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Application for Eligible Contractors and Third-Party PV System Owners

To participate in the

Residential Solar Investment Program

Revised November 1, 2016

Applications are accepted on a rolling submission basis.

Form A – Application Certification

The undersigned is a duly authorized representative of the Eligible Contractor or System Owner listed below with the authority to bind the Eligible Contractor or System Owner for the purposes of this Request for Qualifications for Eligible Contractors and Third-Party PV System Owners (RFQ) Application (Application). The Eligible Contractor or System Owner has read, understands and agrees to be bound by the terms and conditions contained in this RFQ and Application.

The information provided by the Eligible Contractor or System Owner in this Application or any part thereof, including its exhibits, schedules and other documents or instruments delivered or to be delivered to Connecticut Green Bank (Green Bank), are true, accurate and complete. This Application includes all information necessary to ensure the statements therein do not in whole or in part mislead the Green Bank as to any material fact.

I certify:

- The statements made by the Eligible Contractor or System Owner in this Application, including all attachments, forms and exhibits, are true and correct to the best of my knowledge.
- The Eligible Contractor or System Owner did not participate in the solicitation development process.
- The Eligible Contractor or System Owner has not been convicted of bribery or attempting to bribe a public official or employee of the state, has not been disqualified for contract awards by any agency of the state, and is not in default under any contract with an agency of the state.
- The Eligible Contractor or System Owner acknowledges the Green Bank is a “public agency” for purposes of Connecticut’s Freedom of Information Act (FOIA), and that all information provided to the Green Bank by the Eligible Contractor or System Owner is a “public record or file” subject to public disclosure unless exempted by the FOIA.
- The Eligible Contractor or System Owner agrees to all the terms and conditions set forth in the RFQ dated November 1, 2016.

Legal name of company:

Name of company’s authorized representative:

Title of authorized representative:

Signature of authorized representative: _____

Date signed:

Form B – Company Information**B1. Indicate the applicable type of Application:**

- Eligible Contractor
- Eligible Third Party System Owner
- Both Eligible Contractor and Third Party System Owner

B2. If System Owner, indicate financing options available to Homeowners:

- Lease
- Power Purchase Agreement (PPA)

B3. Company Contact**Company Name:****Legal Type (i.e. LLC):****EIN:****Website:****Address 1:****Address 2:****City:****State:****Zip:****Phone:****Email:****Primary Contact Name:****Email:****Phone:****Role:****Contact Name:****Email:****Phone:****Role:****Contact Name:****Email:****Phone:****Role:****Contact Name:****Email:****Phone:****Role:**

B4. Company Description

Describe your company's history, current services, number of employees and location. If located outside of Connecticut, describe offices you have or will be establishing in Connecticut, use of local labor and apprentice programs.

B5. Customer Support

Describe customer support available to Homeowners.

B6. Experience with PV Systems

Describe your firm's experience with PV. Include years of experience, summary of completed installations, including average number and size, grid and off-grid experience and geographical service region, and type of shading analysis tool(s) used.

B7. State Contracting Certifications, Affidavits and Affirmations

Eligible Contractor or System Owner represents and warrants that, prior to entering into this Agreement, Contractor signed State Contracting Certifications, Affidavits and Affirmations attached as Form D.

Form C – Employee Information and Customer References

C.1. List of Key Employees

Provide a list of employees who will be directly involved in the Residential Program. Use the codes below to complete the respective columns in the table.

Employee Codes

FE = Full-time employee
 PE = Part-time employee
 S = Subcontractor

Responsibility Codes

SD = System Design
 IS = Installation Supervisor
 E1 = E-1 licensed employee or subcontractor

Name	Employee Code	Responsibility Code(s)	NABCEP Certified	NABCEP Entry Level

C.2. Customer References – Only applicable to Eligible Contractors

Please review Section 1.3 and Section 1.4 of the RFQ before completing the table below. List customer references and indicate if each reference is for a Primary Install or an Apprentice Install.

