

## ADDENDUM #2

DATE: August 10, 2009

TO: All Prospective Firms

FROM: Kathleen Joy, Assistant Director, Purchasing

RE: **RFP #KJ072409, Organizational Strategy & Development, Organizational Alignment & Workforce Management Services**

All firms are hereby advised of the following amendments to the Request for Proposal documents which are hereby made an integral part of the documents for the subject agreement, prepared by the University of Connecticut Purchasing Department.

### CHANGE IN REQUIREMENT:

Please refer to Sections - Cover page #1, Section 3.2 Estimated Timetable, Section 3.4.1 page #8, Section 8 DATE

The date for receipt of proposals has been extended from August 13, 2009 to **Thursday, August 20, 2009 @ 2:00 PM (EDT)**

Proposals submitted shall be deemed to include information as shown in Addendum **No. 2**. Firms shall be required to acknowledge receipt of this addendum in their proposal by signing the document below and submitting with your proposal response. Failure to acknowledge receipt of this addendum by the firm may result in the rejection of their proposal response.

**NOTE:** This addendum must be completed, signed and submitted with your proposal response to be considered. If you have already submitted a proposal, please complete the addendum and submit same in a sealed envelope, clearly marked with the Invitation name, response date, and return address. This will be accepted as part of your proposal response, **PROVIDING IT IS RECEIVED BY THE PURCHASING DEPARTMENT BY THE TIME AND DATE SPECIFIED IN THE ORIGINAL INVITATION DOCUMENT, OR AS AMENDED BY THIS DOCUMENT.**

---

Name of Firm

---

Date

---

Address

---

Signature and Title

## ADDENDUM #1

DATE: July 27, 2009

TO: All Prospective Firms

FROM: Kathleen Joy, Assistant Director, Purchasing

RE: **RFP #KJ072409, Organizational Strategy & Development, Organizational Alignment & Workforce Management Services**

All firms are hereby advised of the following amendments to the Request for Proposal documents which are hereby made an integral part of the documents for the subject agreement, prepared by the University of Connecticut Purchasing Department.

Proposals submitted shall be deemed to include information as shown in Addendum **No. 1**. Firms shall be required to acknowledge receipt of this addendum in their proposal by signing the document below and submitting with your proposal response. Failure to acknowledge receipt of this addendum by the firm may result in the rejection of their proposal response.

Additional Information: For those firms participating in the Mandatory Pre-Proposal Conference via teleconference on Thursday, July 30, 2009 at 10:30 AM (EDT) the password for entry to the group discussion is **HUSKY**

**NOTE:** This addendum must be completed, signed and submitted with your proposal response to be considered. If you have already submitted a proposal, please complete the addendum and submit same in a sealed envelope, clearly marked with the Request for Proposal name, response date, and return address. This will be accepted as part of your proposal response, **PROVIDING IT IS RECEIVED BY THE PURCHASING DEPARTMENT BY THE TIME AND DATE SPECIFIED IN THE ORIGINAL REQUEST FOR PROPOSAL DOCUMENT, OR AS AMENDED BY THIS DOCUMENT.**

\_\_\_\_\_  
Name of Firm

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\_\_\_\_\_  
Signature and Title



**REQUEST FOR PROPOSAL**

**for**

**University of Connecticut**

**Organizational Strategy & Development, Organizational Alignment and Workforce  
Management Services**

**RFP# KJ072409**

**Issue Date: July 24, 2009**

**Mandatory Pre-Proposal Conference: July 30, 2009 @ 10:30 AM (EDT)**

**Proposal Due Date: August 13, 2009 @ 2:00 PM (EDT)**

**Kathleen Joy**  
**Assistant Director, Purchasing**  
**University of Connecticut**  
**3 North Hillside Road, Unit 6076**  
**Storrs, CT 06269-6076**  
**Fax: (860) 486-5051**  
**Email: [kathleen.joy@uconn.edu](mailto:kathleen.joy@uconn.edu)**

## **TABLE OF CONTENTS**

**Organization of RFP:** This RFP is organized as follows:

**Preface:**

|                   |                                              |
|-------------------|----------------------------------------------|
| <i>Section 1</i>  | <i>Definitions</i>                           |
| <i>Section 2</i>  | <i>Introduction/Scope</i>                    |
| <i>Section 3</i>  | <i>Proposal Terms and Conditions</i>         |
| <i>Section 4</i>  | <i>Terms and Conditions</i>                  |
| <i>Section 5</i>  | <i>Information Required from Respondents</i> |
| <i>Section 6</i>  | <i>Agreement Format</i>                      |
| <i>Section 7</i>  | <i>References</i>                            |
| <i>Section 8</i>  | <i>Form of Proposal</i>                      |
| <i>Section 9</i>  | <i>Vendors Qualification Statement</i>       |
| <i>Section 10</i> | <i>Directions</i>                            |

**Attachments:**

- State Ethics Policy
- Contract Compliance Regulations
- Bidder Contract Compliance Monitoring Report
- SEEC Form 11
- Non-Discrimination Certification

**Affidavits:**

- Form 1 – Gift and Campaign Contribution Certification
- Form 5 – Consulting Agreement Affidavit

## **Section 1**

### **Definitions**

- 1.0** "Campus" means University of Connecticut Storrs Campus, the UConn Health Center, and all UConn regional campuses, including but not limited to any and all athletic facilities, business offices, student facilities, including residence halls, University owned apartments, classrooms, restaurants, concession stands, snack bars, convenience stores and dining halls, in any and all other buildings or facilities which currently comprise the campus of the University of Connecticut, or which may be acquired or constructed during the term of the anticipated Contract and which are operated by, or directly in conjunction with, the University.
- 1.1** The word "University", or "UConn", or a pronoun used in its place shall mean the University of Connecticut main campus at Storrs, Connecticut, as well as its satellite campuses and extension offices located throughout the State of Connecticut.
- 1.2** "Bidder", "Contractor", "Offerer", "Proposer", "Vendor", "Servicer", "Firm" and "Respondent" refer to a Company responding to this Proposal, or multiple companies submitting a joint proposal.
- 1.3** "RFP" is the abbreviated reference to Request for Proposal.
- 1.4** Request for Proposals (RFP) is defined as a competitive procurement process which helps to serve the University's best interests. It also provides vendors with a fair opportunity for their services to be considered. The RFP process being used in this case should not be confused with the Request for Quotation (RFQ) process. The latter process is usually used where the goods or services being procured can be described precisely and price is generally the determining factor. With RFP's however, price alone is not required to be the determinative factor, although it may be, and the University has the flexibility it needs to negotiate with vendors to arrive at a mutually agreeable relationship. This RFP states the instructions for submitting proposals, the procedure and criteria by which a vendor will be selected, and the contractual terms by which the University proposed to govern the relationship between it and the selected vendor.

## Section 2 Introduction/Scope

- 2.0** **Scope:** The University of Connecticut is seeking proposals from experienced and qualified firms for the purpose of entering into an “on call” agreement for Organizational Strategy and Development services, Organizational Alignment services, and Workforce Management services, hereinafter referred to as “Services”.

