expressing my feelings on your proposal, so there is no need to repeat what I hope you've already read. But I would like to address one specific part of this issue- namely the date to be chosen for our vote. I know some of you are concerned about diminishing the voting rights of Uconn students who opt to vote in Mansfield in the presidential election, and therefore qualify to vote on this issue. I hope you will be equally aware of diminishing the value of the votes of the permanent residents of the town- those of us residents who elected you to represent us. I am concerned about Uconn students who come from Greenwich, Litchfield, Chicago, or Los Angeles voting on a purely local Mansfield issue of which they probably have little or no knowledge. Their vote on this issue is probably not an informed vote, but it counts just as much as your vote and mine. That doesn't seem fair to the permanent residents of Mansfield. You were all elected by Mansfield residents to serve Mansfield residents. I think we should decide what the design our grammar schools will be.

Even if you don't feel your first responsibility is to the residents of Mansfield, and I suspect that most of you do, if you will schedule this referendum vote on a date separate from the presidential vote, anyone interested in voting on this issue can do so. No one's right to vote is taken away. If a Uconn student wishes to vote in our referendum, he or she can. If doing so means coming to the polling place for the sole purpose of voting on our schools, chances are he or she will be someone who is informed on the subject and who will cast an informed vote, not someone who is there to vote for a president, and oh yes, while I'm here, I can vote for, or against, new schools in Mansfield, even though I know little about Mansfield, and don't really care all that much. Holding the referendum on a different date enables anyone who wishes to vote to do so.

I think the council owes it to the people who elected you, to not diminish the value of our votes. And by the way, as I said in my previous letter, thank you for your service on the town council. It is a big commitment on your part.

Thank you for your time.

PAGE
BREAK

Arthur Smith
74 Mulberry Road
Mansfield Center, CT 06250

August 28, 2012

Town Council
4 South Eagleville Road
Mansfield, CT 06268

Dear Members of the Town Council:

I am concerned that documents recently requested through the Connecticut Freedom of Information Act were either not provided as required or were not retained as needed.

Because of recent concerns about a Town check that appeared to be written by the Board of Education for Downtown Partnership re-location expenses and in my preparation for attendance at the Town Finance Committee, I requested "all documentation, that has not been destroyed including but not limited to internal correspondence, emails, text messages, memoranda, authorization requests and policy related to the use of Board of education funding for non-educational sites and purposes; and also, specifically, all documentation related to the use of Board of Education funding to pay for the relocation of business at the Storrs Downtown project." In response to my CTFOIA request, I was told by the keeper of the record to "[P]lease address this request to the Mansfield Board of Education." A Finance Director memo of 8/17/12 outlining her position on the issue was not provided. This Town of Mansfield memo written prior to my request was later, after the Finance Committee Meeting had concluded, provided by the Board of Education.

Out of concern for rising Municipal Employee Retirement (MERS) costs, I requested the employment contract of Jeffrey Smith and was told that "Exempt Town Administrators do not sign contracts with the town of Mansfield." Here, the re-direction to Region 19 may have been, arguably, warranted because of Mr. Smith's retired status with Region 19, but I was not re-directed. I was told that such documents do not exist. I have since obtained a copy of that contract and also have employment contracts for the Town Manager, presumably a Town employee with exempt status.

Out of concern about the calculation used by Lawrence Associates to determine whether the Town qualified for state funding, under "Renovation like New" (where the Town must, in part, establish that 75% of the structure, here of our three elementary schools, are 30 years or older), I requested the original square footage of each of our elementary schools and was told that "there are no existing documents which identify the square footage of the 3 elementary schools as originally built." I seek confirmation of this assertion and information about the retention schedule for such documents, which common sense, a prudent regard for safety, dictates should be retained by the Town.

Sincerely,
Arthur Smith

PAGE
BREAK

TOWN OF MANSFIELD
OFFICE OF THE TOWN MANAGER



Matthew W. Hart, Town Manager

AUDREY P. BECK BUILDING
FOUR SOUTH EAGLEVILLE ROAD
MANSFIELD, CT 06268-2599
(860) 429-3336
Fax: (860) 429-6863

August 29, 2012

Mr. Quentin Kessel
97 Codfish Falls Road
Storrs, CT 06268

Re: Reappointment to Conservation Commission

Dear Mr. Kessel:

I am pleased to reappoint you to the Conservation Commission, for a new term to expire on August 31, 2014.

I trust that you find the work of the Commission to be rewarding and I greatly appreciate your willingness to serve our community.

Please do not hesitate to contact me with any questions regarding your reappointment.

Sincerely,

Matthew W. Hart
Town Manager

Cc: Town Council
Mary Stanton, Town Clerk

PAGE
BREAK

TOWN OF MANSFIELD
OFFICE OF THE TOWN MANAGER



Matthew W. Hart, Town Manager

AUDREY P. BECK BUILDING
FOUR SOUTH EAGLEVILLE ROAD
MANSFIELD, CT 06268-2599
(860) 429-3336
Fax: (860) 429-6863

August 29, 2012

Mr. Scott Lehmann
532 Browns Road
Storrs, CT 06268

Re: Reappointment to Conservation Commission

Dear Mr. Lehmann:

I am pleased to reappoint you to the Conservation Commission, for a new term to expire on August 31, 2014.

I trust that you find the work of the Commission to be rewarding and I greatly appreciate your willingness to serve our community.

Please do not hesitate to contact me with any questions regarding your reappointment.

Sincerely,

Matthew W. Hart
Town Manager

Cc: Town Council
Mary Stanton, Town Clerk

**PAGE
BREAK**

TOWN OF MANSFIELD
DEPARTMENT OF PLANNING AND DEVELOPMENT

LINDA M. PAINTER, AICP, DIRECTOR

Memo to: Town Council
 Planning and Zoning Commission
 Conservation Commission
 Sustainability Committee
 Open Space Preservation Committee
 Agriculture Committee

From: Linda M. Painter, AICP, Director of Planning and Development

Date: August 20, 2012

Subject: Conservation and Development Policies: A Plan for Connecticut (DRAFT)

Background

The Office of Policy and Management (OPM) is in the process of updating the State Conservation and Development Policies Plan. This plan drives decisions on state projects as well as establishes guiding principles for growth at the state, regional and local levels. Local impacts of the plan include the following:

- The next update of the Town's Plan of Conservation and Development (POCD) must be consistent with the 2013-2018 State Conservation and Development Policies Plan.
- Any projects undertaken by state agencies that are financed with state or federal funds must be reviewed for consistency with this plan. This requirement includes any grants that are made to local communities, such as the STEAP program. Since the adoption of the current plan, a new requirement has gone into effect that will prohibit state agencies from providing funding for a 'growth related project' that is outside the boundaries of Priority Funding Areas as identified in the new plan, unless the project meets the criteria for an exception to that prohibition (CGS §16a-35d).

The policy section of the plan is organized by six Growth Management Principles:

- Redevelop and revitalize regional centers and areas with existing or currently planned physical infrastructure
- Expand housing opportunities and design choices to accommodate a variety of household types and needs
- Concentrate development around transportation nodes and along major transportation corridors to support the viability of transportation options
- Conserve and restore the natural environment, cultural and historic resources, and traditional rural lands
- Protect and ensure the integrity of environmental assets critical to public health and safety
- Promote integrated planning across all level of government to address issues on a statewide, regional and local basis

The last section of the plan is related to the Locational Guide Map (LGM), which identifies the Priority Funding Areas (PFAs) referenced above. Please note that the draft LGM has been provided separately and has not yet been embedded in the draft plan. For ease of review, the Windham Regional Council of Governments has prepared print maps for each town in the region. The draft LGM is also available in an electronic, interactive map, through OPM's website.

How to Interpret the Locational Guide Map

The Locational Guide Map (LGM) associated with the new policy plan uses a completely different approach than the previous plan. The main categories you will see on the attached map are Priority Development Areas (PDA), Priority Conservation Areas (PCA), and Balanced Growth Areas (which are areas where PDAs and PCAs overlap). These three designations are all considered Priority Funding Areas.

Priority Development Areas

Due to the criteria and methodology used to define these areas, significant portions of Mansfield are designated as 'Priority Development Areas.' This is due to the use of census blocks as the defining geographic area. As a rural community, our census blocks are fairly large, which means that any census block that meets one or more specific criteria has been included in the PDA. It is important to note that this designation in no way implies that the entire area is appropriate for more intense development, and it does not supersede our own Plan of Conservation and Development. In other words, the planned development areas defined in the Town's POCD can be (and are) much smaller than those shown on the Locational Guide Map.

The criteria¹ used to determine whether a census block is designated as a Priority Development Area are:

- Designation as an Urban Area or Urban Cluster in the 2010 Census
- Existing or Planned Sewer Service
- Existing or Planned Water Service
- Boundaries that intersect a ½ mile buffer surrounding existing or planned mass transit stations
- Local Bus Service
- Location on the New-Britain/Hartford Bus way

The attached map further breaks down the Priority Development Areas based on the number of criteria that were met in each census block. The lightest color PDA areas meet only 1 or 2 of the criteria; the darkest meet between four and six of the criteria. The maximum score in Mansfield for any census block was a 4, and the applicable criteria for those blocks were urban area, sewer service, water service, and local bus service.

¹ Additional priority is given to any census block that meets one or more of the above criteria and is located within a Designated Public Investment Community, Targeted Investment Community, or Distressed Municipality. Mansfield does not have any of those designations.

Priority Conservation Areas

While the Priority Development Areas are defined using census blocks, Priority Conservation Areas are defined based on existing natural conditions such as soils, topography and other natural resources. As a result, the boundaries of the Priority Conservation Areas are much more natural and fluid. The criteria used to designate Priority Conservation Areas include:

- Core forest areas greater than 250 acres based on the 2006 Land Cover Dataset
- Existing or potential drinking water supply watersheds
- Aquifer Protection Areas
- Wetland Soils greater than 25 acres
- Prime or locally important agricultural soils greater than 25 acres
- Category 1, 2, or 3 Hurricane Inundation Zones
- 100 Year Flood Zones
- Critical Habitats

The attached map further breaks down the Priority Conservation Areas based on the number of criteria that were met in each census block. The lightest color PDA areas meet only 1 or 2 of the criteria; the darkest meet between four and six of the criteria. The maximum score in Mansfield for any Priority Conservation Area was a 5, and the applicable criteria for that area was aquifer protection, 100-year flood zone, wetland soils, water supply watershed and core forest.

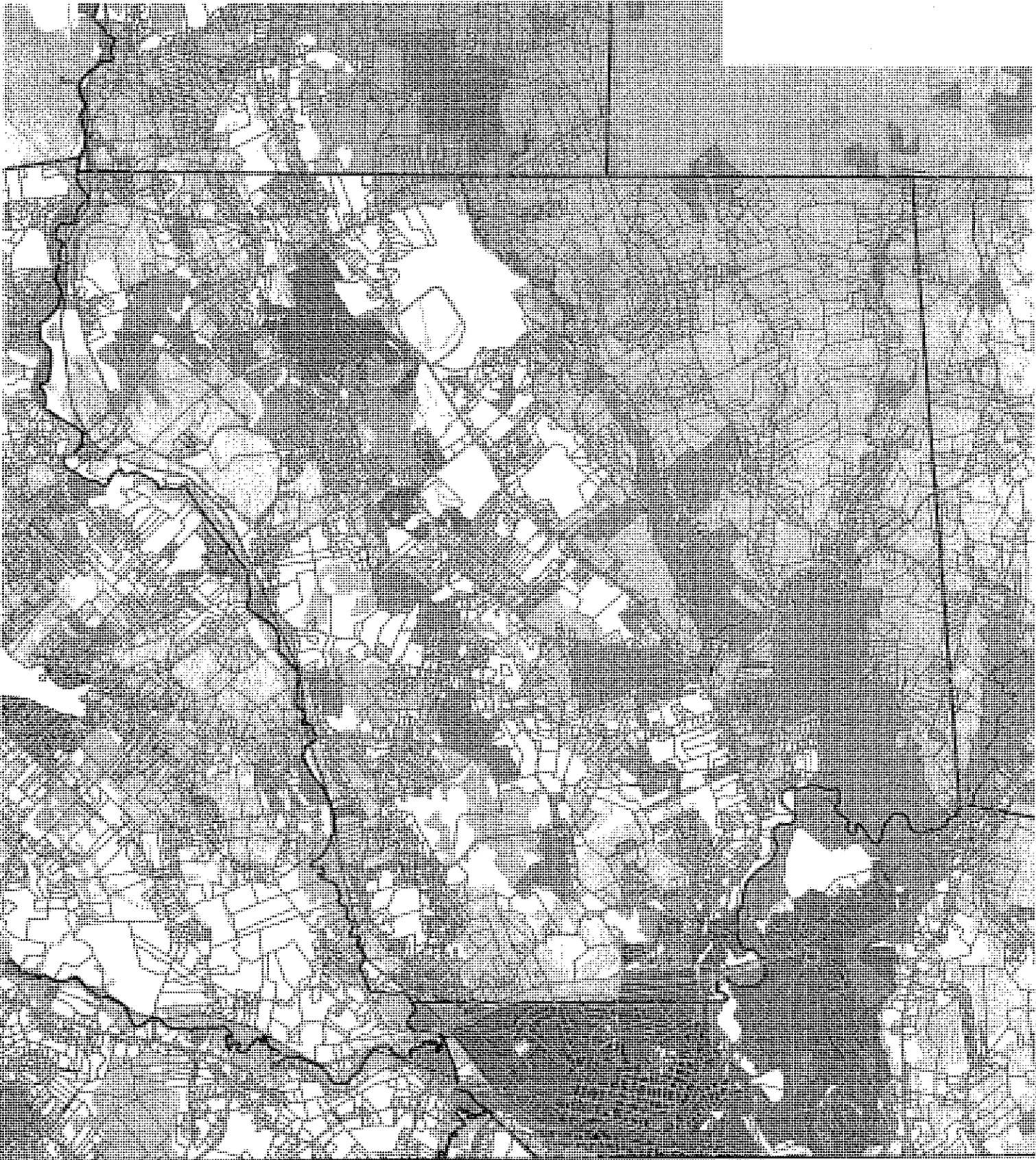
Balanced Growth Areas

The areas where Priority Development Areas and Priority Conservation Areas overlap are designated as Balanced Growth Areas. In these areas, state agencies must provide a balanced consideration of all factors in determining the extent to which the project is consistent with the policies of the plan. Examples of projects where conflicting priorities would need to be considered are provided on page 28 of the draft plan.