Installation Types

P = Primary Install
 A = Apprentice Install

Customer Name	kW Size (STC)	Phone / E-mail	Install Type

State Contracting Certifications, Affidavits and Affirmations

I. CERTIFICATION OR AFFIDAVIT REGARDING NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS (Conn Gen. Stat. §§ 4a-60 and 4a-60a)

(Check the Representation/Certification/Affidavit that applies and sign where indicated)

For contracts valued at less than \$50,000

I hereby represent that I am authorized to execute and deliver this representation on behalf of Contractor and that the Contractor has a policy in effect that complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signed: _____ Date: _____

For contracts valued at \$50,000 or more for any year of the contract

CHECK ONE

I hereby certify the following is a true and correct copy of the resolution adopted on _____, 20____ by the Contractor's governing body in accordance with all of its documents of governance and management and the laws of the _____, and further certify that such resolution has not been modified, rescinded or revoked, and is, at present, in full force and effect:

RESOLVED: That _____, hereby adopts as its policy the nondiscrimination agreements and warranties required under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended. In witness whereof, the undersigned has executed this certificate the day and date indicated below.

Signed: _____ Date: _____

OR

I hereby certify that a prior resolution adopted by the Contractor's governing body and provided to the Connecticut Green Bank (Green Bank), and that complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, remains in full force and effect on the date this documentation is submitted to the Green Bank.

Signed: _____ Date: _____

(This next section is for execution by the Green Bank where Contractor supplies a prior resolution regarding nondiscrimination)

I, the undersigned head of THE GREEN BANK, or designee, certify that the attached prior resolution of the Contractor complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signed: _____ Date: _____

OR

I am over the age of eighteen (18) and understand and appreciate the meaning of an oath. I hereby certify under penalty of false statement that I am duly authorized to adopt company or corporate policy for the Contractor and that the Contractor has a policy in effect that complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signed: _____ Date: _____

Subscribed and sworn to before me, this _____ day of _____, 20 .

Commissioner of the Superior Court
(or Notary Public)

II. CERTIFICATION REGARDING OCCUPATIONAL SAFETY AND HEALTH ACT COMPLIANCE (Conn. Gen. Stat. § 31-57b)

I hereby certify that the Contractor (1) has not been cited for three or more wilful or serious violations of any occupational safety and health act or of any standard, order or regulation promulgated pursuant to such act, during the three-year period preceding the date of the bid/RFP/solicitation, provided such violations were cited in accordance with the provisions of any state occupational safety and health act or the Occupational Safety and Health Act of 1970, and not abated within the time fixed by the citation and such citation has not been set aside following appeal to the appropriate agency or court having jurisdiction or (2) which has not received one or more criminal convictions related to the injury or death of any employee in the three-year period preceding the date of the bid/RFP/solicitation.

Signed: _____ Date: _____

III. GIFT AFFIDAVIT AND CERTIFICATION (Conn. Gen. Stat. §§ 4-250 to 4-252)

For contracts valued at \$500,000 or more in a calendar or fiscal year

CHECK ONE: Initial Certification Annual Update (Multi-year contracts only)

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

1. "Contract" means that contract between THE CONNECTICUT GREEN BANK (GREEN BANK) and the Contractor described in the Cover Sheet.
2. If this is an Initial Certification, "Execution Date" means the date described in the Cover Sheet. If this is an Annual Update, "Execution Date" means the date this certification is signed by the Contractor.
3. "Contractor" means the entity named as the Contractor below.
4. "Applicable Public Official or State Employee" means any public official or state employee described in Conn. Gen. Stat. § 4-252(c)(1)(i) or (ii).
5. "Gift" has the same meaning given that term in Conn. Gen. Stat. § 4-250(1).
6. "Planning Start Date" is the date described in the Cover Sheet.
7. "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in Conn. Gen. Stat. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make, or has promised, or offered, to, or otherwise indicated that he, she or it will, make any Gifts to any Applicable Public Official or State Employee.

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

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

Signed: _____ Date: _____

Subscribed and sworn to before me, this _____ day of _____, 20____.