Vendors must demonstrate experience in delivering the listed services in a University, University Hospital environment, or other large, complex organization. Vendors are to supply the University with a proposal outlining their firm’s organizational capabilities, organizational experience within the target environment, biographies of proposed consultants, and day rates/locations for all levels of consultants.

Please note; this is not a Request for Information. Selected vendors will be placed on a contract list. The following listed services are examples of potential needs for service; please make reference to these services as you create your proposal response.

Definitions for services are as follows:

Organization Strategy and Development:

- A planned systems approach to assess and improve the effectiveness and health of the organization. Including, but not limited to; organizational health assessments, organizational effectiveness assessments, process improvement (including workflow re-design), executive coaching, and evaluation services to determine cost recovery and return on investment.

Organizational Alignment:

- A planned systems approach to facilitate institution-wide adoption of leadership strategy and change. Services to include but not be limited to; current state analysis, business readiness assessments; leadership alignment and coaching, stakeholder analysis and alignment, and change management at the staff level.

Workforce Management Services:

- A planned systems approach to managing the employee lifecycle, from recruitment to retirement. Services to include but not be limited to; pre-employment assessments, recruitment and selection, on-boarding, job description creation and competency modeling, succession planning, performance management, off-boarding and retirement processing. Technology systems which support these services may be considered.

Please use the following list of services to organize your response. A line by line response to each service is expected. Should your organization not have a service available for a line item, simply state “no service available” with a brief explanation.

1. Organizational Strategy and Development Services including:
  - a) Developing and evaluated institutional effectiveness via metrics and ROI
  - b) Analyzing Executive Effectiveness
  - c) Designing People and Workforce Strategies for performance improvement
  - d) Leadership Development & Succession Planning
  - e) Executive Coaching
  - f) Process Improvement/ Workflow design and development

2. Organizational Alignment Services including:
  - a) Development of Functional and Operational Metrics
  - b) Organizational Assessments
  - c) Organization Design/Re-organization
  - d) Change Management
  - e) Executive Coaching

3. Workforce Management Services Including:
  - a) Workforce Metrics
  - b) Job Description Development
  - c) Job Re-Classifications
  - d) Performance Management
  - e) Human Capital Planning

**Additional Requirements and Information:**

1. Demonstrated experience or ability to work effectively in organizationally complex organizations such as Higher Education and/or a University Hospital environment as it relates to the scope of work.
2. Experience of consultants and their proximity or accessibility to the University of Connecticut.
3. Day rates of consultants/Cost of services.
4. Willingness for consultants to work as needed/on call.
5. Ability for consultants to work onsite at the University of Connecticut Storrs or Regional Campuses, and the University of Connecticut Health Center in Farmington, CT.
6. Organizational and financial stability of your organization.

It is the University's intent to make multiple awards as a result of this RFP.

The expectations and rights of each party should be anticipated, identified and reviewed at the outset and throughout the Organizational Strategy and Development, Organizational Alignment and Workforce Management Services Agreement to create and continue a positive, productive and lasting relationship.

- 2.1 **General:** The University anticipates an Agreement which is expressly conditioned upon the performance of the Servicer's obligations and commitments as identified in the anticipated agreement.
- 2.2 **Term of Contract:** The initial term of any contract resulting from this RFP will be for three (3) years, from date of award through August 2012. By mutual written agreement of both parties, resultant contract may be extended for two (2) additional one (1) year terms or parts thereof. Such intent to renew shall be conveyed to the firm in writing no later than one hundred and twenty (120) days prior to the effective date.
- 2.3 **Contract Value:** The estimated annual expenditures for services to be provided as a result of this contract will not exceed \$200,000.00 per year

This information is provided for informational purposes only and should not be construed as a commitment by the University to purchase any specified amount of services. Because requirements cannot be predicted with a certain degree of accuracy, any contract resulting from this RFP will not guarantee a specific amount of business or income. It should also be noted that any contract resulting from this RFP will not be an exclusive contract. The University will reserve the right to place purchase orders in any manner deemed by the University to be in its own best interest.

## 2.4 **Method of Award:**

Each proposal will be evaluated by a committee using a points earned matrix. The award shall be made to the most responsive and responsible respondents offering the best value and most economical proposal based on the total matrix scores as determined by the University. All respondents, in submitting proposals, concur with this method of award and will not, under any circumstances nor in any manner, dispute any award made using this method.

## 2.5 **Demographics:**

The University of Connecticut total enrollment at all campuses is approximately 28,677 students. The Storrs campus has an enrollment of approximately 22,773 undergraduates and graduate students including a resident population of approximately 11,000 students. There are approximately 9,429 full and part-time faculty and staff.

University of Connecticut campuses include:

- Main Campus at Storrs,
- Mansfield Depot Campus
- Farmington Campus including UConn Health Center
- Avery Point (Groton/New London Campus),
- Greater Hartford Campus,
- Law School Campus in Hartford,
- Stamford Campus,
- Torrington Campus,
- Waterbury Higher Education Center, and
- Waterbury Hillside Campus

**Breakdown of University of Connecticut FTEs are as follows:**

**Main Campus/Regional: 4,373**

**UConn Health Center: 3,837**

### **Type of Full-time Employees**

Main Campus/Regional:

- Faculty: 30.3%
- Administrators: 2.4%
- Professional Support: 44.6%
- Secretarial/Clerical: 6.9%
- Para-Professional/Trades: 3.6%
- Service/Maintenance: 12.2%

### **UConn Health Center:**

- Faculty: 12.9%
- Administrators: 5.1%
- Professional Support: 44.3%
- Secretarial/Clerical: 15.5%
- Para-Professional/Trades: 17.3%
- Service/Maintenance: 4.9%

### Section 3 Proposal Terms and Conditions

**3.0** The anticipated Service Agreement will be, in form and substance, consistent with applicable University policy and regulations and State of Connecticut statutes and regulations regarding the creation and execution of such Contract. The failure of any respondent to receive or examine any contract, document, form, addenda or to visit the sites and acquaint itself with conditions there-existing, will not relieve it of any obligation with respect to its proposal or any executed contract. The submission of a proposal shall be conclusive evidence and understanding of the University's intent to incorporate such terms and conditions into the Service Agreement.

**3.1** **Specifications:** The specifications in Sections 2 and 5 must be responded to on a point by point basis so the University can evaluate how the proposer plans to meet these requirements. Proposers must use the RFP numbering scheme in their response to allow for efficient evaluation.

**3.2** **Estimated Timetable:**  
The following schedule will apply to this RFP, however the University will reserve the right to make changes as necessary;

|                                       |                                      |
|---------------------------------------|--------------------------------------|
| Release of RFP                        | July 24, 2009                        |
| Mandatory Pre-Proposal Conference     | July 30, 2009 @ 10:30 AM (EDT)       |
| Cutoff date for Inquiries             | August 7, 2009 @ 5:00 PM (EDT)       |
| Submission of RFP Due                 | August 13, 2009 @ 2:00 PM (EDT)      |
| Proposer Presentations (if necessary) | Week of August 24 <sup>th</sup> 2009 |
| Anticipated Award Date                | September 1, 2009                    |

**3.3** **Inquiries:**  
Direct all inquiries *in writing* relative to the conditions and specifications listed herein to:

Kathleen Joy  
Assistant Director  
University of Connecticut  
Purchasing Department  
3 North Hillside Road Unit 6076  
Storrs, CT 06269-6076  
Fax: (860) 486-5051  
Email: [kathleen.joy@uconn.edu](mailto:kathleen.joy@uconn.edu)

**3.4** **Submission Format:** The following process so described is intended to ensure that all proposers have equal access to information relative to this RFP. No information communicated verbally shall be effective unless confirmed by written communication from the Purchasing Department of the University of Connecticut.