Summary

A draft of *Conservation and Development Policies: A Plan for Connecticut (2013-2018)* is attached for your review. Comments on the draft plan are due to the Office of Policy and Management by October 5, 2012. As part of this review, we have the ability to request specific changes to the Locational Guide Map.

For those of you interested in learning more, I will be briefing the Planning and Zoning Commission at their September 4, 2012 meeting. Advisory Committees that are interested in having their comments included in an official town response should provide reports to the Planning and Zoning Commission by September 28, 2012.



Connecticut POCD Location Guide Map

Legend

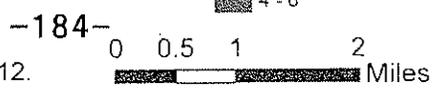
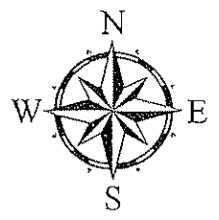
-  Village Development Areas
-  Permanent Open Space/Farmland Pres.
-  Balanced Growth Areas

Priority Development Areas

- TOTAL DEV**
-  1-2
 -  3
 -  4-6

Priority Conservation Areas

- TOTAL**
-  1-2
 -  3
 -  4-6



DRAFT

CONSERVATION & DEVELOPMENT POLICIES: A PLAN FOR CONNECTICUT



PUBLIC DRAFT

2011-2013

Prepared by the Office of Policy and Management

In accordance with Connecticut General Statutes Section 16a-28(b)

Conservation & Development Policies: A Plan for Connecticut

Table of Contents

BACKGROUND.....

APPLICATION OF THE PLAN

NEW STATUTORY REQUIREMENTS.....

CROSS-ACCEPTANCE PROCESS

FORMAT OF THE PLAN

GROWTH MANAGEMENT PRINCIPLE #1

 Redevelop and Revitalize Regional Centers and Areas with Existing or Currently Planned Physical Infrastructure.....

 State Agency Policies.....

GROWTH MANAGEMENT PRINCIPLE #2

 Expand Housing Opportunities and Design Choices to Accommodate a Variety of Household Types and Needs.....

 State Agency Policies.....

GROWTH MANAGEMENT PRINCIPLE #3

 Concentrate Development Around Transportation Nodes and Along Major Transportation Corridors to Support the Viability of Transportation Options.....

 State Agency Policies.....

GROWTH MANAGEMENT PRINCIPLE #4

 Conserve and Restore the Natural Environment, Cultural and Historical Resources, and Traditional Rural Lands.....

 State Agency Policies.....

GROWTH MANAGEMENT PRINCIPLE #5

 Protect and Ensure the Integrity of Environmental Assets Critical to Public Health and Safety

 State Agency Policies.....

GROWTH MANAGEMENT PRINCIPLE #6

 Promote Integrated Planning across all Levels of Government to Address Issues on a Statewide, Regional, and Local Basis.....

 State Agency Policies.....

LOCATIONAL GUIDE MAP.....

 Background.....

Role of the Locational Guide Map.....

Use and Application of the Locational Guide Map.....

Locational Guide Map Criteria

 Priority Development Areas

 Priority Conservation Areas.....

 Additional Considerations:.....

 LGM Classifications

ATTACHMENT A.....

 Examples of State Agency-Administered Programs.....

ATTACHMENT B.....

 Initial Outreach on the 2013-2018 State C&D Plan Revision Process (February 2011 – September 2011)

ATTACHMENT C

 Comparison of Municipal and Regional Plans of Conservation and Development with the Initial Draft of the 2013-2018 State C&D Plan

ATTACHMENT D

 “Principles of Smart Growth” as defined by Public Act 09-230

ATTACHMENT E.....

 Glossary of Terms

BACKGROUND

In 1971, House Joint Resolution No. 40 called for the development of a state plan of conservation and development (State C&D Plan). A plan was published on September 27, 1974, and it served as the official policy for the Executive Branch in matters pertaining to land and water resource conservation and development, in accordance with Executive Order No. 28.

In 1976, the General Assembly established a process for direct legislative participation in the preparation, adoption, and implementation of the State C&D Plan. That process, as amended from time to time, is codified in Section 16a-24 through Section 16a-33 (Chapter 297) of the Connecticut General Statutes (CGS). The Office of Policy and Management (OPM) is responsible for administering the State C&D Plan revision process on a recurring 5-year cycle, under the oversight of the Continuing Legislative Committee on State Planning and Development (Continuing Committee).

The General Assembly adopted the first State C&D Plan in 1979, with subsequent revisions adopted in 1983, 1987, 1992, 1998, and 2005. Although the current Plan covers the period 2005-2010, it remains in effect until the General Assembly formally adopts the 2013-2018 State C&D Plan as anticipated in 2013 (per Public Act 09-230, as amended by Public Act 10-138).

Once the 2013-2018 State C&D Plan is adopted, in accordance with CGS Section 16a-30, state agencies will proceed to implement the Plan pursuant to the requirements of CGS Section 16a-31 and Section 16a-35d. (Note: This latter section is codified in CGS Chapter 297a, which entails new requirements for Priority Funding Areas that take effect upon adoption of the 2013-2018 State C&D Plan.)

Finally, CGS Section 16a-32 provides a mechanism for amending the State C&D Plan in between the statutory five-year revision cycle, and it also requires OPM to report annually by February 15th on the extent to which state sponsored actions were in conformity with the Plan.

APPLICATION OF THE PLAN

CGS Section 16a-31 requires state agencies to determine the consistency of their proposed actions with the State C&D Plan, whenever they undertake any of the following actions with state or federal funds:

- (1) The acquisition of real property when the acquisition costs are in excess of two hundred thousand dollars;
- (2) The development or improvement of real property when the development costs are in excess of two hundred thousand dollars;
- (3) The acquisition of public transportation equipment or facilities when the acquisition costs are in excess of two hundred thousand dollars; and
- (4) The authorization of each state grant, any application for which is not pending on July 1, 1991, for an amount in excess of two hundred thousand dollars, for the acquisition or development or improvement of real property or for the acquisition of public transportation equipment or facilities.

State statutes also require OPM to review each Bond Commission agenda and issue an advisory statement on the extent to which the items on the agenda are consistent with the State C&D Plan. Also, OPM reviews draft state agency plans for consistency with the State C&D Plan, when they are in the process of being updated. Finally, OPM provides advisory statements, upon request by another state agency, on the extent to which a proposed action is consistent with the State C&D Plan.

Effective upon adoption of the 2013-2018 State C&D Plan by the General Assembly, CGS Section 16a-35d further requires that no state agency provide funding for a "growth-related project" that is outside the boundaries of priority funding areas, unless it meets any of the listed criteria for exceptions. (See New Statutory Requirements below.)

NEW STATUTORY REQUIREMENTS

There have been some significant amendments to state planning statutes since the current State C&D Plan was adopted in 2005:

- Public Act 05-205 expands the definition of "funding" to include "any form of assurance, guarantee, grant payment, credit, tax credit or other assistance, including a loan, loan guarantee, or reduction in the principal obligation of or rate of interest payable on a loan or a portion of a loan", as well as require OPM to develop recommendations for the delineation of boundaries of "priority funding areas". (CGS Sec. 16a-35c through Sec. 16a-35h)
- Public Act 08-182 outlines new performance-based planning and programming requirements. Although this Draft includes examples of performance indicators for measuring progress, OPM recognizes that there still needs to be broad consensus developed around a set of meaningful and measurable performance indicators. OPM views the establishment of benchmarks for each Growth Management Principle as a longer term goal that will be addressed only after a high degree of confidence has been developed around the baseline data to be collected on the performance indicators. (CGS Sec. 16a-27(e))
- Public Act 09-230 defines "principles of smart growth" and Public Act 10-138 requires state agencies to consider whether certain grant application proposals comply with such principles. (CGS Sec. 4-37I)
- Public Act 10-138 directs OPM to develop a new process for the revision, adoption, implementation and amendment of the State C&D Plan, and to submit a draft of such process to the Continuing Committee. OPM submitted said report in January 2011 and has proceeded to implement the new process accordingly, so that the "planning policies of different levels of government are compared and differences between such policies are reconciled with the purpose of attaining compatibility between local, regional and state plans." A summary of this "Cross-Acceptance Process" is included below.

CROSS-ACCEPTANCE PROCESS

Due to the desire of many for a more bottom-up approach to the State C&D Plan revision process, OPM proceeded to implement the new cross-acceptance process as described in its January 2011 report to the Continuing Committee. Following the report's submission, OPM conducted *initial outreach* workshops over the next several months, which are summarized in Attachment B. OPM incorporated its findings from these workshops in the initial Draft 2013-2018 C&D Plan that was submitted to the Continuing Committee in December 2011 for a required 90-day review.

From January through March 2012, OPM proceeded to implement the *plan comparison* phase of the cross-acceptance process. During this period, OPM conducted fourteen regional workshops and various coordinating meetings with state agencies, which are summarized in Attachment C. The Continuing Committee opted not to comment during this early review period.

In total, 135 municipalities and 14 Regional Planning Organizations (RPOs) participated in the voluntary *plan comparison* phase. The participating municipalities and RPOs reviewed their respective plans of conservation and development to determine the extent to which they were compatible with the planning policies of the initial Draft C&D Plan. That effort, combined with input from affected state agencies, provided OPM with general

consensus in support of the policies listed under each Growth Management Principle. The outcome of the *plan comparison* phase provided OPM with the basis for producing this revised Draft C&D Plan for public review and comment.

The public comment period will run from May through September 2012, and OPM will coordinate with RPOs to schedule public hearings in each of the state's fourteen planning regions. In addition to the statutory public hearing requirements, any municipality that wishes to continue its participation in the voluntary cross-acceptance process may request, through its RPO or other designated regional cross-acceptance facilitator, an informal workshop to discuss any element(s) of the Draft C&D Plan. Such workshops are intended to provide local and regional officials with additional opportunities to address any unresolved issues or to seek clarification on the Draft C&D Plan before progressing to the *plan negotiation* phase of the cross-acceptance process.

Upon conclusion of the public hearings in September 2012, OPM will begin scheduling *plan negotiation* meetings when requested by an RPO or other designated regional cross-acceptance facilitator on behalf of its municipalities. These meetings are intended to address any remaining unresolved issues before the regional and state negotiating entities set out to draft an optional Statement of Agreements and Disagreements for inclusion in OPM's recommended Draft C&D Plan that will be submitted to the Continuing Committee prior to the start of the 2013 legislative session. The inclusion of such statements in the recommended Draft C&D Plan is intended to provide state legislators with information pertaining to their constituent municipalities' level of support for the Draft 2013-2018 State C&D Plan when it is considered for adoption by the General Assembly.

FORMAT OF THE PLAN

The State C&D Plan is defined in CGS Section 16a-25 as "the text of such plan and any accompanying locational guide map." In order to address the new statutory requirements noted above, OPM is taking a stepped approach to building consensus on potential changes to both the text and map components of the Plan.

The text of the State C&D Plan is presented in a new condensed format that is built around six Growth Management Principles:

- 1) Redevelop and Revitalize Regional Centers and Areas with Existing or Currently Planned Physical Infrastructure
- 2) Expand Housing Opportunities and Design Choices to Accommodate a Variety of Household Types and Needs
- 3) Concentrate Development Around Transportation Nodes and Along Major Transportation Corridors to Support the Viability of Transportation Options
- 4) Conserve and Restore the Natural Environment, Cultural and Historical Resources, and Traditional Rural Lands
- 5) Protect and Ensure the Integrity of Environmental Assets Critical to Public Health and Safety
- 6) Promote Integrated Planning Across all Levels of Government to Address Issues on a Statewide, Regional and Local Basis

Not only do the Growth Management Principles serve as the chapters of the State C&D Plan, but municipalities and RPOs must also consider these principles when they update their respective plans of conservation and development (CGS Sections 8-23 and 8-35a). Therefore, it is important that the State C&D Plan clearly convey itself in a manner that municipalities, RPOs and state agencies can all relate to.

Each Growth Management Principle begins with a brief summary statement of its objectives. This is followed by:

- A list of relevant policy statements that provide the basis for state agencies to assess the consistency of their proposed plans and actions with the State C&D Plan (Note: OPM recognizes that a number of policy statements can apply to more than one Growth Management Principle; however, there was an intentional effort to limit such cross-references. Whenever a state agency must make a determination of consistency for a proposed action with the State C&D Plan, it shall not be limited to citing any policies contained in the Plan – regardless of the particular Growth Management Principle under which the policy statement appears.);
- A list of plans prepared by state agencies under state or federal law, which are reviewed by OPM for consistency with the State C&D Plan prior to their adoption. Links to such agency plans are intended to provide interested parties with access to more detailed information and policy guidance on various subject matters;
- A list of examples of performance indicators for measuring progress in implementing the State C&D Plan, including financial indicators;
- A reference to relevant Principles of Smart Growth, as defined in Public Act 09-230 and listed in Attachment D. This reference is included to assist state agencies in complying with CGS Section 4-37I, which requires agencies to consider whether certain grant applications under their purview comply with some or all of the Principles of Smart Growth; and
- A map that reflects the geographic areas generally supported by the policies of the particular Growth Management Principle. Each map is based on a limited number of criteria and, therefore, is intended for illustrative purposes only.

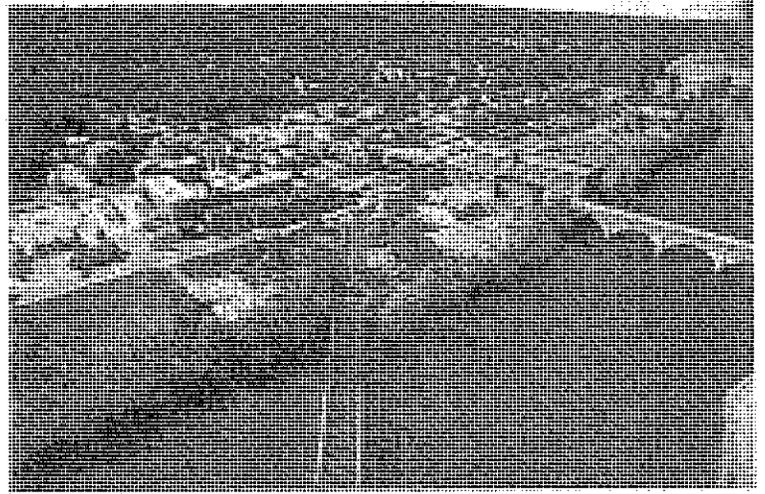
In addition to the changes to the text noted above, the Locational Guide Map component of the State C&D Plan has also undergone significant changes. With the priority funding area legislation set to take effect upon adoption of the 2013-2018 State C&D Plan, OPM recognizes that there may be greater interest in the Plan's Locational Guide Map. As a result, OPM has devoted a separate chapter to the Locational Guide Map, which describes the role of the Map, its use and application, and the criteria for delineating the boundaries of Priority Funding Areas.