Commissioner of the Superior Court
(or Notary Public)

IV. CERTIFICATION REGARDING CAMPAIGN CONTRIBUTIONS (Conn. Gen. Stat. § 9S -612)

For a contract valued at \$50,000 or more, or a combination or series of contracts valued at \$100,000 or more in a calendar year

I certify that neither the Contractor nor any of its principals, as defined in Conn. Gen. Stat. § 9-612(g)(1), with regard to the Contract or the Contract solicitation, has made any campaign contributions to, or, on or after January 1, 2011, solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of Conn. Gen. Stat. § 9-612(g)(2)(A).

I further certify that neither the Contractor nor any of its principals, as defined in Conn. Gen. Stat. § 9-612(g)(1), with regard to a state contract or a state contract solicitation with or from the General Assembly, has made any campaign contributions to, or, on or after January 1, 2011, solicited any contributions on behalf of, any exploratory committee, candidate committee or political committee established by a candidate for nomination or election to the office of state senator or state representative, or party committee, in violation of Conn. Gen. Stat. § 9-612(g)(2)(B).

I further certify that all lawful campaign contributions that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in Conn. Gen. Stat. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

I further acknowledge receipt of SEEC Form 10, Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contributions and Solicitation Limitations.

Signed: _____ Date: _____

V. **AFFIDAVIT REGARDING CONSULTING AGREEMENTS** (Conn. Gen. Stat. § 4a-81)

For contracts valued at \$50,000 or more in any calendar or fiscal year

Contractor hereby swears and attests as true to the best knowledge and belief of the person signing below that no consulting agreement, as defined in Conn. Gen. Stat. § 4a-81, has been entered into in connection with the Contract.

"Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the Connecticut Green Bank (Green Bank), (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to the Contract. Consulting agreement does not include any agreements entered into with a consultant who is registered as a lobbyist under Chapter 10 of the Connecticut General Statutes as of the date this.

Contractor agrees to amend this affidavit if and when any consulting agreement is entered into during the term of the Contract.

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

Signed: _____ Date: _____

Subscribed and sworn before me on this _____ day of _____, 20____.

Commissioner of the Superior Court
(or Notary Public)

VI. AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY (Conn. Gen. Stat. §§ 1-101mm and 1-101qq)

For contracts valued at more than \$500,000

CHECK ONE

I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process].

I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award].

I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.

AFFIRMATION:

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

*The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website at http://www.ct.gov/ethics/lib/ethics/guides/contractors_guide_09_final.pdf

Signed: _____ Date: _____

VII. AFFIRMATION OF APPLICABLE EXECUTIVE ORDERS

To the extent applicable to this Contract, Contractor acknowledges that it will be required to comply with the provisions of the following Executive Orders: Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms; Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services; Executive Order No. 16 of Governor John G. Rowland, promulgated August 4, 1999, concerning violence in the workplace; Executive Order No. 17 of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings; and Executive Order No. 3 of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices.

Signed: _____ Date: _____

Eligible Contractor Application Checklist

The following documents are required for all Eligible Contractor applicants:

- Complete Application (Forms A-D)
- Bank reference letter
- Resumes for key staff
- Connecticut E1 and/or HIC license(s)
- NABCEP certificate(s)
- Standard contract or sales agreement
- Workmanship warranty
- General liability insurance certificate
- W9

The following documents may be required:

- Additional licenses, education and training
- Subcontracting agreement(s)
- Customer references
- Connecticut Technical High School or NECA/IBEW letter

System Owner Application Checklist

The following documents are required for all System Owner applicants:

- Complete Application (Forms A-D)
- Bank reference letter
- Resumes for key staff
- Standard lease or PPA agreement(s)
- Workmanship warranty
- General liability insurance certificate
- W9

The following documents may be required:

- Standard contract or sales agreement
- NABCEP certificate
- Connecticut E1 and/or HIC license(s)
- Additional licenses, education and training
- Subcontracting agreement(s)
- Customer references
- Connecticut Technical High School or NECA/IBEW letter

This RFQ and Application are posted at www.ctgreenbank.com/contractors.