In all cases, no verbal communication will override written communications and only written communications are binding.

- 3.4.1** The RFP document shall include the following documents:
- An original and 1 electronic complete copy of your proposal response on CD or DVD
  - An exact copy of the "Form of Proposal"
  - A point-by-point response to all terms and conditions in this RFP document, specifically Sections two (2) and five (5)
  - A completed "Bidder Contract Compliance Monitoring Report"
  - Section 8, List of References
  - All required, original signed and notarized Affidavits (See Section 4.7.11)
  - Signature Authorization Documentation (See Section 4.7.12)
  - Annual Report or audited Statement of Financial Condition

***The above information must be submitted with all proposals submitted, or proposal will be rejected as non-compliant.***

***The provision of References as specified in Section 4.13.4 is non-negotiable. Failure to provide this mandatory submittal with your proposal response may cause the University to reject your proposal response as non-compliant.***

An original and one (1) electronic copy (on CD or DVD) of the proposal must be submitted in a sealed envelope to:

University of Connecticut  
Purchasing Department  
Attention: Kathleen Joy  
3 North Hillside Road Unit 6076  
Storrs, CT 06269-6076

Reference RFP No. KJ072409

“Organizational Strategy and Development, Organizational Alignment and Workforce Management Services”

On or before 2:00 p.m. (EDT) on Thursday, August 13, 2009

**\*\*\*IMPORTANT NOTE\*\*\***

**Any RFP proposal received after the date and time indicated above will not be considered for award and will be returned to the Vendor.**

- 3.4.2** Proposals should be presented in a format that can easily be incorporated into a contract between the proposer and the University of Connecticut, encompassing the guidelines detailed in the Request for Proposal as required by the University. **Faxed or electronically transmitted proposals will not be accepted.**
- 3.4.3** Each proposal must include a table of contents with page numbers for each of the required components of the proposal.

All proposals must include a point-by-point response to this RFP. Each response must be cross-referenced to the corresponding numbered item in this RFP and described in as much detail as possible. No fewer than an original and (1) electronic copy (on CD or DVD) copy of the proposal shall be submitted. Additionally, to facilitate photocopying, if needed, proposals must be three- (3) hole punched and submitted in three ring, loose leaf binders.

Failure to respond to all points may be grounds for rejection. Likewise, failure to supply any information required to accompany the proposals may cause a rejection of the proposal as non-compliant. The University reserves the right to request additional information and/or presentations, if clarification is needed.

If you require additional space to completely answer any of the questions contained in this proposal document, include attachments and identify your response by page number, section heading, and specific section number. All proposals must be submitted in a sealed envelope and labeled. No responsibility will be attached to any person for the premature opening of any proposal that is not properly identified.

**E-mail or electronic attachments** are not acceptable means of submitting a proposal and will be rejected as non-conforming. If you intend to use an express delivery service, it is recommended that you stress the need to deliver your package to the building and office designated above. Packages delivered by express mail to other locations might not be re-delivered to the appropriate address in time to be considered.

Proposals that do not substantially conform to the contents of the proposal request, consequently altering the basis for proposal comparison, may be disregarded and considered as unresponsive.

**3.4.4** All required signatures must be affixed in Sections 8, 9 and Bidder Contract Compliance Monitoring Report and the required Affidavits.

**3.4.5** At the specified time stated in 3.4.1 above, all proposals received as stipulated, shall be publicly opened and dated. However, due to the complexity of the responses, only the names of the respondents will be read as no immediate decision will be made. All information will be confidential until after review and action by the Evaluation Committee. All interested parties are, however, welcome to attend the proposal opening.

**3.4.6** Confidential Information: Proposals are treated as confidential by the University until after the award is issued. At that time they become subject to disclosure under the Freedom of Information Act. If a respondent wishes to supply any information which it believes is exempt from disclosure under the Act, which respondent should summarize such information in a separate envelope and each page submitted should clearly state "Confidential," but otherwise be presented in the same manner as the Proposal. However, any such information is provided entirely at the respondent's own risk and the University assumes no liability for any loss or damage which may result from the University's disclosure at any time of any information provided by the respondent in connection with its proposal.

**3.5** **Mandatory Pre-Proposal Conference:** A mandatory pre-proposal conference/ teleconference will be held as stated below. The purpose of the conference is to provide an opportunity for questions and answers as required to clarify terms, conditions or specifications of the Request for Proposal. **Attend in person or participate via teleconference.**

Date/Time: July 30, 2009 @ 10:30 AM (EDT)  
Location: Department of Human Resources  
Brown Building – Depot Campus  
9 Walters Avenue – Room 201  
Storrs, Connecticut 06269  
Check in at front desk.  
Visitor parking in front of building and across the street.

Conference Number: 1-888-566-6181

**Any firm planning to participate in the teleconference should RSVP Kathleen Joy in the Purchasing Office (see Section 3.3) by Wednesday, July 29, 2009 at 2:00 PM (EDT).**

Proposals must demonstrate an understanding of the scope of work and the ability to accomplish the tasks set forth and must include information that will enable the University to determine the proposer's overall qualifications.

**3.6** **Completed RFP's:** Each Proposer must respond to all services outlined in the RFP. Should your organization not provide a service outlined in this RFP, simply state "no service available" with a brief explanation on the line item. We encourage vendors who only provided certain services, (e.g. Executive Coaching) to respond to this RFP.

**3.7** **RFP Status and Submission Information:**

**3.7.1** **RFP Acceptance/Rejection:** The University reserves the right to cancel this RFP, to reject any or all proposals received, or any part thereof without penalty, to waive informalities or irregularities and to award a contract not based solely on the lowest cost, but based on an offer which, in the sole opinion of the University, best fulfills or exceeds the requirements of this RFP and is deemed in the best interest of the University. Non-acceptance of a proposal shall

mean that another proposal was deemed more advantageous to the University or that all proposals were rejected. Firms whose proposals are not accepted shall be notified after a binding contractual agreement between the University and the selected proposers exists or after the University has rejected all proposals.

- 3.7.2** RFP Submittals: Any exceptions and/or alternates must be stated in the response to the RFP. Failure to provide required data to allow for evaluation of the RFP or failure to complete the accompanying documents may be grounds for rejecting the RFP.

Further, the University expressly reserves the right to negotiate prior to an award, any contract which may result from this RFP. Further, this RFP creates no obligation on the part of the University to award a contract. The company's proposal will represent its best and final offer.

- 3.7.3** Effective Period of Proposals: The proposals submitted must remain in effect for a minimum period of one hundred and twenty (120) days after the closing date to allow time for evaluation, approval and award of the contract.