Finally, Attachment A lists a number of Examples of State Agency-Administered Programs. This list was developed with input from state agencies and serves as a general guide for agency staff to locate relevant policies for consideration when determining the consistency of their proposed actions. Attachment A is also intended to help fulfill some of the new requirements of CGS Section 16a-27(e), such as identifying potential funding sources and the entity responsible for program implementation.

GROWTH MANAGEMENT PRINCIPLE #1

Redevelop and Revitalize Regional Centers and Areas with Existing or Currently Planned Physical Infrastructure

A region's development potential is highly correlated with its accessibility to urban-scale infrastructure. Connecticut has invested significant resources in the physical infrastructure of its cities and towns to provide for wastewater treatment capacity, potable water supplies, highways and railways, air and sea ports, broadband access, energy generation and transmission, and other related facilities. In order to help position the state for growth, state agencies, regional planning organizations, municipalities, private developers, and other stakeholders must coordinate their actions to leverage these assets in a manner that will take full advantage of Connecticut's strategic location within the Northeast Megaregion, while also proactively addressing the needs and desires of a changing demographic base.



Shelton Downtown Revitalization Project – Various uses include a farmer's market, Veteran's Memorial, River walk, and Condominiums. Photo Credit: Shelton Economic Development Corporation

Repairs and upgrades to the state's aging, and sometimes underutilized, infrastructure represent a significant ongoing cost to taxpayers, who sometimes view investments in new or expanded infrastructure and facilities as a more cost-effective and preferred use of their tax dollars. Compounding this perception is the fact that deferred maintenance is typically a less controversial option for balancing government operating budgets than cutting public services. Over time, the cumulative effect of deferred maintenance can create an unsustainable long-term financial burden on taxpayers.

A life-cycle cost analysis can raise important considerations about taxpayers' long term liability associated with maintaining an ever-expanding infrastructure base. For example, timely repairs and upgrades to aging infrastructure can save taxpayers money by extending an asset's useful life and forestalling the need for costlier renovations or replacement in the future. Such an analysis can also provide a better understanding of the combined total capital and operational costs associated with a proposed project. In addition, it can provide a context for considering a project's other potential costs or benefits to the environment that may not be easily quantified, such as greater energy efficiency, water conservation, pollution prevention, and historic preservation.

State Agency Policies:

- **ENSURE** the safety and integrity of existing infrastructure over its useful life through the timely budgeting for maintenance, repairs and necessary upgrades;
- **FOCUS** on infill development and redevelopment opportunities in areas with existing infrastructure, which are at an appropriate scale and density for the particular area;
- **ENCOURAGE** multidisciplinary approaches to infrastructure planning and design. For example, for transportation projects in areas with combined sewers, seek to preserve the functional capacity of

wastewater treatment plants by designing projects that enhance the infiltration of stormwater generated by the existing street network and other impermeable surfaces through measures such as pervious pavement material and the incorporation of urban green spaces;

- **COORDINATE** the timing of any planned expansion of existing infrastructure to meet state and regional growth objectives;
- **UNDERTAKE** a life-cycle cost analysis for any proposed action involving the expansion of infrastructure beyond the current limits of the existing or planned service area for the particular form(s) of infrastructure, except when necessary to address immediate public health and safety concerns;
- **PROMOTE** the continued use or adaptive reuse of existing facilities and developed property, including brownfields in strategic locations;
- **PROACTIVELY IDENTIFY AND MARKET** available properties that are currently served by infrastructure and that could meet the needs of new or expanding businesses, especially those within close proximity to existing industry clusters;
- **PROMOTE** supportive land uses around rail stations, airports and sea ports, and discourage uses that are not dependent upon, or complimentary to, the available infrastructure;
- **UTILIZE** the state's strategic location and infrastructure to promote expansion of markets for Connecticut grown and manufactured products;
- **ENCOURAGE** local zoning that allows for a mix of uses to create vibrant central places where residents can live, work, and meet their daily needs without having to rely on automobiles as the sole means of transport;
- **PROMOTE** urban areas as centers for arts, entertainment and culture, while also supporting community-based agriculture and historic preservation;
- **CAPITALIZE** on opportunities to develop and deploy innovative energy technologies, and promote distributed generation facilities where practicable to address localized load management issues; and
- **MINIMIZE** the potential impact from natural hazards, such as flooding, high winds and wildfires when siting future infrastructure and developing property.

Integrated planning of land demand	A
Integrating and coordinating public programs	B
Development of existing infrastructure	C
Transportation options	D
Revitalization of historic neighborhoods, reuse of existing structures	E
Conservation and reuse of infrastructure and resources	F
Conservation and upgrading of natural resources	G

Plans Prepared by State Agencies under State or Federal Law:

- Master Transportation Plan (DOT) (includes listing of major transportation projects and plans per CGS Section 16a-27) <http://www.ct.gov/dot/lib/dot/documents/dpolicy/mtp/2011mtp.pdf>
- Economic Strategic Plan (DECD) http://www.ct.gov/ecd/lib/ecd/connecticut_esp-final.pdf
- Comprehensive Energy Plan for Connecticut (DEEP) New requirement per Section 51 of Public Act 11-80 (July 1, 2012)

Examples of Performance Indicators for Measuring Progress:

- Percentage of State capital investments in Priority Development Areas
- Number of new businesses registered in Priority Development Areas compared to total statewide new business registrations
- Percent increase in development in Priority Development Areas
- Number of businesses started or expanded in Priority Development Areas
- Number of brownfield sites/ocres redeveloped
- Percent of state highways and bridges in fair or better condition
- Number of historic facilities preserved in Priority Development Areas
- Number of registered farmers markets in Priority Development Areas

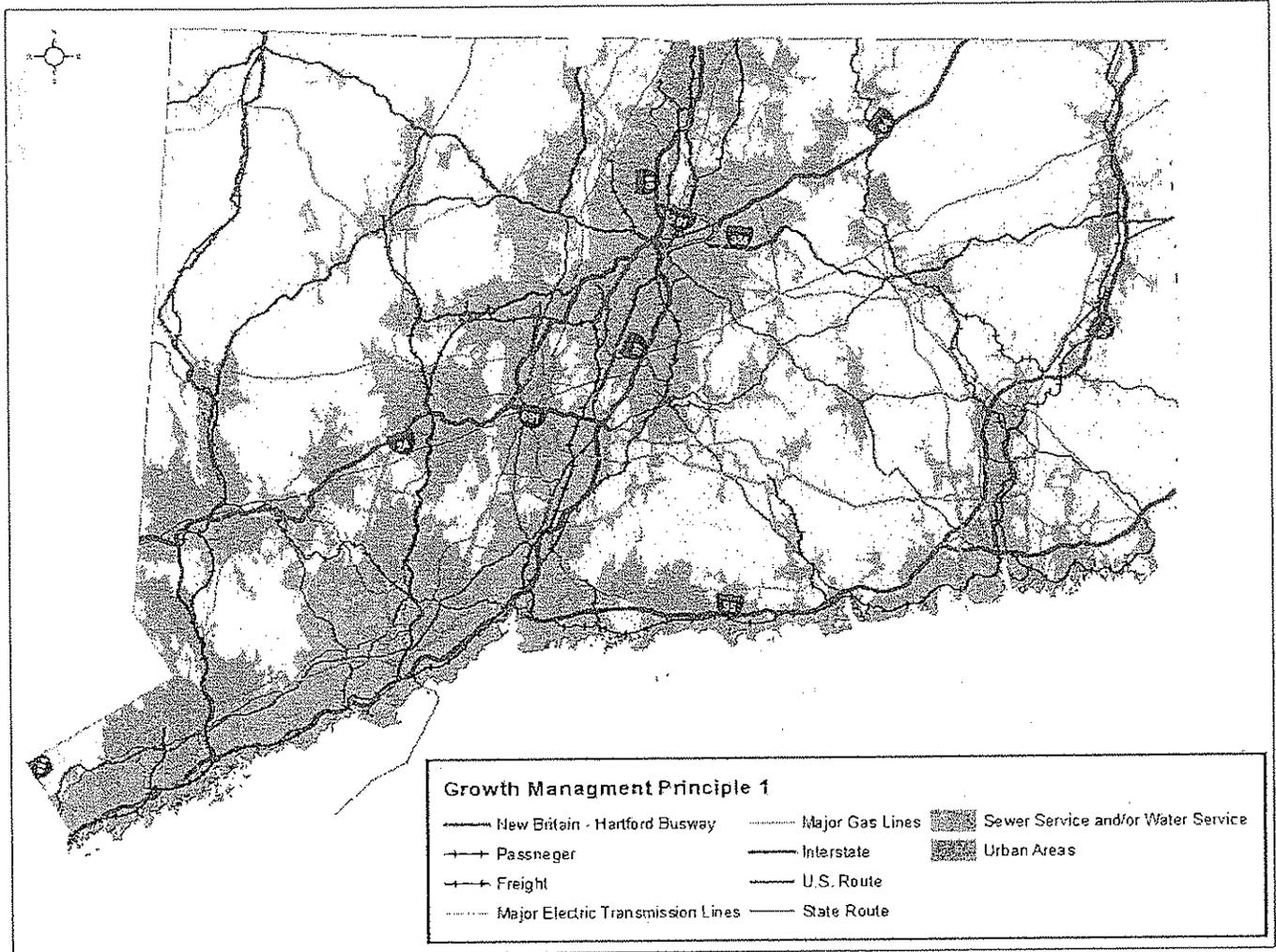


*Approaching the I-84/Route 8 Interchange known as the "Waterbury Mixmaster"
Photo: Joe Perrelli, COGCNY*

Geographic Depiction of GMP 1

The following map reflects the geographic areas generally supported by the policies of GMP 1. State-sponsored efforts to redevelop and revitalize regional centers and areas with existing or currently planned infrastructure are broadly illustrated by these map criteria:

- 1) Public Water and Sanitary Sewer Service Areas;
- 2) Primary Highways
- 3) Rail Lines and Busways;
- 4) Major Electricity and Gas Transmission Lines; and
- 5) U.S. Census Bureau-Delineated Urban Areas.



GROWTH MANAGEMENT PRINCIPLE #2

Expand Housing Opportunities and Design Choices to Accommodate a Variety of Household Types and Needs

Demographic trends indicate that Connecticut's population, along with most of the nation, is aging. The sheer magnitude of the number of members in the "baby boom" generation, combined with increased life expectancy, will have profound effects on our communities and society in general well into the future. Notably, the "millennial" generation, whose members are now entering the 25 to 34 year old age group, outnumbers the "baby boom" generation. The different needs and desires of these two large generations will present unprecedented challenges, as well as opportunities, for the state and its communities to attract and retain a diverse and innovative citizenry.

In order to expand the economy and promote a vibrant population, state and local governments must proactively address current policies and regulations that hinder private developers from building the types of housing options and lifestyle amenities that the market demands. The high cost of housing is often cited as one of the primary factors why Connecticut has lost a large percentage of its young adult population over the past twenty years. However, a number of municipalities are positioned to create higher density, mixed-income housing stock in areas that are within walking distance to retail, recreational and cultural attractions, jobs and public transit. Coordinated marketing of each region's unique assets and lifestyle amenities will help to attract prospective developers, employers and residents, while also providing new housing options for the local workforce.



The Olde Oak Villae in Wallingford incorporates attractive affordable and market rate homes. Photo Credit: Partnership for Strong Communities

State Agency Policies:

- **ENHANCE** housing mobility and choice across income levels and promote vibrant, mixed-income neighborhoods through both ownership and rental opportunities;
- **SUPPORT** adaptive reuse of historic and other existing structures for use as residential housing;
- **PROVIDE** favorable loan terms for multifamily housing and mixed-use properties in targeted areas;

- **MARKET** urban communities to people most likely attracted to working and/or living in urban environments, such as young people and “empty nesters”;
- **SUPPORT** local efforts to develop appropriate urban infill housing and neighborhood amenities to make better use of limited urban land;
- **PROMOTE** housing and/or affordable housing as part of mixed use and transit-oriented developments within walking distance to public transportation facilities;
- **IDENTIFY** innovative mechanisms, utilizing decentralized or small-scale water and sewage systems, to support increased housing density in village centers and conservation subdivisions that lack supporting infrastructure; and
- **ENCOURAGE AND PROMOTE** access to recreational opportunities, including trails and greenways, for affordable and mixed-income housing.