- 3.7.4** Minor Defects: If, during the evaluation process, the University determines that a particular mandatory requirement may be modified or waived and still allow the University to obtain goods/services that substantially meet the intent of this RFP, the mandatory requirement will be modified or waived for all bidders, and all proposals will be re-evaluated in light of the change.

- 3.7.5** Withdrawal of Proposals: A proposal shall not be modified, withdrawn or canceled by the bidder for a period of one hundred and twenty (120) days following the date and time assigned for the receipt of proposals.

Prior to the time and date assigned for receipt, proposals submitted early shall be modified or withdrawn only by written notice to the University. The Coordinator, as identified in paragraph 3.3, shall receive such written notice.

Modified proposals may be submitted up to the time designated for receipt of the proposals as noted in paragraph 3.4.1 provided they are then fully in conformance with these terms and conditions.

- 3.7.6** Sales Tax Exemption: The University of Connecticut is exempt from Federal Excise taxes and no payment will be made for any taxes levied on the contractor's employees' wages. The University is exempt from State and Local Sales and Use Taxes on the services and/or equipment supplies pursuant to this Agreement.

- 3.8** Addenda to the RFP: If it becomes necessary to revise any part of this RFP, notice of the revision will be given in the form of an addendum to all prospective proposers who are on record with the Purchasing Department as having received this RFP. All addenda shall become a part of this RFP. Receipt of addenda must be acknowledged by each proposer, and the failure of a proposer to acknowledge any addendum shall not relieve the proposer of the responsibility for complying with the terms thereof. All addenda must be signed by an authorized Respondent representative and returned with the proposal on or before the proposal opening date. Failure to sign and return any and all addendum acknowledgements shall be grounds for rejection of the proposal response.

**3.9** Pre-Award Presentations and Negotiations:

- 3.9.1** Pre-Award Presentations: As a part of the evaluation process, the University may require, but is not obligated to, presentations from one or more of the highest ranked vendors. If a proposer is requested to make a presentation, the proposer will make the necessary arrangements and bear all costs associated with the presentation.

- 3.9.2** Award Negotiations: Selection may be made without further discussion or negotiation; therefore, proposals should be submitted on the most favorable terms which can be submitted in

response to this Request for Proposal. Proposals must demonstrate an understanding of the scope of work and the ability to accomplish the tasks set forth and must include information that will enable the University to determine the vendor's overall qualifications. The University reserves the right to request additional information or clarification on any matter included in the proposal. Prior to the award, the University may elect to conduct negotiations with one or more of the highest ranked vendors for purposes which include:

- 3.9.2.1 Resolving minor differences and informalities
- 3.9.2.2 Clarifying necessary details and responsibilities
- 3.9.2.3 Emphasizing important issues and points
- 3.9.2.4 Receiving assurances from vendors
- 3.9.2.5 Exploring ways to improve the final contract

### **3.10 Formation of Agreement:**

- 3.10.1 At its option, the University may take either one of the following actions in order to form an agreement between the University and the selected respondent:
  - 3.10.1.1 Accept a proposal as written by issuing a written "Notice of Award" to the selected respondent which refers to this RFP and accepts the proposal as submitted; or
  - 3.10.1.2 Enter into negotiations with one or more respondents in an effort to reach a mutually satisfactory agreement which will be executed by both parties and will be based on this RFP, the proposal submitted by the selected respondent and the negotiations concerning these.
- 3.10.2 The response to this RFP will be considered an offer to contract. Because the University may use the alternative described in paragraph 3.10.1.2 above, each respondent should include in its written proposal all requirements, terms or conditions it may have, and should not assume an opportunity will exist to add such matters after the proposal has been submitted.
- 3.10.3 The University reserves the right to award a contract not based solely on the firm with the lowest cost, but based on an offer which, in the sole opinion of the University best fulfills or exceeds the requirements of this RFP and is deemed to be in the best interest of the University.
- 3.10.4 It is mutually agreed by and between the University and the firm that acceptance of the firm's offer by the issuance of a purchase order and co-signed agreement create a contract. The agreement will contain all the specifications, terms and conditions in this RFP. **The University's agreement format has been included for your review (See Section 6). If there are exceptions to be taken, these must be included in your proposal response.**
- 3.10.5 The University expressly reserves the right to negotiate prior to an award, any contract which may result from this RFP.

## **Section 4**

### **Terms and Conditions**

The following terms and conditions will govern in the submission and evaluation of proposals and the award of a contract. Vendors are requested to carefully review the terms and conditions, as they will become part of any subsequent agreement and award.

- 4.0 Contract Status:** The response to this RFP will be considered an offer to contract. Final negotiations on the lowest evaluated offer will be conducted to resolve any differences and informalities. After final negotiations, an acceptance of the proposal offer will be issued by the University in accordance with paragraph 4.1 below.
- 4.1 Contract Format:** The resulting contract will incorporate this RFP, the response thereto, all additional agreements and stipulations, and the results of any final negotiations. All of these documents signed by both parties will constitute the final contract.
- 4.2 Contract Termination for Cause:** The University may terminate any resulting contract for cause by providing a Notice to Cure to the Servicer citing the instances of noncompliance with the contract.
- 4.2.1** The Servicer shall have ten (10) days to reply to the Notice to Cure and indicate why the contract should not be terminated and recommend remedies to be taken.
- 4.2.2** If the Servicer and the University reach an agreed upon solution, the Servicer shall then have thirty (30) days after such agreement is reached to cure the noncompliance cited in the Notice to Cure.
- 4.2.3** If a mutually agreed upon solution cannot be reached within ten (10) days after receipt of Notice to Cure by Servicer, the University reserves the right to terminate the agreement.
- 4.2.4** If the mutually agreed upon solution is not implemented within thirty (30) days from the date of agreement, the University reserves the right to terminate the contract.
- 4.3 Contract Modification:** All requests for changes must be in writing on letterhead and submitted to the Purchasing Department. All changes to the contract must be agreed to in writing by both parties prior to executing any change; this applies to all rate changes.
- 4.4 Contract Assignment or Subcontract:** The resulting contract shall not be assigned, transferred, or sublet in whole or in part without the prior written approval of the University.
- 4.5 Notification of Selected Servicer:**  
It is the University's intention to review proposals, complete contract negotiations and execute an Agreement in August 2009. All vendors will receive written notification of this action after the University of Connecticut Purchasing Department has approved the selection, the Attorney General's Office has approved the agreement and the University of Connecticut Board of Trustees has approved the contract

#### **Indemnification Requirements:**

- 4.6.1 Hold Harmless:** The proposer agrees to jointly and severally indemnify and hold the University, its successors and assigns harmless from and against all liability, loss, damage or expense including reasonable attorney's fees which the State of Connecticut may incur or sustain by reason of the failure of the bidder to fully perform and comply with the terms and conditions of any contract resulting from this RFP. Further, the University assumes no liability for any

damage to the property, or for personal injuries, illness, disabilities or deaths the contractor, contractor's employees and any other person subject to the contractor's control, or any other person including members of the general public, caused in whole or in part, by a) contractor's breach of any term or provision of the awarded contract; or b) any negligent or willful act or omission of the contractor, its employees or subcontractors in the performance of the awarded contract. The contractor agrees to indemnify, save harmless and defend the University from and against any and all liabilities, claims, penalties, forfeitures, suits and the costs and expenses incident thereto (including the cost of defense, settlement and reasonable attorney's fees) which may hereafter incur, become responsible for, or pay out as a result of acts or omissions covered herein.