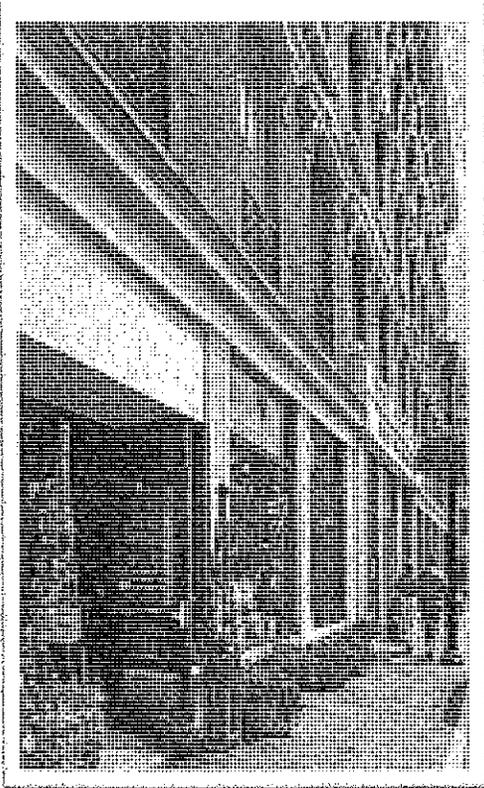
Plans Prepared by State Agencies under State or Federal Law:

- State Long-Range Housing Plan (DECD)
http://www.ct.gov/ecd/lib/ecd/2010-15_slrhp_-_final_.pdf
- Annual Action Plan for Housing and Community Development (DECD)
http://www.ct.gov/ecd/lib/ecd/housing_plans/final_action_plan.pdf

Applicable Principles of Smart Growth	
Efficient use of land and resources	A
Efficient and coordinated use of resources	B
Development of vibrant, functional communities	C
Preserving historic resources	D
Development of housing and services that meet the needs of all income levels	E
Ensuring that development is planned in a way that is consistent with the state's environmental goals	F
Ensuring that development is planned in a way that is consistent with the state's transportation goals	G

Examples of Performance Indicators for Measuring Progress:

- Number of new affordable housing units created
- Number of towns with 10% of their housing stock designated affordable
- Number of towns with approved Incentive Housing Zone overlays
- Percentage of population in high density areas (1,000 per sq mi)
- Percentage of renters paying more than 30% of income on rent



Historic 1855 Wauregan Hotel turned into a mixed use project comprising of 70 units moderate income housing, 4,000 s.f. of retail space, ballroom restoration, and 100-space parking garage

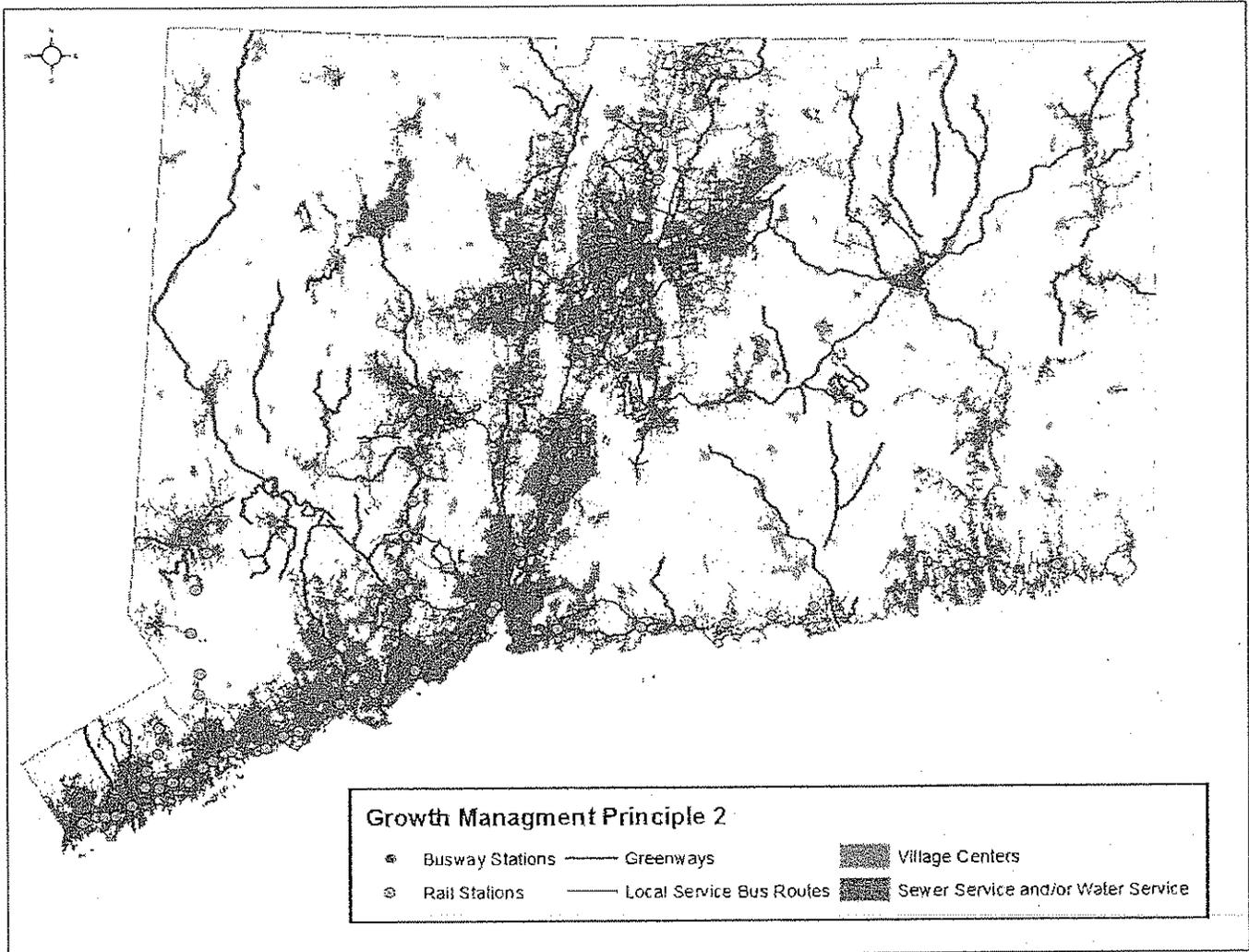
Photo Credit: Partnership for Strong Communities

Geographic Depiction of GMP 2

The following map reflects the geographic areas generally supported by the policies of GMP 2. State-sponsored efforts to expand housing opportunities and design choices to accommodate a variety of household types and needs are broadly illustrated through the following map criteria:

- 1) Public Water and Sanitary Sewer Service Areas;
- 2) Village Centers (derived from the 2005-2010 C&D Plan's "Rural Community Centers");
- 3) Rail and Busway Station Areas;
- 4) Local Bus Routes; and
- 5) Greenways (for more detail, please see:

http://www.ct.gov/dep/cwp/view.asp?a=2707&a=323852&depNav_GID=1704&depNavPage=%7C

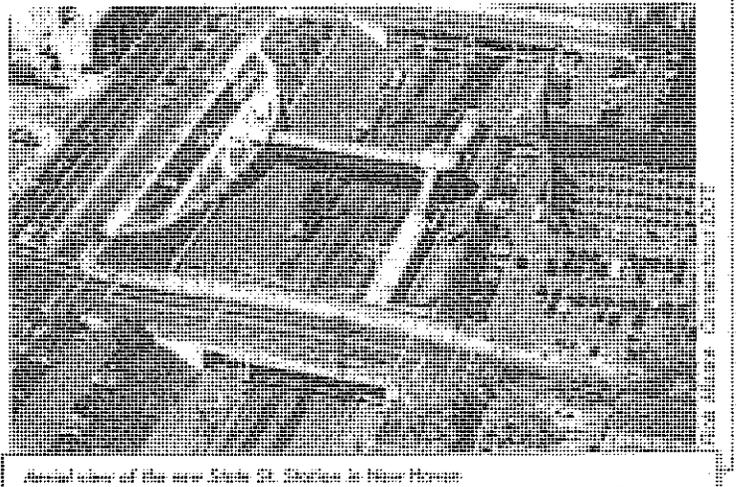


GROWTH MANAGEMENT PRINCIPLE #3

Concentrate Development Around Transportation Nodes and Along Major Transportation Corridors to Support the Viability of Transportation Options

Transportation corridors and hubs are critical assets that affect Connecticut's ability to compete for economic development. In addition to providing expanded business access to markets, they provide residents with access to jobs, education, recreation and other daily activities. In order to fully leverage their ability to generate new economic growth, land use decisions within such corridors and around hubs must include a mix of complementary strategies that target the long-term development goals of each region.

While improving access to the New York and Boston metropolitan area markets is a key transportation goal for the state, it is even more essential that the points in between (i.e., Connecticut's cities and towns) are integrated into the economic fabric of the greater region and its labor market. Experiences in other states have shown that transit hubs can be effective drivers of new office, commercial, and residential development. Regional coordination will be needed to maximize state investments in the transportation infrastructure through transit-supportive land use regulations around hub and station areas, effective feeder and connector services within the corridor, and access management planning to preserve the highway capacity on urban arterial roads with significant commercial development.



Aerial view of the new State St. Station in New Haven.

State Agency Policies:

- **PROMOTE** compact, pedestrian-oriented, mixed use development patterns around existing and planned public transportation stations and other viable locations within transportation corridors and village centers;
- **ENCOURAGE** a network of pedestrian and bicycle paths and greenways that provide convenient inter- and intra-town access, including access to the regional public transportation network;
- **IMPROVE** transit service and linkages through better integration of all transportation options and advances in technology, to provide competitive modal choices, safety and convenience;
- **COORDINATE** with host municipalities on supportive land use regulations, such as transit-oriented development overlay zones and freight villages where practicable, to make the most effective use of transportation facilities for the movement of people and/or goods;
- **IDENTIFY** brownfields and other strategic sites that are (1) within one-half mile/walking distance of public transportation facilities and/or (2) near other inter-modal transportation nodes and facilities, and consider them for designation as pre-approved development areas; and

Applicable Principles of Smart Growth	
Efficient use of land	A
Efficiency and coordination of services	B
Redevelopment of existing infrastructure	C
Transportation choices	D
Development of compact communities to foster transit and walking access	E
Compact development to foster local economic development	F
Conservation and protection of natural resources	G

- **RESTORE** strategic shipping channels and pier areas to their authorized depths when dredging is required to accommodate regional economic development plans;

Plans Prepared by State Agencies under State or Federal Law:

Strategic Long-Range Transportation Plan, 2009-2035 (DOT)

<http://www.ct.gov/dot/cwp/view.asp?a=3531&q=259760>

Connecticut Statewide Bicycle and Pedestrian Transportation Plan (DOT)

<http://www.ct.gov/dot/cwp/view.asp?a=1390&q=259656>

Connecticut State Rail Plan (DOT)

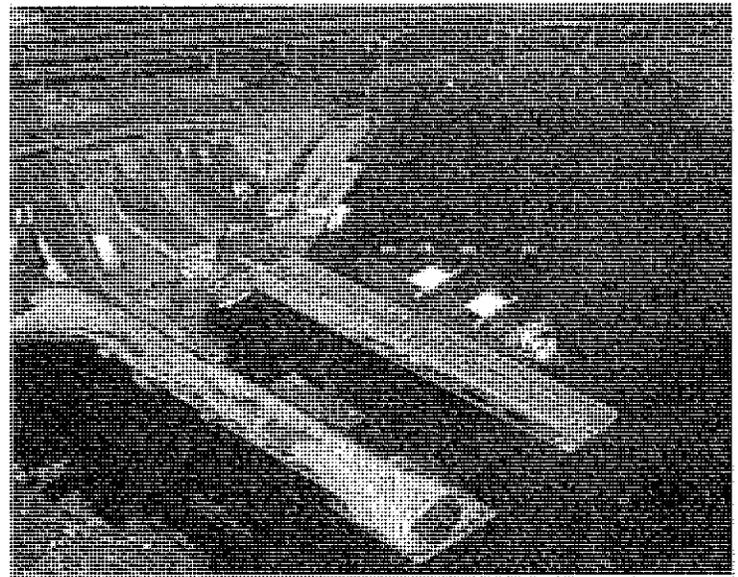
<http://www.ct.gov/dot/cwp/view.asp?o=1386&q=437648&PM=1>

Connecticut Statewide Airport System Plan (DOT)

<http://www.ct.gov/dot/lib/dot/documents/dpolicy/ExecutiveSummary.pdf>

Examples of Performance Indicators for Measuring Progress:

- Number of passengers using public transportation
- Number of locally-designated transit-oriented development zones (i.e., TOD overlay zone)
- Percent of Surface Transportation Program funds used for bicycle/pedestrian access
- Percent of state capital investments made within 1/2 mile of a rail station or a bus rapid transit (BRT) station
- Number of housing units/amount of commercial building space built or renovated within 1/2 mile of a rail station or a bus rapid transit (BRT) station
- Number of Bradley International Airport passengers
- Volume of goods transported by mode within and through Connecticut
- Average per rider subsidy by mode/service

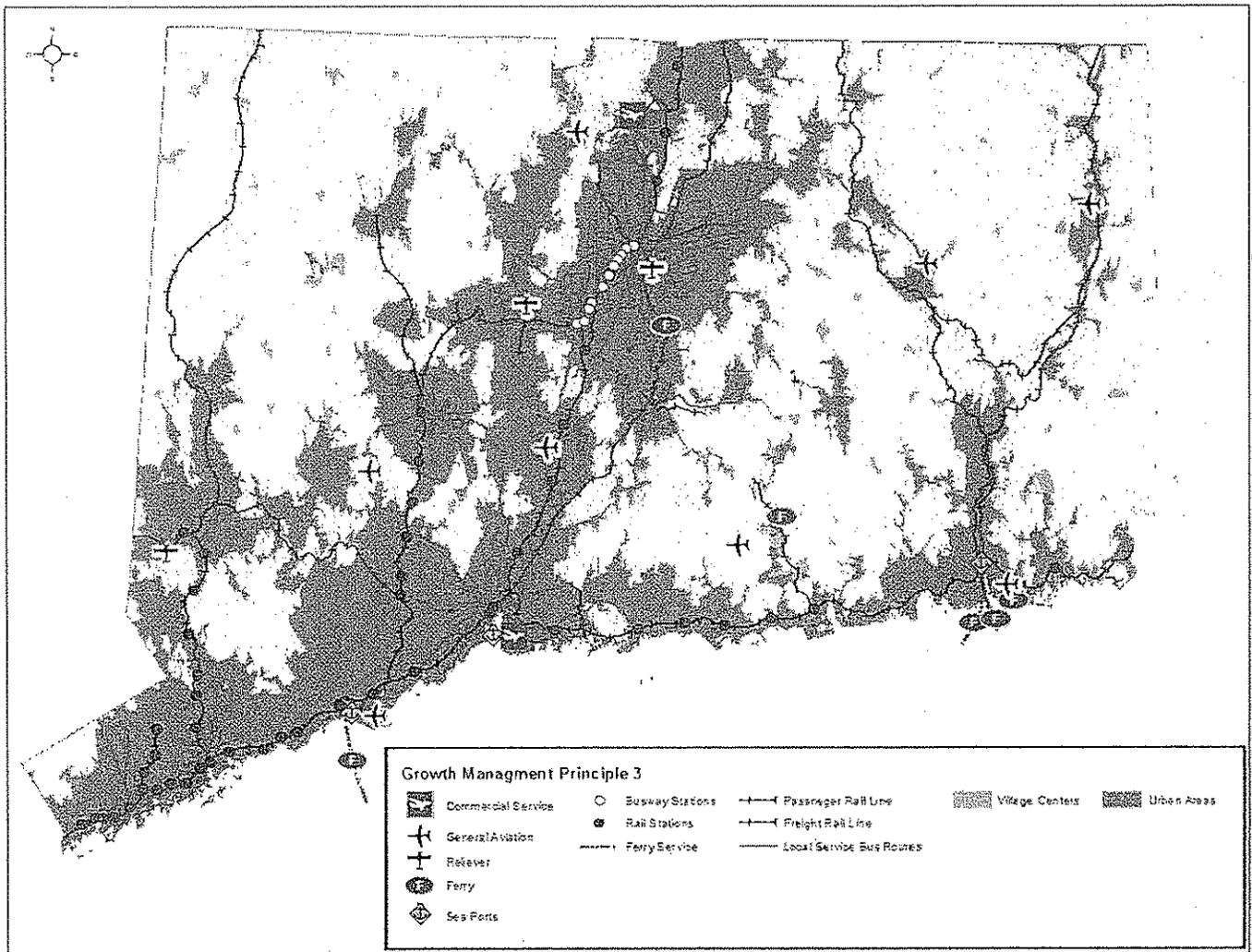


Part of New London

Geographic Depiction of GMP 3

The following map reflects the geographic areas generally supported by the policies of GMP 3. State-sponsored efforts to concentrate development around transportation nodes and along major transportation corridors to support the viability of transportation options are broadly illustrated through the following map criteria:

- 1) Rail and Busway Stations;
- 2) Passenger Rail and Freight Rail Lines
- 3) Commercial, General Aviation & Reliever Airports;
- 4) Deep Water Seaports;
- 5) Ferry Service
- 6) Local Bus Routes;
- 7) U.S. Census Bureau-Delineated Urban Areas; and
- 8) Village Centers (derived from the 2005-2010 C&D Plan's "Rural Community Centers").



GROWTH MANAGEMENT PRINCIPLE #4

Conserve and Restore the Natural Environment, Cultural and Historical Resources, and Traditional Rural Lands

It is widely recognized that Connecticut's natural, cultural and historical resources, along with its rural landscapes, have intrinsic values which contribute to the state's high quality of life. Less obvious are the functional values that these resources provide, such as storm water management, flood control, oxygen production and carbon storage, and the filtration and purification of water for human consumption and habitat preservation. Similar to the need to maintain the physical infrastructure of cities and towns, there is a corresponding need to strategically invest in and maintain a system of "green infrastructure", which relies upon natural landscape features and ecosystems to perform or supplement the types of functions performed by costlier human-engineered systems.



"Too often communities focus on developing land versus preserving agriculture. Both have their pluses, but only agriculture provides sustainable value in terms of the environment, municipal finance, aesthetics, and food security, which can be appreciated by everyone." — Philip Chester, Lebanon Town Planner Graywall Farm 5— Lebanon, CT: Photo Courtesy of Robin Chesmer

Furthermore, a number of Connecticut industries, such as agriculture and aquaculture, outdoor recreation, and culture and tourism, are important contributors to the state economy and to the communities in which they are based. Since the economic value of such industries is oftentimes derived from the natural and cultural resources upon which they are based, it is critical that public and private interests take a strategic and coordinated approach to protecting and/or managing the long-term viability of both the conservation and development functions of such resources.

Rural communities in Connecticut, which typically lack urban-scale infrastructure, face especially difficult challenges to grow in a manner that is consistent with their rural character. Their growth prospects are oftentimes perceived to be limited to strip commercial development along rural highways. While the conservation of open space

and farmland can have a net positive impact on the local tax base and the region's quality of life, there should also be complementary efforts to plan for the development of new, or the expansion of existing, village-scale mixed use centers. Decentralized water and wastewater systems, along with cluster development techniques, can accommodate growth without the need for more costly expansions of water and sewer infrastructure.

State Agency Policies:

- **CONTINUE TO PROTECT** permanently preserved open space areas and facilitate the expansion of the state's open space network through public-private partnerships for the acquisition and maintenance of important multi-functional land;
- **LIMIT** improvements to permanently protected open space areas to those that are consistent with the long-term preservation and appropriate public enjoyment of the natural resource and open space values of the site;

- **PROTECT AND PRESERVE** natural areas, Connecticut Heritage Areas, and archaeological areas of regional and statewide significance;
- **ENCOURAGE** collaborative ventures with municipal and private entities to provide a system of appropriately preserved and managed natural areas and resources that allow for a diversity of well-functioning habitats and the sustainable use of resources;
- **SEEK TO ACHIEVE** no-net-loss of wetlands through development planning that: 1) avoids wetlands, whenever possible; 2) minimizes intrusions into wetlands when impacts are unavoidable; 3) mitigates any resulting impacts through wetland enhancement or creation; and 4) encourages ongoing maintenance of functional wetlands.
- **REVITALIZE** rural villages and main streets by promoting the rehabilitation and appropriate reuse of historic facilities, such as former mills, to allow a concentration of higher density or multiple use development where practical and consistent with historic character;
- **ENCOURAGE** municipalities to build capacity and commitment to agricultural lands preservation;
- **DEVELOP**, through the Governor's Council on Agricultural Development, a comprehensive Statewide Food and Agriculture Policy Plan;
- **PROMOTE** agricultural businesses and supportive industries that are vital to the local and regional economy, while simultaneously preserving prime farmland through the acquisition of development rights and, to the extent practical, the avoidance, minimization, and/or mitigation of the loss or conversion of prime farmland associated with state-sponsored development actions;
- **PROMOTE** Connecticut's commercial and recreational fishing and aquaculture industries consistent with marine productive capacities and environmental protections;
- **UTILIZE** the landscape to the extent practical to maintain or restore natural hydrologic processes and to help meet or exceed state and federal water quality standards, so that the state's waters can support their myriad functions and uses;
- **MANAGE** water resource conflicts by balancing the competing needs of water for human consumption, waste assimilation, habitat sustainability, recreation, power production, and transporting people and goods;
- **RELY** upon the capacity of the land to provide drinking water and wastewater disposal needs in rural areas. Support the introduction or expansion of public water and sewer services in such areas only when there is a demonstrated environmental, public health, public safety, economic, social, or general welfare concern and then introduce such services only at a scale which responds to the existing need without serving as an attraction to more intensive development;

Applicable Principles of Smart Growth	
Integrated Planning or investment	A
Efficiencies and coordination of services	B
Redevelopment of existing infrastructure	C
Transportation choices	D
Development of housing affordable to households of varying income	E
Concentrated, mixed use, mixed income development	F
Conservation and protection of natural resources	G

- **UNDERTAKE** development activities within coastal areas and river corridors in an environmentally sensitive manner consistent with statutory goals and policies set forth in the Connecticut Coastal Management Act and the Multiple Use Rivers Act; and
- **PROMOTE** innovative land conservation and banking practices that further local, regional and state conservation and development objectives, and minimize the need to expand infrastructure to support new development in rural areas.

Plans Prepared by State Agencies under State or Federal Law:

- State Historic Preservation Plan (DECD)
http://www.ct.gov/cct/lib/cct/state_historic_preservation_plan_ic.pdf
- The Green Plan: Guiding Land Acquisition and Protection in Connecticut (DEEP)
http://www.ct.gov/dep/lib/dep/open_space/green_plan.PDF
- Connecticut Statewide Comprehensive Outdoor Recreation Plan (DEEP)
http://www.ct.gov/dep/lib/dep/outdoor_recreation/scorp/2011_ct_scorp_reviewdraft.pdf
- Connecticut Forest Resource Assessment and Strategy (DEEP)
http://www.ct.gov/dep/lib/dep/forestry/assessment_and_strategy/assessment_strategy.pdf
- Connecticut's Comprehensive Wildlife Conservation Strategy (DEEP)
http://www.ct.gov/dep/cwp/view.asp?a=2723&q=329520&depNav_GID=1719
- Natural Hazard Mitigation Plan (DEEP)
http://www.ct.gov/dep/cwp/view.asp?a=2720&q=325652&depNav_GID=1654



"The Lost Green Valley" – Northeastern CT: Aerial from www.gisweetnam.com

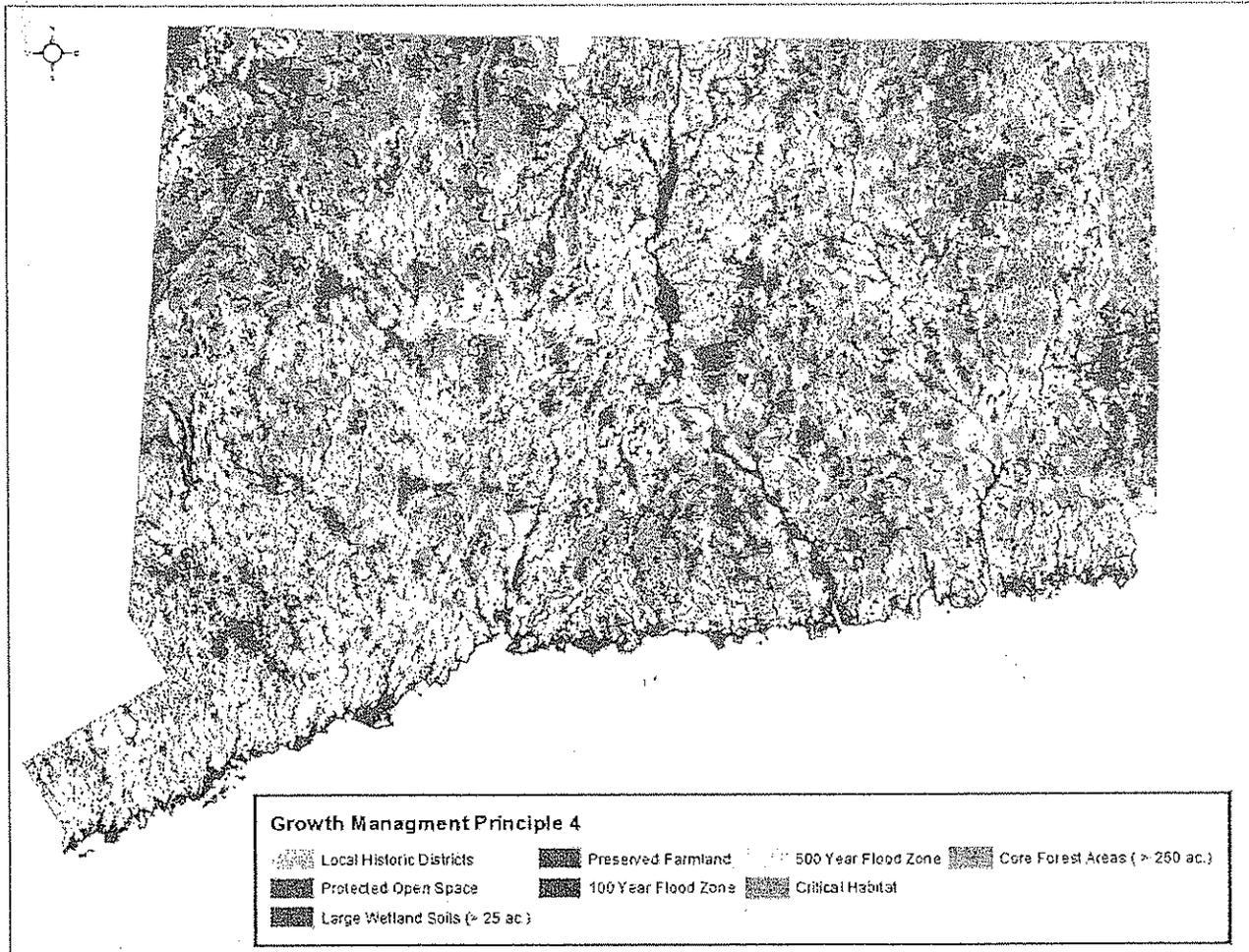
Examples of Performance Indicators for Measuring Progress:

- Acreage of preserved/protected open space
- Acreage of land being farmed in Connecticut
- Acreage of preserved farmland
- Percentage of Connecticut consumer dollars spent on locally produced farm products
- Total value of Connecticut's agricultural industry
- Number of beach closings
- Acres of Inland Wetlands affected by activities subject to local or state permits
- Tons of Nitrogen delivered to Long Island Sound from Connecticut
- Oxygen depletion in Long Island Sound
- Miles of stream supporting wild brook trout

Geographic Depiction of GMP 4

The following map reflects the geographic areas generally supported by the policies of GMP 4. State-sponsored efforts to conserve and restore the natural environment, cultural and historical resources, and traditional rural lands are broadly illustrated through the following map criteria:

- 1) Critical Habitat;
- 2) Protected Open Space;
- 3) Large Wetlands;
- 4) Preserved Farmland;
- 5) Local Historic Districts
- 6) 100 year Flood Zones; and



GROWTH MANAGEMENT PRINCIPLE #5

Protect and Ensure the Integrity of Environmental Assets Critical to Public Health and Safety

Among the competing interests faced by land use decision-makers, none is of greater importance than protecting the public health and well-being of Connecticut's citizens. Best practices for protecting the air we breathe, the water we drink, and the food we eat are rooted in the value Connecticut has placed upon its environment and working lands when planning for the future. Protecting and maintaining the functional qualities of natural systems is vital to maintaining our quality of life.

A number of regulatory programs of state agencies are intended to protect Connecticut's residents by maintaining healthy air quality, ensuring a safe and adequate drinking water supply, requiring proper waste management and material handling, and preventing the spread of contagious diseases. Furthermore, planning for Connecticut's energy future will have particularly broad implications on our environment and society. Regulatory approaches that are environmentally sound, allow for least-cost compliance options, provide operational flexibility, and offer incentives for pollution prevention should be actively pursued wherever practical to reduce the time and cost associated with doing business in Connecticut.

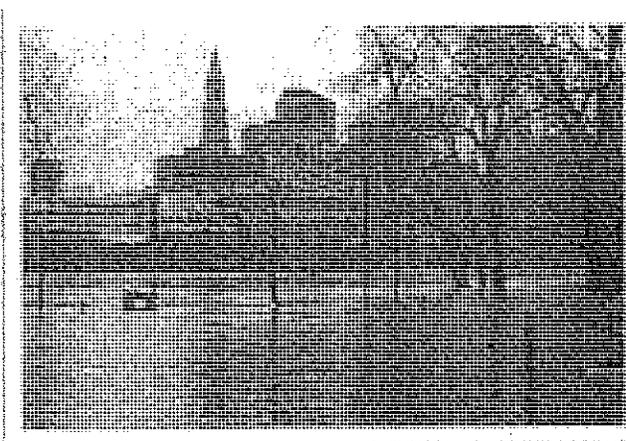
It is also important that municipal land use commissions fully consider the broader regional implications of their decision-making processes, whenever there are potential impacts to the integrity of environmental assets and working lands that are critical to the well-being of citizens beyond their local boundaries.