- 4.6.1 Liens: The successful Servicer shall keep the University free and clear from all liens asserted by any person or firm for any reason arising out of the furnishing of services or materials by or to the Servicer.
- 4.6.2 Choice of Law and Venue: The terms and provisions of this RFP and any contract(s) resulting from this RFP shall be construed in accordance with the laws of the State of Connecticut.
- 4.6.3 Actions of the Servicer: The actions of the successful Servicer with third parties are not binding upon the University. The Servicer is not a division of the University, partner or joint venture of/with the University.

#### 4.7 **Standard Terms and Conditions:**

- 4.7.1 Federal, State and Local Taxes, Licenses and Permits: The successful vendor will comply with all laws and regulations on taxes, licenses and permits.
- 4.7.2 Waiver of Rights: No delay or failure to enforce any provision of this agreement shall constitute a waiver or limitations of University's rights under any resulting contract.
- 4.7.3 Prior Course of Dealings: The parties hereby agree that no trade usage, prior course of dealing or course of performance under other contracts shall be a part of this agreement or shall be used in the interpretation or construction of this agreement.
- 4.7.4 Contract Provisions by Reference: It is mutually agreed by and between the University and the vendor that the University's acceptance of the vendor's offer by the issuance of an executed Agreement shall create a contract between the parties thereto containing all specifications, terms and conditions in the Request for Proposal except as amended in the Agreement. Any exceptions taken by the vendor which are not included in the Agreement will not be part of the contract. Therefore, in the event of a conflict between the terms and conditions of the RFP and information submitted by a vendor, the terms and conditions of this Request for Proposal and Agreement will govern.
- 4.7.5 Warranty: The manufacturer's standard warranty shall apply. The vendor warrants that the goods or services supplied hereunder will be of good workmanship and of proper materials, free from defects and in accordance with specifications and agrees to replace defective items promptly and at no charge to the University. If the vendor knows of the University's intended use, the vendor warrants that the goods or services are suitable for the intended use.
- 4.7.6 Ethical Considerations: The proposing vendor must certify that no elected or appointed official or employee of the University has benefited, or will benefit financially or materially from the proposed services. The University may terminate any contract resulting from this RFP, if it is determined that gratuities of any kind were either offered to, or received by, any University

officer or employee contrary to this policy. The authorized signatory of a submitted proposal automatically attests this to be true.

The laws of the State of Connecticut provide it is a felony to offer, promise or give anything of value or benefit to a State employee with intent to influence that employee's acts, opinion, judgment or exercise of discretion with respect to that employee's duty. Evidence of violation of this statute will be turned over to the proper prosecuting attorney.

- 4.7.7** Executive Order No. 3: This Contract is subject to the provisions of **Executive Order No. 3 of Governor Thomas J. Meskill promulgated June 16, 1971**, and, as such, this contract may be cancelled, terminated or suspended by the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Three, or any state or federal law concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to this contract. The Parties to this Contract, as part of the consideration hereof, agree that said Executive Order No. Three is incorporated herein by reference and made a part hereof. The Parties agree to abide by said Executive Order and agree that the state labor commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination, until the contract is completed or terminated prior to completion. The Contractor agrees, as part consideration hereof, that this Contract is subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. Three, and that it will not discriminate in its employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the state labor commissioner.
- 4.7.8** Executive Order No. 17: This Contract is subject to the provisions of **Executive Order No. 17 of Governor Thomas J. Meskill promulgated February 15, 1973**, and, as such this Contract may be cancelled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Seventeen, notwithstanding that the Labor Commissioner may not be a party to this Contract. The Parties to this Contract, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part hereof. The Parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to contract performance in regard to listing all employment openings with the Connecticut State Employment Service.
- 4.7.9** Executive Order No. 16: This Contract is subject to the provisions of **Executive Order No. 16 of Governor John G. Rowland promulgated August 4, 1999**, and, as such, the Contract may be canceled, terminated or suspended by the state for violation of or noncompliance with said Executive Order No. Sixteen. The Parties to this Contract, as part of the consideration hereof, agree that
- (a) The Contractor shall prohibit employees from bringing into the state work site, except as may be required as a condition of employment, any weapon or dangerous instrument as defined in (b):
  - (b) Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon. Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.
  - (c) The Contractor shall prohibit employees from attempting to use, or threaten to use, any such weapon or dangerous instrument in the state work site and employees shall be prohibited from causing, or threatening to cause, physical injury or death to any individual in the state work site.
  - (d) The Contractor shall adopt the above prohibitions as work rules, violations of which shall subject the employee to disciplinary action up to and including discharge. The Contractor shall insure and require that all employees are aware of such work rules.
  - (e) The Contractor agrees that any subcontract it enters into in furtherance of the work to be performed hereunder shall contain provisions (a) through (d) of this Section.

#### **4.7.10 Executive Order No. 7C**

This Contract is subject to **Executive Order No. 7C of Governor M. Jodi Rell, promulgated on July 13, 2006**. The Parties to this Contract, as part of the consideration hereof, agree that:

(a) The State Contracting Standards Board (“the Board”) may review this contract and recommend to the state contracting agency termination of the contract for cause. The state contracting agency shall consider the recommendations and act as required or permitted in accordance with the contract and applicable law. The Board shall provide the results of its review, together with its recommendations, to the state contracting agency and any other affected party in accordance with the notice provisions in the contract no later than fifteen (15) days after the Board finalizes its recommendation. For the purposes of this Section, “for cause” means:

(1) a violation of the State Ethics Code (Conn. Gen. Stat. Chapter 10) or Section 4a-100 of the Conn. Gen. Statutes or

(2) wanton or reckless disregard of any state contracting and procurement process by any person substantially involved in such contract or state contracting agency.

(b) For the purposes of this Section, “contract” shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees, and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a contract for the sale or purchase of a fee simple interest in real property following transfer of title.

(c) Notwithstanding the contract value listed in Conn. Gen. Stat. §§ 4-250 and 4-252, all procurements between state agencies and private entities with a value of \$50,000 (fifty thousand dollars) or more in a calendar or fiscal year shall comply with the gift and campaign contribution certification requirements of section 4-252 of the Connecticut General Statutes and section 8 of Executive Order Number 1. For purposes of this section, the term “certification” shall include the campaign contribution and annual gift affidavits required by section 8 of Executive Order Number 1.

#### **4.7.11 Mandatory Affidavits:** The Office of Policy and Management has created new ethics forms effective August 1, 2007 to assist executive branch agencies in complying with the State of Connecticut's current contracting requirements, pursuant to the Connecticut General Statutes and Executive Orders of Governor M. Jodi Rell.