State Agency Policies:

- **UTILIZE** a multiple barrier approach, including source water protection and appropriate treatment, to ensure the availability of safe and adequate public water supplies that meet or exceed state and federal drinking water standards;
- **IDENTIFY** water supply resources sufficient to meet existing demand, to mitigate water shortages during droughts, and to meet projected growth and economic development over at least the next 50 years;
- **ENSURE** that water conservation is a priority consideration in all water supply planning activities and regulatory decisions;
- **UTILIZE** an integrated watershed management approach to ensure that high quality existing and potential sources of public drinking water are maintained for human consumption;
- **MANAGE** development activities within floodplain areas in an environmentally sensitive



Barkhamsted Reservoir



The Connecticut River flooding in Great River Park, East Hartford

manner and seek to prevent the loss of life and property in floodways by maintaining dikes, channels, dams, and other barriers;

- **PRESERVE** and maintain traditional working lands for the production of food and fiber, and support niche agricultural operations that enhance community food security throughout Connecticut;
- **ATTAIN** National Ambient Air Quality Standards with emphasis on cost-effective strategies and effective enforcement of regulated sources;
- **REDUCE** carbon dioxide emissions in this state consistent with the recommendations of the Connecticut Climate Change Action Plan;
- **PROMOTE** transportation alternatives to the automobile, such as bicycling, walking, and public transportation as a means to reducing energy consumption, air pollution, and obesity-related health care costs;
- **EMPHASIZE** pollution prevention, the efficient use of energy, and recycling of material resources as the primary means of maintaining a clean and healthful environment; and
- **PROACTIVELY ADDRESS** climate change adaptation strategies to manage the public health and safety risks associated with the potential increased frequency and/or severity of flooding and drought conditions, including impacts to public water supplies, air quality and agriculture/aquaculture production.

Applicable Principles of Smart Growth	
Integrated Planning or investment	A
Efficiencies and coordination of services	B
Redevelopment of existing infrastructure	C
Transportation choices	D
Development of housing affordable to households of varying income	E
Concentrated, mixed use, mixed income development	F
Conservation and protection of natural resources	G

Plans Prepared by State Agencies under State or Federal Law:

- State Solid Waste Management Plan
[http://www.ct.gov/dep/lib/dep/waste management and disposal/solid waste management plan/swmp final chapters and execsummary.pdf](http://www.ct.gov/dep/lib/dep/waste%20management%20and%20disposal/solid%20waste%20management%20plan/swmp_final_chapters_and_execsummary.pdf)
- Connecticut Drought Preparedness and Response Plan
[http://www.ct.gov/waterstatus/lib/waterstatus/Drought Preparedness & Response Plan.pdf](http://www.ct.gov/waterstatus/lib/waterstatus/Drought%20Preparedness%20&%20Response%20Plan.pdf)
- Connecticut Climate Change Action Plan
[http://ctclimatechange.com/wp-content/uploads/2009/03/CT Climate Change Action Plan 2005.pdf](http://ctclimatechange.com/wp-content/uploads/2009/03/CT%20Climate%20Change%20Action%20Plan%202005.pdf)
- State Natural Disaster Plan
[http://www.ct.gov/demhs/lib/demhs/plans/connecticut natural disaster plan - 2009.pdf](http://www.ct.gov/demhs/lib/demhs/plans/connecticut%20natural%20disaster%20plan%20-2009.pdf)



Household Hazardous Waste collection facility in Essex, established by the CT River Estuary Regional Planning Agency. Photo Credit: CRERPA

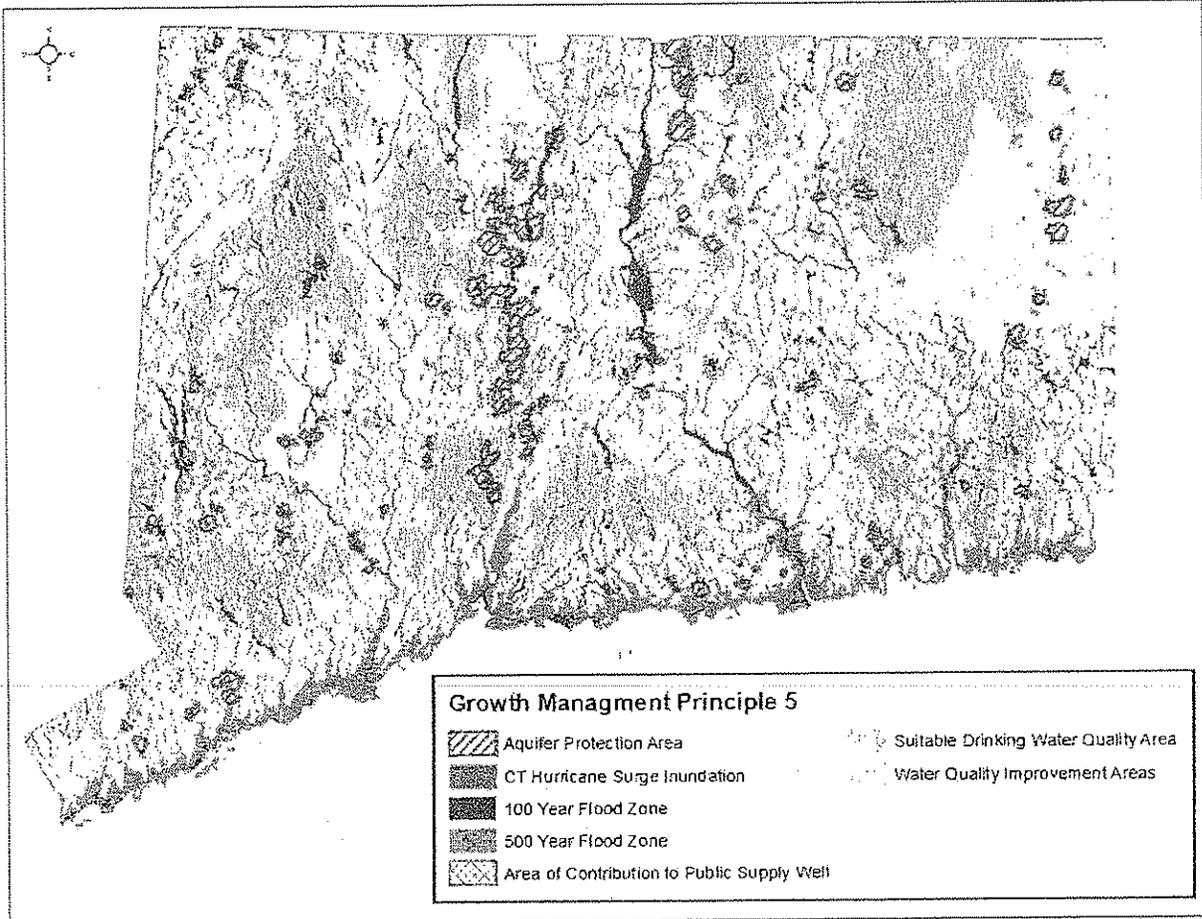
Examples of Performance Indicators for Measuring Progress:

- Percent of public water systems meeting drinking water quality standards
- Number of "Good Air Days"
- Pollution Index Values (average of all measured air pollutants)
- Amount of municipal solid waste sent to landfills
- Number of school systems, restaurants and state institutions contracting with Connecticut farms

Geographic Depiction of GMP 5

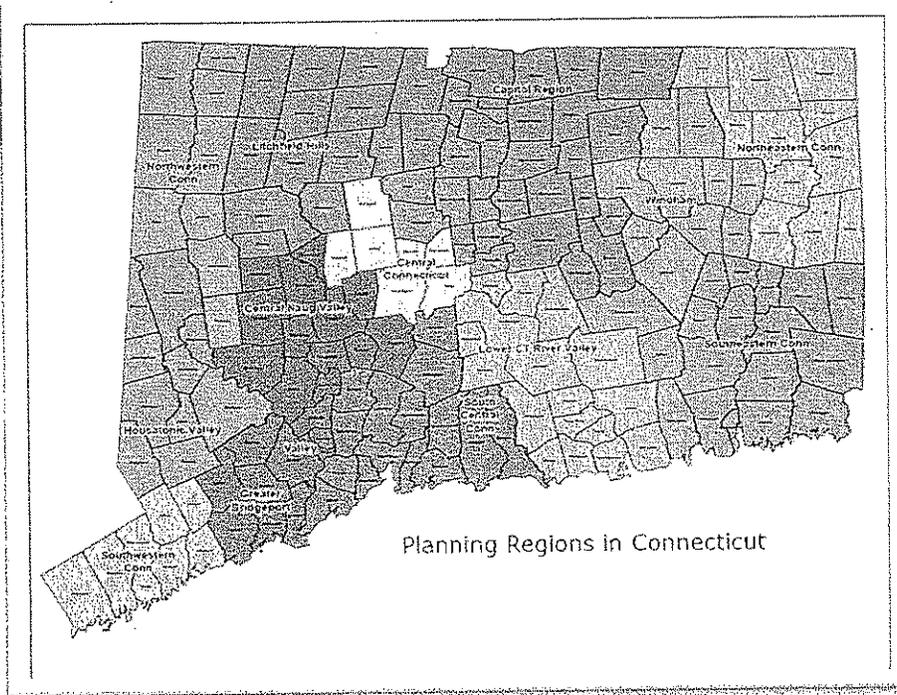
The following map reflects the geographic areas generally supported by the policies of GMP 5. State-sponsored efforts to protect and ensure the integrity of environmental assets critical to public health and safety are broadly illustrated through the following map criteria:

- 1) Aquifer Protection Areas;
- 2) CT Hurricane Surge Inundation;
- 3) Area of Contribution to Water Supply Well;
- 4) Suitable Drinking Water Quality Areas;
- 5) Water Quality Improvement Areas; and
- 6) 100 year Flood Zones.



GROWTH MANAGEMENT PRINCIPLE #6

Promote Integrated Planning across all Levels of Government to Address Issues on a Statewide, Regional, and Local Basis



Planning Regions in Connecticut

In order for Connecticut to compete and thrive in the global economy over the coming years and decades, the constituent units of state, regional and municipal government must leverage their myriad assets in a manner that will enhance the vibrancy of the overall state economy and its populace. While Connecticut is considered a small state in geographic terms, it must also be recognized that there is a wealth of diversity and character that defines each of its regions.

In order to better capture the unique qualities of each region, Public Act 10-138 requires that the 2013-2018 State C&D Plan

revision be prepared through a new process known as “cross-acceptance.” The Act defines cross-acceptance as “a process by which planning policies of different levels of government are compared and differences between such policies are reconciled with the purpose of attaining compatibility between local, regional and state plans.”

OPM will continue to facilitate the cross-acceptance process on a voluntary basis with regional planning organizations and their member municipalities, state agencies and the public, in order to develop consensus around a set of conservation and development priorities for each region. Once this is accomplished, there will be a reciprocal responsibility for both local land use decision-makers and state agencies to plan and act according to the regional growth strategies.

State Agency Policies

- **DEVELOP AND IMPLEMENT** a robust framework for geographic information sharing that will service the common needs of all users and permit the orderly storage, organization, and handling of large amounts of geographic data;
- **INITIATE** a progressive program for the sharing of planning data among state agencies, regional planning organizations, and municipalities;
- **SUPPORT** the creation of an objective and uniform public water and sewer need assessment protocol that considers the capacity of the land to accommodate decentralized water and sewage systems for existing and future development needs;

- **PROVIDE** advisory statements to state agencies as required under CGS Section 16a-31 when they prepare required programmatic plans and undertake certain actions using state or federal funds, to ensure that the State C&D Plan is implemented on a consistent basis;
- **ASSIST** municipalities and regional planning organizations in the planning and implementation of cooperative ventures that are intended to reduce the property tax burden on residents, while providing essential services and equipment more efficiently; and
- **ENCOURAGE** regional planning organizations and economic development districts to develop coordinated and effective regional plans and strategies for implementing projects that address region-specific needs.

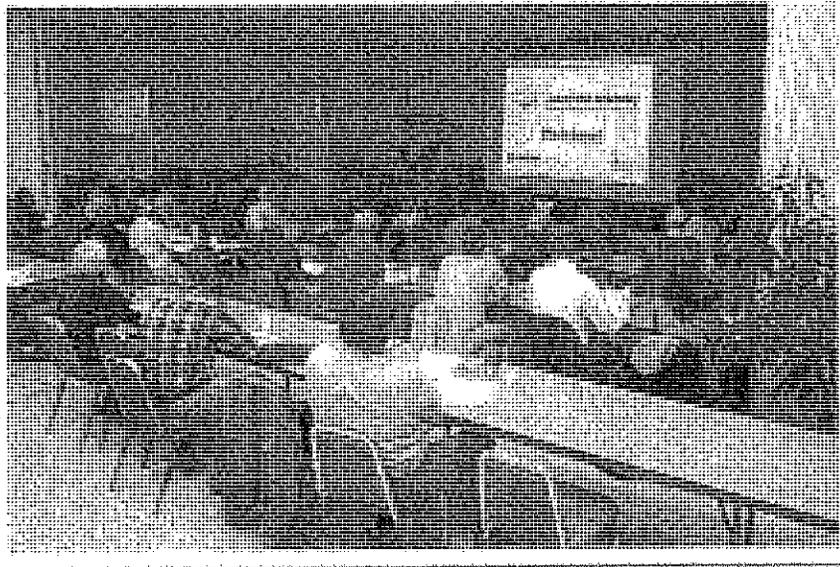
Applicable Principles of Smart Growth	
Integrated Planning or investment	A
Efficiencies and coordination of services	B
Redevelopment of existing infrastructure	C
Transportation choices	D
Development of housing affordable to households of varying income	E
Concentrated, mixed use, mixed income development	F
Conservation and protection of natural resources	G

Plans Prepared by State Agencies under State or Federal Law:

- State Facility Plan
http://www.ct.gov/opm/lib/opm/assets/facilityplans/state_facility_plan_-_2011-2016.pdf

Examples of Performance Indicators for Measuring Progress:

- Number of municipalities and regional planning organizations in compliance with the 10-year requirement for updating their plans of conservation and development;
- Number of municipalities that have adopted the CT Geospatial Information Systems Council-endorsed parcel standard;
- Number of applications received by OPM for interim changes to the State C&D Plan;
- Number of new cooperative ventures (inter-municipal and regional) for sharing regional services or equipment; and
- Estimated annual cost savings from cooperative ventures begun under the Regional Performance Incentive Program and the Inter-town Capital Equipment Sharing Program.



Land Use Academy Training by the University of Connecticut Center for Land Use Education and Research (CLEAR) at Uconn. Photo Credit: Uconn CLEAR

LOCATIONAL GUIDE MAP

Background

CGS Section 16a-31(a) requires state agencies to determine the consistency of their proposed actions with the State C&D Plan. CGS Section 16a-25 defines the State C&D Plan as “the text of such plan and any accompanying locational guide map.” Whenever a state agency is uncertain of a proposed action’s consistency with the State C&D Plan, it shall request an advisory report from OPM under CGS Section 16a-31(b).

Past revisions of the State C&D Plan included policies in both the Plan text and the locational guide map (LGM), in order to assist state agencies in determining the consistency of their proposed actions. The LGM policies included four “development” classifications (i.e., Regional Centers, Neighborhood Conservation Areas, Growth Areas & Rural Community Centers) and four “conservation” classifications (Existing Preserved Open Space, Preservation Areas, Conservation Areas & Rural Lands).

The existence of both text and map policies increasingly caused confusion over recent years, leading some individuals to believe that the LGM alone could be relied upon for determining a proposed action’s consistency with the State C&D Plan. This was never intended to be the case, nor is it the case with this new LGM.

Role of the Locational Guide Map

The new requirements associated with the Priority Funding Area (PFA) statutes have necessitated a shift in the role of the LGM. First and foremost, the LGM no longer reflects its traditional policy-based classifications noted above. Instead, the LGM more generally reflects the predominant existing conditions associated with the map criteria used to delineate the boundaries of PFAs (see below).

In order to more appropriately reflect the diversity of state agency administered programs, such as identified in Appendix A, OPM recommends that the LGM criteria be used to separate PFAs into both Priority Development Areas and Priority Conservation Areas. The intended result of this distinction is a better integration of the LGM with the Growth Management Principles and associated policies in the text.

This new role is intended to serve two purposes: 1) it reinforces the policies contained in the text of the State C&D Plan as the primary determinant of consistency for a proposed action; and 2) it ensures that any LGM reference is a secondary consideration only after a proposed action has been deemed consistent with the policies of the State C&D Plan. This will allow state agencies to operate with sufficient discretion and transparency, as afforded to them in CGS Section 16a-35d.

Use and Application of the Locational Guide Map

After a sponsoring agency determines that a proposed action is consistent with the C&D Plan policies, it shall consult the LGM to determine whether the proposed action falls within a PFA.

The PFA exception process provided in CGS Section 16a-35d recognizes that the scale of the State C&D Plan’s LGM cannot accurately reflect the land use detail of a municipal plan of conservation and development prepared under CGS Section 8-23. The PFA exception process provides a mechanism for state agencies to consider funding projects that have been deemed consistent with the State C&D Plan policies and are locally supported, even though they may not be located in a PFA. CGS Section 16a-35d(c) requires agencies to report annually on grants provided for such projects located outside of a PFA, and the reasons therefore.

While the LGM attempts to make a general distinction between Priority Development Areas and Priority Conservation Areas, the PFA exception process enables an agency such as the Department of Agriculture to support community-based agriculture in urban areas and, likewise, an agency such as the Department of Economic and Community Development (DECD) to support rural community development, when appropriate. Similarly, in areas that do not contain conservation or development criteria (i.e., Undesignated Areas), an agency may also consider funding a proposed action that has been deemed consistent with the policies of the State C&D Plan and has fulfilled the procedural requirements of the PFA exception process. An agency may also exercise its discretion to not fund a project, even one that has been deemed consistent with the State C&D Plan and is located in the appropriate PFA.

Finally, the definition of "growth-related project" in CGS Section 16a-35c provides several examples of state agency actions that are exempt from the PFA requirements, including:

- maintenance, repair, additions or renovations to existing facilities, acquisition of land for public safety telecommunications towers, parks, conservation and open space, and acquisition of agricultural, conservation and historic easements;
- funding for certain single or multi-family housing projects and projects that promote fair housing choice and racial and economic integration;
- projects at existing facilities needed to comply with state environmental or health laws or regulations;
- school construction projects funded by the Department of Education;
- libraries, municipally owned property or public buildings used for government purposes.

Locational Guide Map Criteria

Priority Development Areas

Priority Development Areas are delineated based on conditions that exist at the Census Block level, which is the smallest geographical unit delineated by the U.S. Census Bureau. Census Blocks are statistical areas which in Connecticut are typically bounded by visible features, such as streets, roads, streams, and railroad lines. Generally, Census Blocks in denser urban communities are small in area, such as a block in a city that is bounded on all sides by streets. However, Census Blocks in suburban and rural areas may be large, or irregular, and bounded by a variety of features, such as roads or streams. The use of Census Blocks is intended to allow for greater flexibility in the application and use of the LGM reflecting characteristics of an area. For example, a specific Census Block may be partially served by public water and/or sewer, and thus the entire block would appear to be served by these utilities. Any such limitations in the use of Census Blocks in this LGM should not be construed as influencing local land use and zoning decisions or municipal plans of conservation and development; nor should it create any expectation for future utility service where none currently exists.

Priority Conservation Areas

Priority Conservation Areas are delineated based on more natural conditions that reflect environmental or natural resource values. In contrast to the Priority Development Areas, which are based on man-made Census Blocks, Priority Conservation Areas are based on existing environmental conditions, such as soils or elevation, which typically do not have visible boundaries. Like Priority Development Areas, these areas are not defined based on zoning or land use, but rather the presence of natural resources or areas that contribute to the conservation or protection of those resources.

Additional Considerations:

- 1) *Balanced Growth Areas* – Areas that meet the criteria of both Priority Development Areas and Priority Conservation Areas are classified as Balanced Growth Areas. State agencies that propose certain

actions in these areas must provide balanced consideration of all factors in determining the extent to which it is consistent with the policies of the State C&D Plan. For example, a state-sponsored development action (e.g., business expansion) proposed in a Balanced Growth Area that is also characterized as a Drinking Water Supply Watershed would need to consider the integrity of the drinking water supply in determining the consistency of its proposed action. Likewise, a state-sponsored conservation action (e.g., farmland preservation) in a Balanced Growth Area that includes water and sewer utilities would need to consider the viability of the operation as well as other local and regional interests.

- 2) *Village Growth Areas* – In the state’s more rural municipalities, traditional village centers are considered to be Priority Funding Areas. The inclusion of Village Growth Areas is intended to recognize the unique characteristics and development needs of these areas, in accordance with CGS Section 16a-35e. Village Growth Areas are based on the boundaries of the former Rural Community Center classification from the 2005-2010 State C&D Plan. Such boundaries will be modified, as necessary, upon consideration of municipal input and public comments.
- 3) *Undesignated Areas* – Undesignated Areas on the LGM are typically rural in nature and lack the criteria necessary for being delineated as either Priority Development or Priority Conservation Areas.

LGM Classifications:

Priority Development Areas are classified by Census Blocks that include:

- Designation as an Urban Area or Urban Cluster in the 2010 Census
- Boundaries that intersect a ½ mile buffer surrounding existing or planned mass-transit stations
- Existing or planned sewer service
- Existing or planned water service
- Local bus service

Note: Additional priority is assigned to a Census Block that meets any of the above criteria and is located within a Distressed Municipality, Targeted Investment, or Public Investment Community

Priority Conservation Areas include:

- Core Forest Areas Greater than 250 acres based on the 2006 Land Cover Dataset
- Existing or potential drinking water supply watersheds
- Aquifer Protection Areas
- Wetland Soils greater than 25 acres
- Prime or locally important agricultural soils greater than 25 acres
- Category 1, 2, or 3 Hurricane Inundation Zones
- 100 year Flood Zones
- Critical Habitats

ATTACHMENT A

Examples of State Agency-Administered Programs

Program Name	Administering Agency	GMP 1	GMP 2	GMP 3	GMP 4	GMP 5	GMP 6
Small Town Economic Assistance Program	Various						
Housing for Economic Growth Program/Incentive Housing Zones	OPM						
Inter-town Capital Equipment Purchasing Incentive Program	OPM						
Main Street Investment Fund	OPM						
Regional Performance Incentive Program	OPM						
Regional Planning State Grant-in-Aid	OPM						
Drinking Water State Revolving Loan Fund	DPH						
Congestion Mitigation and Air Quality Improvement Program	DOT						
Federal Transit Administration Programs – Sections 5307, 5309 & 5311	DOT						
FHWA/FTA Consolidated Planning Grant	DOT						
Highway Bridge Replacement and Rehabilitation Program	DOT						
Interstate Maintenance Program	DOT						
Scenic Byways Program	DOT						
Special Transportation Fund/Special Tax Obligation Bonds	DOT						
Surface Transportation Program	DOT						
Town Aid Road Program	DOT						
Transit-Oriented Development Pilot Program	DOT						
Transportation Enhancement Program	DOT						
Transportation, Community and System Preservation Program	DOT						
Agricultural Viability Grant Program	DOAg						
Community Farms Preservation Program	DOAg						
CT Grown Program	DOAg						
Environmental Assistance Program	DOAg						
Farmers' Market Nutrition Program - WIC & Seniors	DOAg						
Farmland Preservation Program	DOAg						
Farmland Restoration Program	DOAg						
Farm-to-Food Service Programs	DOAg						
Good Ag Practices & Good Handling Practices Inspection Program	DOAg						
Small Poultry Processors Inspection Program	DOAg						
Aquifer Protection Area Program	DEEP						
Clean Water Fund	DEEP						
Coastal Management Program	DEEP						
Lakes Grant Program	DEEP						

ATTACHMENT B

Initial Outreach on the 2013-2018 State C&D Plan Revision Process (February 2011 – September 2011)

State Agency Workshops

1. March 2, 2011 DECD, DEP, DOAg, DOT, DPH, DPW, CDA, CHFA, SHPO

Regional Workshops

1. March 3, 2011 Southwestern Planning Region
2. March 23, 2011 Central CT Planning Region
3. March 29, 2011 Litchfield Hills Planning Region
4. March 29, 2011 Northeastern CT Planning Region
5. April 4, 2011 Greater Bridgeport Planning Region
6. April 6, 2011 Central Naugatuck Valley Planning Region
7. April 7, 2011 Windham Planning Region
8. April 11, 2011 Lower CT River Valley Planning Region
9. April 14, 2011 South Central CT Planning Region
10. April 20, 2011 Housatonic Valley Planning Region
11. April 27, 2011 Southeastern CT Planning Region
12. June 21, 2011 Capitol Planning Region

Note: Northwestern CT and the Valley Planning Regions reported insufficient interest for organizing regional workshops. Member municipalities of those regions were invited to attend workshops in their respective neighboring regions of Litchfield Hills and Greater Bridgeport.

Outreach to Other Organizations (upon request)

1. April 5, 2011 CT Partnership for Strong Communities
2. April 5, 2011 CT Water Planning Council
3. April 29, 2011 CT Association of Water Pollution Control Authorities
4. May 20, 2011 CT Water Works Association – Legislative Committee
5. June 10, 2011 CT Chapter of the American Planning Association – Hot Topics in
Land Use Law and Practice Forum
6. June 15, 2011 CT Farmland Preservation Advisory Board
7. July 25, 2011 The Nature Conservancy in Connecticut, Connecticut Fund for the
Environment, CT Forest and Park Association, 1000 Friends of
Connecticut, CT Audubon Society, CT League of Conservation Voters,
CT Land Conservation Council, CT Chapter of the Sierra Club
8. August 3, 2011 Middlesex Chamber of Commerce – Environment, Land Use and
Energy Committee
9. September 15, 2011 CT Bicycle and Pedestrian Advisory Board

ATTACHMENT C

Comparison of Municipal and Regional Plans of Conservation and Development with the Initial Draft of the 2013-2018 State C&D Plan (January 2012 – February 2012)

State Agency Workshops

- | | |
|---------------------|---|
| 1. January 11, 2012 | DECD, DEEP, DOAg, DOT, DPH, DCS, CDA*, CHFA*, CI* |
| 2. January 30, 2012 | DEEP |
| 3. January 30, 2012 | DOT |
| 4. February 2, 2012 | DPH |

* quasi-public agency

Plan Comparison Workshops

- | | |
|-----------------------|--|
| 1. January 17, 2012 | Southeastern CT Planning Region |
| 2. January 19, 2012 | Valley Planning Region |
| 3. January 24, 2012 | Capitol Planning Region |
| 4. January 31, 2012 | Central Naugatuck Valley Planning Region |
| 5. February 1, 2012 | Southwestern Planning Region |
| 6. February 2, 2012 | Central CT Planning Region |
| 7. February 7, 2012 | Northeastern CT Planning Region |
| 8. February 8, 2012 | Greater Bridgeport Planning Region |
| 9. February 9, 2012 | Housatonic Valley Planning Region |
| 10. February 15, 2012 | Litchfield Hills Planning Region |
| 11. February 16, 2012 | Lower CT River Valley Planning Region |
| 12. February 17, 2012 | Windham Planning Region |
| 13. February 23, 2012 | South Central CT Planning Region |
| 14. March 8, 2012 | Northwestern CT Planning Region |

ATTACHMENT D

“Principles of Smart Growth” as defined by Public Act 09-230

“Principles of smart growth” means standards and objectives that support and encourage smart growth when used to guide actions and decisions, including, but not limited to, standards and criteria for:

(A) integrated planning or investment that coordinates tax, transportation, housing, environmental and economic development policies at the state, regional and local level,

(B) the reduction of reliance on the property tax by municipalities by creating efficiencies and coordination of services on the regional level while reducing interlocal competition for grand list growth,

(C) the redevelopment of existing infrastructure and resources, including, but not limited to brownfields and historic places,

(D) transportation choices that provide alternatives to automobiles, including rail, public transit, bikeways and walking, while reducing energy consumption,

(E) the development or preservation of housing affordable to households of varying income in locations proximate to transportation or employment centers or locations compatible with smart growth,

(F) concentrated, mixed-use, mixed income development proximate to transit nodes and civic, employment or cultural centers, and

(G) the conservation and protection of natural resources by (i) preserving open space, water resources, farmland, environmentally sensitive areas and historic properties, and (ii) furthering energy efficiency

CGS Sec. 4-37I states, “When considering any grant application submitted in connection with a proposed development, rehabilitation or other construction project, a state agency shall consider whether such proposal complies with some or all of the principles of smart growth provided in Section 1 of Public Act 09-230*.”

*Note: Section 1 of Public Act 09-230 is special in nature and therefore has not been codified but remains in full force and effect according to its terms.

ATTACHMENT E

Glossary of Terms

Connecticut Heritage Area – “a place within the state that has been identified by the General Assembly as having significant historic, recreational, cultural, natural and scenic resources that form an important part of the state's heritage.” (CGS Sec. 23-81)

Note: CGS Sec. 23-81a states that the “General Assembly recognizes two Connecticut Heritage Areas: (1) The Quinebaug and Shetucket Rivers Valley National Heritage Corridor, and (2) the Upper Housatonic Valley National Heritage Area.”

Freight Village (a.k.a. Integrated Logistics Center) – “A defined area within which all activities relating to transport, logistics and the distribution of goods, both for national and international transit, are carried out by various operators.”