The University will require the applicable mandatory affidavits to be completed by the Vendor at the time of bid response **and** contract award. The required affidavits are enclosed as part of this document. Detailed information regarding the requirement of such affidavits can also be found on the Office of Policy and Management website:

[http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038&opmNav\\_GID=1806](http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038&opmNav_GID=1806)

**Your proposal response must include the following original, notarized affidavits to be considered compliant:**

- **Form 1 – “Gift and Campaign Contribution Certification”**
- **Form 5 – “Consulting Agreement Affidavit”**

#### **4.7.12 Signature Authorization Documentation:**

**Signature authorization** documentation must be included in your proposal response under the following guidelines in reference to the individual signing this proposal.

- If the contractor is an individual, who is signing the proposal in his/her individual capacity, then no signature authorization documentation is required.
- With the exception of an individual, signing in his/her individual capacity, **ALL** contractors must provide some type of signature authorization documentation clearly stating who is authorized to sign the proposal on the contractor's behalf.
- Documentation must clearly state when and how such authorization was given.

- Documentation must state that the authorization is still in full force and effect.
- Documentation must be signed by someone other than the individual signing the proposal **ON OR AFTER** the date the proposal is signed.
- Corporate Resolution, Secretarial Certification or Ratification are acceptable forms of signature authorization documentation.
- Samples and further information are on the University of Connecticut contract web page: <http://psa.uconn.edu/corpres.html>

**4.7.13 SEEC Requirements:**

With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. [SEEC Form 11].

**4.7.14 Whistleblower Protection:**

In accordance with the University's compliance program, the University has in place an anonymous ethics and compliance reporting hotline service – 1-888-685-2637. Any person who is aware of unethical practices, fraud, violation of state laws or regulations or other concerns relating to University policies and procedures can report such matters anonymously. Such persons may also directly contact the University's compliance office at: Office of Audit, Compliance, and Ethics, 9 Walters Avenue, Unit 5084, Storrs, CT 06269-5084; Phone 860-486-4526; Fax 860-486-4527. As a provider of goods and/or services to the University, you are hereby required to notify your employees, as well as any subcontractors, who are involved in the implementation of this contract, of this reporting mechanism.

**4.8 Responsibilities of the Servicer:**

**4.8.1 Observing Laws and Regulations:** The vendor shall keep fully informed of and shall faithfully observe all laws, federal and state, and all ordinances and regulations affecting responsibility to the University, or affecting the rights of supplier's employees, and he shall protect and indemnify the University, its officers, and agents against any claims of liability arising from or based on any violation thereof.

**4.8.2 Representations:** Each firm, by submitting a proposal, represents that it:

**4.8.2.1** Has read and completely understands the proposal documents.

**4.8.2.2** Is totally familiar with the conditions under which the work is to be performed including availability and cost of labor and materials.

**4.9 Repairs to Property Damage:** Existing facilities damaged during delivery and/or service by the vendor, the vendor's agents or employees, shall be repaired to the satisfaction of the University. All repairs shall be accomplished at no cost to the University.

**4.10 Delivery Requirements:** The University is in the midst of an ambitious, campus-wide building campaign which has resulted in the closing and/or relocation of roads and driveways through the Storrs campus, often times resulting in traffic congestion and making access to buildings and parking at the University difficult. To safeguard the students, faculty and staff, as well as the aesthetic beauty of the University, all Proposers are reminded that the following rules and considerations will be required when making deliveries to any University of Connecticut campus:

- Driving speeds on campus must be kept at a maximum of 25 mph to ensure maximum safety. **Pedestrians have the right of way at all times.**

- All traffic signs, lights or other indicators are to be obeyed. This is of utmost importance given the amount of construction and pedestrians on campus.
- Driving on sidewalks, unless otherwise posted, is forbidden. Violators will be ticketed and chronic violators may be barred from doing business with the University. In those areas where sidewalk driving is permitted and required, drivers must employ adequate skills so as to avoid driving on adjacent green spaces.
- It is preferable that deliveries to any facility loading dock be made utilizing a maximum sized 24', 6-wheel saddle truck. To facilitate other deliveries, it is imperative delivery trucks have the capability to off load large quantities (pallets) in short periods of time. Commissary warehouse deliveries must be limited to a maximum of 50 cases delivered by saddle truck only.

#### **4.11 Parking Guidelines:**

Parking Services Information  
University of Connecticut  
Parking & Transportation Services  
3 North Hillside Road, Unit 6199  
Storrs, CT 06269-6199

Phone: (860) 486-4930  
Fax: (860) 486-0191

The following rules and regulations provide guidance and information when bringing a vehicle onto the University of CT Storrs Campus. These policies follow Connecticut State Statute 10A-139 and are intended to provide control and availability of campus parking. All students, employees, vendors, visitors, contractors, etc., who park a motor vehicle on campus are subject to these rules and regulations.

It is the responsibility of all individuals operating a motor vehicle on campus to be aware of and abide by the parking policies contained in this literature. Operating a vehicle on campus is deemed evidence of the vehicle operator's acceptance and understanding of these policies.

Parking on the Storrs campus is strictly regulated and is allowed only in paved, lined areas. Parking on lawns, grounds, or sidewalks is strictly prohibited. Parking during the hours of 7AM and 5PM, Monday through Friday is by permit only. Some areas are restricted beginning at 5AM or for 24 hours (as posted). Violators will be ticketed and are subject to towing.

Parking in the North and South Garage is available for vehicles for a daily fee. There is no overnight parking available in the garages.

The Storrs campus is primarily a pedestrian campus. All motor vehicles must stop for pedestrians in crosswalks according to Connecticut State law. The maximum speed limit on campus is 25MPH. The maximum speed in all parking lots is 10MPH. These limits are in effect 24 hours per day.

Parking on campus is in high demand. Anyone who can avoid bringing a vehicle to campus should do so. The use of carpools and public transportation is encouraged. A shuttle service is operated to serve the University of Connecticut at Storrs and surrounding areas. This shuttle is free to UConn students, employees, and visitors. For information on shuttle services and schedules, call Transportation at (860) 486-1448.

### Visitor Parking

It is the responsibility of the host/hostess to inform guests of the University's parking regulations. Visitors to campus are directed to park in either the metered areas (not to exceed 45 minutes) or a parking garage. For information about parking garage rates and hours, [click here for North Garage](#) or call (860) 486-6267; [click here for South Garage](#) or call (860) 486-9088.

### Load Zones

***Load zones are restricted to loading and unloading of materials and are limited to 15 minutes 24 hours per day, unless otherwise posted. Four-way flashers must be left on to indicate loading. Notes left on vehicles will not be accepted. Vehicles cannot be parked in load zones overnight or on weekends.***

<http://www.park.uconn.edu/Parking2.html>

- 4.12 Insurance:** Within 10 days of notification of award the successful firm must provide a certificate of insurance that indicates coverage naming the University of Connecticut as additional insured and indicating coverage for a minimum of:

**4.12.1 Workers Compensation and Employers' Liability:**

Statutory coverage in compliance with the Compensation laws of the State of Connecticut. Coverage shall include Employer's Liability with minimum limits of \$100,000 each accident, \$100,000 disease-each employee and \$500,000 disease-policy limit.