Howard J. Mann, Manager, Freight Planning, NYMTC, “Freight Village: What it is; What it does; Feasibility in NYMTC Region”

Infrastructure – “The physical components of interrelated systems providing commodities and services essential to enable, sustain, or enhance societal living conditions”, such as roadways, rail stations, rail lines, airports and facilities, wastewater treatment facilities, pump stations and collection systems, public water supply treatment facilities, electrical grids, telecommunications. etc.

Fulmer, Jeffrey (2009). “What in the world is infrastructure?” PEI Infrastructure Investor (July/August): 30–32.

Life-Cycle Costs – The total costs of ownership of an asset or facility from its inception to the end of its useful life. The costs include the design, engineering, construction, operation, maintenance, and repair of the asset. Life-cycle costs provide the information to compare project alternatives from the perspective of least cost of ownership over the life of the project or asset. Life-cycle cost calculations use the “time value of money” concept to evaluate alternatives on a common basis. Net Present Value (NPV) computations bring all anticipated expenses of a project or asset, over its entire useful life, to a present day value that is then used for comparison with other alternatives.

CT Siting Council Investigation into the Electric Transmission Line Life-Cycle Costs – Draft Report dated March 16, 2012

Natural Area – “an area of land or water, or land and water, containing, or potentially containing, plant or animal life or features of biological, scientific, educational, geological, paleontological, or scenic value worthy of preservation in their natural condition” (CGS Sec. 23-5b)

Northeast Megaregion – The string of metropolitan areas from Boston, MA to Washington, DC

Regional Center – Municipalities identified as such on the 2013-2018 State C&D Plan’s Locational Guide Map

Transit-Oriented Development – “the development of residential, commercial and employment centers within one-half mile or walking distance of public transportation facilities, including rail and bus rapid transit and services, that meet transit supportive standards for land uses, built environment densities and walkable environments, in order to facilitate and encourage the use of those services” (CGS Sec. 13b-79kk)

Waters (of the State) – “all tidal waters, harbors, estuaries, rivers, brooks, watercourses, waterways, wells, springs, lakes, ponds, marshes, drainage systems and all other surface or underground streams, bodies or accumulations of water, natural or artificial, public or private, which are contained within, flow through or border upon this state or any portion thereof” (CGS Sec. 22a-367)

State Agency Acronyms

OPM - Office of Policy and Management

DPH - Department of Public Health

DOT - Department of Transportation

DOAg - Department of Agriculture

DEEP - Department of Energy and Environmental Protection

DECD - Department of Economic and Community Development

DCS - Department of Construction Services

CHFA - Connecticut Housing Finance Authority

CEFIA - Clean Energy Finance and Investment Authority

CDA - Connecticut Development Authority

TOWN OF MANSFIELD



AUDREY P. BECK BUILDING
FOUR SOUTH EAGLEVILLE ROAD
MANSFIELD, CT 06268-2599
(860) 429-3336
Fax: (860) 429-6863

Fax To:

Chronicle: 423-7641; Journal Inquirer: (860) 646-9867; Daily Campus: 486-4388; WHUS: 486-2955; WILI: 456-9501; Hartford Courant: (860) 241-3866; Reminder Press: 875-2089

Point of Contact: CINDY DAINTON, SENIOR CENTER COORDINATOR
MANSFIELD SENIOR CENTER
860-429-0262

For Immediate Release

National Senior Center Month celebration at the Mansfield Senior Center

September 10-15, 2012 – The Mansfield Senior Center is celebrating National Senior Center Month during the week of September 10th through the 15th. Theme Days and Special Events will be held throughout the week. Making Connections at the Senior Center is the overall theme for the week.

All individuals age 55 years of age or older are invited to see what happens at the Mansfield Senior Center. Programs will be offered free of charges so that individuals have the opportunity to experience a class or program before making a longer term commitment. The Senior Center offers 8 to 12 programs a day providing a full spectrum of social, recreational, and educational classes.

Cindy Dainton, Mansfield Senior Center Coordinator, states "I am excited to show the community all of the activities that go on at the Mansfield Senior Center". According to reports from last year, over 21,000 logged events were done at the senior center by 785 unduplicated individuals and 1,000 guests.

The Senior Center is open Monday through Friday from 8:30am to 4:30pm. It is located at 303 Maple Road in Storrs/Mansfield. Come and see what the Mansfield Senior Center has to offer.

For additional information on the news that is the subject of this release (or for a sample, copy or demo), contact Cindy Dainton or visit www.mansfieldct.org.

###

PAGE
BREAK



*Town of Mansfield
Proclamation in Recognition of September 2012 as Senior Center Month.*

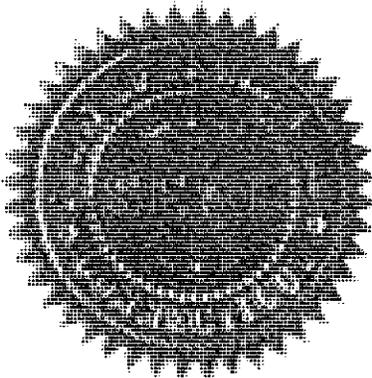
WHEREAS, older Americans are significant members of our society, investing their wisdom and experience to help enrich and better the lives of younger generations; and

WHEREAS, the Mansfield Senior Center has acted as a catalyst for mobilizing the creativity, energy, vitality, and commitment of the older residents of Mansfield; and

WHEREAS, through the wide array of services, programs, and activities, the senior center empowers older citizens of Mansfield to contribute to their own health and well-being and the health and well-being of their fellow citizens of all ages; and

WHEREAS, the Mansfield Senior Centers affirms the dignity, self-worth, and independence of older persons by facilitating their decisions and actions; tapping their experiences, skills, and knowledge; and enabling their continued contributions to the community;

NOW, THEREFORE, I, Mayor Elizabeth C. Paterson do hereby proclaim September 2012 Senior Center Month, and call upon all the citizens of Mansfield to recognize the special contributions of the senior center participants and the special efforts of the staff and volunteers who work every day to enhance the well-being of the older citizens of our community.



Elizabeth C. Paterson
Elizabeth C. Paterson
Mayor, Town of Mansfield
August 30, 2012

PAGE
BREAK



Government Finance Officers Association
203 N. LaSalle Street - Suite 2700
Chicago, IL 60601

Phone (312) 977-9700 Fax (312) 977-4806

Item #18

August 14, 2012

Matthew W. Hart
Town Manager
Town of Mansfield
4 So. Eagleville Road
Storrs Mansfield CT 06268-2574

Dear Mr. Hart:

We are pleased to notify you that your comprehensive annual financial report for the fiscal year ended **June 30, 2011** qualifies for a Certificate of Achievement for Excellence in Financial Reporting. The Certificate of Achievement is the highest form of recognition in governmental accounting and financial reporting, and its attainment represents a significant accomplishment by a government and its management.

The Certificate of Achievement plaque will be shipped to:

Cheryl A. Trahan
Director of Finance

under separate cover in about eight weeks. We hope that you will arrange for a formal presentation of the Certificate and Award of Financial Reporting Achievement, and that appropriate publicity will be given to this notable achievement. A sample news release is enclosed to assist with this effort. In addition, details of recent recipients of the Certificate of Achievement and other information about Certificate Program results are available in the "Awards Program" area of our website, www.gfoa.org.

We hope that your example will encourage other government officials in their efforts to achieve and maintain an appropriate standard of excellence in financial reporting.

Sincerely,
Government Finance Officers Association

Stephen J. Gauthier, Director

Technical Services Center

SJG/ds

PAGE
BREAK

United Services announces plans for new Mansfield Center

Center Will Provide Cost-Effective Care to Meet Increased Community Needs

United Services, Inc., Wethersfield, Conn., one of the local mental health providers with over 43 years of experience providing behavioral health services, is preparing to develop a new center in Mansfield. The building of approximately 25,000 square feet to consolidate existing services in the Mansfield area. At the time the project proposal was approved by the Mansfield Planning and Zoning Committee, it will award only a conditional commitment from the State of Connecticut. The building will be approximately 6 acres in the junction of Mansfield Routes 1 and Mansfield City Road.

The Mansfield Center will have several services to meet increased community needs. The center will include mental health services, substance abuse and mental health services, and will provide a high level of care integrated with other community services. said United Services President, CEO



David L. Manning. "We also hope to serve as a model for other behavioral health centers in the region through an integration of primary and behavioral health care services. We will continue to invest in expanding such care given the challenges underscored by those with psychiatric conditions."

United Services has been in the behavioral health services market since 2007, with child and family services provided by means that allowed to accommodate the Mansfield area. The new building will consolidate two existing facilities and increase at a great extent, construction that will support affordable care and provide diverse behavioral health care needs. The building will also have a multi-use facility, including a community center, a gymnasium, and a community center. The building will also have a multi-use facility, including a community center, a gymnasium, and a community center. The building will also have a multi-use facility, including a community center, a gymnasium, and a community center.

Two New Juvenile Review Boards Established to Service the 10 Town United Services Youth Service Bureau Region

The United Services, Inc. Youth Service Bureau has been working closely with the Northeastern Connecticut Juvenile Review Board subcommittee and recently announced plans to establish two Juvenile Review Boards to serve the ten town Youth Service Bureau area, partnering with the local non-profit organization TEEG.

Juvenile Review boards are community based programs established to deal with juvenile delinquency issues, and to provide a process for youth to be held accountable without placing them into the Juvenile Justice system. For most JRBs, the youth and the parents must sit before the board and answer questions about the youth's behavior. The JRB then comes up with a plan for the youth. The youth is expected to acknowledge his/her mistakes, agree to make restitution for any cost that their transgression may have caused, agree to perform some type of community service commensurate with their transgression and demonstrate that they have learned from their mistakes. Sometimes the Youth Service Bureau will also need to help the youth/family acquire mental health services when necessary.



PAGE
BREAK

issues & trends

Item #20

INSIGHT INTO THE LATEST SOCIAL, FINANCIAL AND POLITICAL MOVEMENTS SHAPING AMERICA'S COMMUNITIES



A rash of California bankruptcies don't tell the full story of cities' fiscal health, experts say. Local conditions and different state regulations affect how individual cities fare.

For a while, it seemed as if the sky was falling — three California cities in quick succession headed toward formal bankruptcy, bringing the total number of U.S. municipalities filing or declaring intentions to file bankruptcy this year to nine. Still, though it's clear that many cities are facing financial challenges, the full picture of cities' fiscal health is a lot murkier and more complicated than a simple Chicken Little tale.

Consider, for example, this number: 19,000. That is how many municipalities there are in the United States. In that context, nine bankruptcies is not very many.

In fact, since 1980, less than 0.5 percent of all localities issuing debt have gone through bankruptcy, according to a report from the Pew Center on the States. That rate

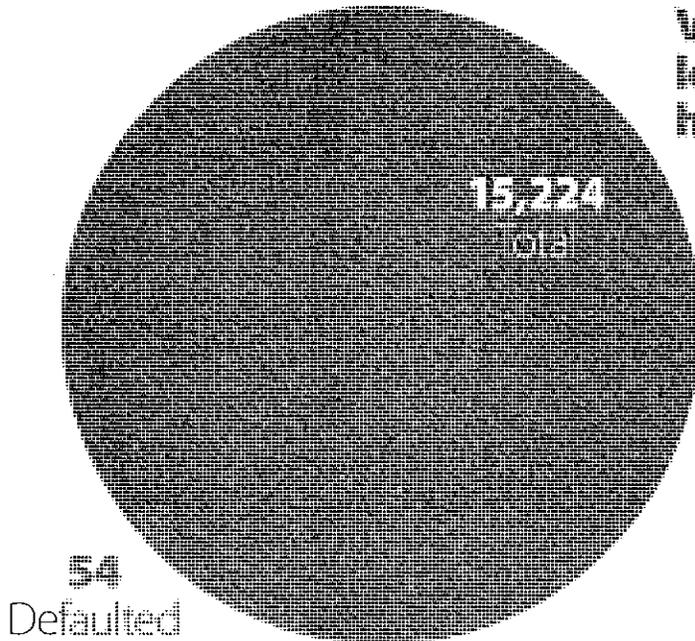
remained unchanged even during the Great Recession, which officially ended in 2009.

"These have always been rare cases," says Chris Hoene, research director for the National League of Cities. "It'll be a little less rare [now]. But in a country with 19,000 municipalities, the total numbers in the end won't tell a story that's indicative of most of the rest of the country."

Take the cases of those three California cities. Stockton, Mammoth Lakes and San Bernardino declared they would seek bankruptcy protection, all within about a month. Stockton, with almost 300,000 people, is the biggest U.S. city to file bankruptcy.

But all three cities fell victim to particular circumstances, Hoene says. In Mammoth Lakes, a tiny tourist town, a major contract went awry. Stockton and San Bernardino, meanwhile, "represent the more extreme

**Very few
local governments
have defaulted**



NOTE: Among issuers of debt rated by Moody's Investor Services

SOURCE: Presentation by Bob Kurtter, Moody's Investor Services, U.S. Municipal Credit Update, Charlotte, N.C., March 31, 2011, page 3

There have always been late payers. The total number in the one word is every time in a great part of the rest of the country.

end of the impact of this recession on cities," he says. "They were struggling cities before the recession... And they were extremely hard-hit by the housing market."

Stockton and San Bernardino are located in regions that are among the top five areas hardest hit by the housing bust, Hoene says. Stockton has the second highest foreclosure rate in the country.

Indeed, while many cities are suffering financially, some are hurting more than others. The difference, Hoene says, "depends almost entirely on where the city is. There are certain regions that are doing better than others. And within regions, it often depends on what part of the housing market you're in... Geography matters here."

It matters, too, the state in which a city is located. Some states prevent local governments from filing bankruptcy -- it looks bad for everybody, including the state. So when a city's finances look shaky, the state will step in.

That's what happened in Harrisburg, Pa., after the capital city's debt service on incinerator bonds grew to \$68 million, more than the city's entire general fund

budget. In 2011, the state appointed a receiver for Harrisburg and blocked the city from filing for bankruptcy.

Michigan also seized control of several struggling communities, including Flint and Pontiac, and it forced Detroit to cut a deal to avoid takeover. Rhode Island took control over finances in three troubled cities.

Even if a city declares bankruptcy, that doesn't mean it's off the hook for its bills. A court or other arbitrator decides who gets paid, when and how much. Bondholders are almost always protected in that process, though employees and retirees may fare worse.

The bottom line, Hoene says, is that assessing cities' financial health these days is tricky. "It's hard to aggregate across the country because situations vary so much," he says. "But generally speaking, after a recession of this magnitude and several years of downturn for recovery, most cities are facing some heightened level of fiscal stress."

Larry Conley