**4.12.2 Commercial General Liability:**

\$1,000,000 Combined Single Limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Board Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply either separately to the project or the general aggregate limit shall be twice the occurrence amount.

**4.12.3 Automobile Liability:**

\$1,000,000 Combined Single Limit Automobile Liability insurance shall be maintained against claims for damages resulting from bodily injury, including wrongful death, and property damage which may arise from the operations of any owned, leased, hired or non-owned automobiles used by or for the Contractor in any capacity in connection with carrying out this contract.

**4.12.4 Minimum Scope of Insurance:**

All Liability insurance policies shall be written on an "occurrence" basis only. All insurance coverage is to be placed with insurers authorized to do business in the State of Connecticut and must be placed with an insurer that has an A.M. Best's Rating of no less than A-, VII. All certificates of insurance shall be provided to the University of Connecticut, Purchasing Department. The University of Connecticut shall be named as Additional Insured for liability coverage required under this document. The Contractor's insurer shall have no right of recovery of subrogation against the University of Connecticut and the Contractor's insurance shall be primary coverage. The Certificate Holder Box shall read: University of Connecticut, 3 North Hillside Road, Storrs, CT 06269-6076.

#### 4.13 RFP Evaluation:

- 4.13.1 RFP Evaluation Criteria:** The award of an Agreement will be based upon a comprehensive review, analysis and negotiation of the proposal, which best meets the needs of the University. The contract award will be based on a points-earned matrix derived from a technical and financial evaluation.

Awards shall be made to the most responsive proposers offering the best value and with the highest total matrix scores as determined by the University. All vendors submitting proposals concur with this method of award and will not, under any circumstances or in any manner, dispute any award made using this method.

All proposals will be evaluated by a committee, which will use the specific evaluation criteria listed below. The importance given to each element is represented proportionately by the respective weight assignments. Proposals will be evaluated as to the vendor's response to the following criteria:

|                 |                                                                                  |           |
|-----------------|----------------------------------------------------------------------------------|-----------|
| <b>4.13.1.1</b> | Services capabilities and implementation experience                              | 35 Points |
| <b>4.13.1.2</b> | Account references and past performance.                                         | 25 Points |
| <b>4.13.1.3</b> | Experience working in an academic environment or comparably complex environment. | 15 Points |
| <b>4.13.1.4</b> | Fees (include line item rates for consultants and other services).               | 15 Points |
| <b>4.13.1.5</b> | Compliance with the requirements and specifications contained herein.            | 10 Points |

***Total Maximum Points Available: 100***

- 4.13.2** As part of its proposal review, the University may request and consider presentations, review of references and supplier representatives.
- 4.13.3 Presentations:** The University reserves the right, but is not obligated, to request and require that a vendor provide a formal presentation of its proposal at a date and time to be determined. If required by the University, it is anticipated that such presentation will not exceed two (2) hours. No vendor will be entitled to be present during, or otherwise receive any information regarding, any other presentation of any other vendor. Vendors shall bear all costs associated with their presentation.
- 4.13.4 Review of References:** All offers shall include at least three (3) references similar in size and /or complexity to the University. Please include name, title, telephone number and email address of a contact person at each institution/organization.

**Additionally, references should include a description of the business problem, services used, and solution implemented.**

*Reference checks will be performed electronically: please notify your references of this future electronic transaction.*

- 4.13.5 Supplier Representatives:** Vendor must identify the individuals it anticipates will be assigned to the University account. Provide names, a brief resume of each individual, and the location of the consultant(s). Specify how travel fees, if any, are to be reimbursed. In addition, include a description of the responsibilities, certifications and training of each of those individuals. The

University reserves the right to conduct interviews with identified supplier representatives as a part of its evaluation process.

**4.13.6** The University will include in its evaluation: proposals, presentations, if requested, references and interviews. In addition, the award will be predicated upon the successful negotiation of the specific terms and conditions to be included in the Agreement. The University will be the sole judge of the suitability of the proposed vendor.

**4.13.7** Proposal Qualification Data: If necessary to evaluate vendor qualification, vendor may be requested to furnish information on the following items:

**4.13.7.1** Financial resources.

**4.13.7.2** Personnel resources.

**4.13.7.3** Executives and key person resumes.

**4.13.7.4** Ability to meet delivery and service schedules.

**4.13.7.5** Ability to meet specifications quality requirements.

**4.13.8** Requests for Clarification by Vendors: Any vendor may request that the University clarify any information contained in this Request for Proposal to establish a Service Agreement. All such requests must be made in writing to:

Kathleen Joy  
Assistant Director, Purchasing  
University of Connecticut  
3 North Hillside Road Unit 6076  
Storrs, CT 06269-6076  
Fax: (860) 486-5051  
Email: [kathleen.joy@uconn.edu](mailto:kathleen.joy@uconn.edu)

The University will provide a written response to all written requests for clarification within five (5) business days after its receipt of such request. The University will not respond to any request for clarification received by the University after the close of business ten (10) days prior to opening of this RFP. The University's response to any request for clarification, together with a copy of the request for clarification, will be provided contemporaneously by the University to each party receiving this RFP.

**Under no circumstances, may any vendor or its representative contact any employee or representative of the University regarding the RFP prior to the closing date, other than as provided in this section. Strict adherence to this important procedural safeguard is required and appreciated.**

**Any violation of this condition may result in vendor being considered non-compliant and ineligible for award.**

**4.14** Requests for Clarification by the University: The University may request that any vendor clarify or supplement any information contained in their response. Vendors are required to provide a written response within ten (10) business days of receipt of any request for clarification by the University.

**4.15** Communications between the University and the Vendor:

**4.15.1** Informal Communications:

From the date of receipt of this RFP by each vendor until a binding contractual agreement exists with the selected vendor and all other vendors have been notified or when the University rejects all proposals, **informal communications regarding this procurement shall cease**. Informal communications shall include but not be limited to:

**4.15.1.1** Requests from the vendors to any department(s) at the University, for information, comments, speculation, etc; and

**4.15.1.2** Requests from any department at the University, or any employee of the University for information, comments, speculation, etc.

**4.15.2** Formal Communications:

From the date of receipt of this Request for Proposal by each vendor until a binding contractual agreement exists with the selected vendors and all other vendors have been notified or when the University rejects all proposals, all communications between the University and the vendors will be formal, or as provided for in this Request for Proposal. Formal communications shall include but not be limited to:

**4.15.2.1** Pre-Proposal Conference

**4.15.2.2** Oral Presentations

**4.15.2.3** Pre-Award Negotiations

**4.15.3** **ANY FAILURE** TO ADHERE TO THE PROVISIONS SET FORTH IN 4.15.1 AND 4.15.2 ABOVE MAY RESULT IN THE REJECTION OF ANY VENDORS PROPOSAL OR CANCELLATION OF THIS REQUEST FOR PROPOSAL.

**4.16** **Additional Contract Requirements:** The University anticipates that the Service Agreement will include additional contract requirements including, but not limited to, the following:

**4.16.1** License: The Agreement will not grant the vendor a license or other right to duplicate or use any image or intellectual property of the University in any manner other than as may be expressly approved in writing in connection with the performance of the contract.

**4.16.2** Advertisements: Unless specifically authorized in writing by University Communications on a case by case basis, the vendor shall have no right to use, and shall not use, the name of the University of Connecticut, its officials or employees, or the Seal of the University, a) in any advertising, publicity, promotion; nor b) to express or imply any endorsement of contractor's products or services; nor c) to use the name of the state, its officials or employees or the University seal in any manner (whether or not similar to uses prohibited by subparagraphs (a) and (b) above) except only to manufacture and deliver in accordance with this agreement such items as are hereby contracted by the University.

**4.16.2.1** Licensed Merchandise: Pre-authorization must be received from the Division of Athletics licensing coordinator for the use of University's names, marks, and logos.

**4.16.3** Patent and Copyright:

**4.16.3.1** The vendor shall pay all royalties, license fees, and patent to invention rights, or copyrights or trade and service marks and defend all suits or claims for the infringement of any patent or invention right or copyrights or trade and service marks involved in the items furnished in commitment with the Student Loan Billing Services Agreement.

**4.16.3.2** The vendor will hold and save the University and its officers, agents, servants, and employees harmless from liability of any nature or kind, including cost and expenses for, or on account of any patented or unpatented invention, process, article, or appliance furnished in the performance of the Agreement including its use by the owner, unless otherwise specifically stipulated.

**4.16.3.3** Copyrights for any item specified shall be the property of the University and insure to its benefit and vendor shall execute such documents, as University may require, for the perfection thereof.

**4.16.3.3.1** OSHA Compliance: All items to be furnished hereunder shall meet all applicable State and Federal requirements of the Occupational Safety and Health Act. All alleged violations and deviations from said state and federal regulations or standards of the items or services to be furnished hereunder, must be set forth on the proposed requirements and criteria in the proposal response. Or, if at any later date the items or services contained herein shall not meet all applicable state and federal requirements after the vendor is awarded the contract hereunder, the vendor must notify the University's Executive Director of Procurement & Logistical Services immediately by registered mail.

**4.17** Payment Terms: Payment Terms shall be **2% 15 DAYS NET 45 DAYS** unless otherwise stated in the Form of Proposal, Section 8.

**4.18** F.O.B. Point/Minimum Order: All pricing/discounts shall include delivery and transportation charges fully prepaid F.O.B. Destination Point. No extra charges for packing or packages will be allowed. No additional Fuel Surcharges may be imposed. There shall be no minimum order amounts.

## Section 5 Information Required From Respondents

### 5.1 FEE SECTION BY LINE ITEM

Please list consulting fees and other fees for specific service items your company has to offer in relationship to this RFP. Supply payment schedule information (if applicable).

### 5.2 EXECUTIVE / MANAGEMENT SUMMARY

The executive/management summary shall include a capability of performance statement. This statement should demonstrate the Supplier's capability in providing the requirements and specifications of this RFP. Emphasis should be placed on the Supplier's capability to provide the best value to the University, delivering a comprehensive and quality program, a statement about how your company can serve the best interests of the University and provide the most competitive fee structure to the University for the right to conduct business and build a relationship..

### 5.3 COMPLIANCE WITH THE REQUIREMENTS AND SPECIFICATIONS

The information/items specified herein must be addressed in the proposal. The proposal must be expressly clear that it satisfies each point of the RFP requirements and specifications. Reference Section 2 – Introduction/Scope Responses must not be simply YES or NO replies. Repeat the requirement and then indicate the response in bold. The offeror must describe how the proposed services satisfy the stated requirements and specifications.

Proposers are urged to read the requirements and specifications very carefully and to submit their questions, in writing, either at the pre-proposal conference or by the Inquiry close date. Misinterpretation of requirements and specifications by the proposer shall not relieve the proposer of any responsibility to accurately address the requirements of this RFP or to perform the contract, if awarded.

### 5.4 ACCOUNT REFERENCES AND PAST PERFORMANCE

Proposers must provide references as specified herein. Cited references must be able to confirm, without reservation, the Proposer's ability to perform as specified in this solicitation. References, which demonstrate comparable projects, of similar scope and size, preferably projects with peer institutions should be provided. The Proposer must use these references to support its proposal's viability. A minimum number of three (3) references must be provided. Proposers are encouraged include a brief description of each partnership. In addition to the minimum of three (3) references please include the problem solved, the solution provided, and the solution implemented.

The University reserves the right to take any or all of the following actions: to reject a proposal based on an unsatisfactory reference, to contact any person or persons associated with the referenced site, to request additional references or contact any known organization using the services supplied by the proposer or the proposer's subcontractors, to contact independent loan servicing firms for additional information about the proposer or the proposer's subcontractors, and to have members of the Evaluation Committee visit any or all of the reference sites for verification.

## **5.5 GENERAL MANAGER AND ORGANIZATION**

Proposers shall identify the dedicated general manager who will be assigned to the University's account. The University expects that the general manager will be the point of contact for all communications and is accountable for the actions of the firm. The University will not accept a situation where one person is contacted for certain matters and another person for other matters, resulting in disjointed communications and a loss of efficiency.

A minimum length of experience for the general manager and Proposer is three (3) years of continuous service with your company. Please provide a resume of the general manager who will be assigned to the University account and who will call on the University.

The organization should include principals, partners or corporate officers identifying key personnel who will be responsible for the University's account. Please provide resumes of the key personnel.

## **5.6 IMPLEMENTATION PLAN**

Proposer shall provide a quality sample project management and implementation methodology for the project. The Proposer will be required to provide a plan that is well thought out, proactive and organized and one which demonstrates the highest quality of comprehensive and innovative services.

## **5.7 FINANCIAL VIABILITY**

The Proposer must include a copy of its most current Annual Report or audited Statement of Financial Condition (include one copy only in the original). This document will be used to help make a determination of Supplier's responsibility.

## **5.8 EXCLUSIONS OR EXCEPTIONS**

Proposer shall use this section to identify any exclusions or exceptions to this Request for Proposal.

## **5.9 ADDITIONAL INFORMATION**

Proposer shall use this section to include any additional information that was not specifically requested in this Request for Proposal that should be considered in the evaluation of the response.

## **Section 6**

### **Agreement Format**

**The terms and conditions should be reviewed very carefully to insure full responsiveness to this RFP.** The anticipated Sample Purchasing Agreement will be, in form and substance, consistent with applicable University policy and regulations and State of Connecticut statutes and regulations regarding the creation and execution of such Agreement. The failure of any respondent to receive or examine any contract, document, form, or addendum will not relieve it of any obligation with respect to its proposal or any executed contract. The submission of a proposal shall be conclusive evidence and understanding of the University's intent to incorporate such terms and conditions into the Agreement.

The University of Connecticut reserves the right to reject any proposal response that does not comply with the State's contractual requirements. Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of this RFP.

Agreement to follow on next page.....

## University of Connecticut



### Purchasing Agreement for

This Agreement (hereinafter "Agreement") is made and entered into by and between:

**University of Connecticut**  
**Purchasing Department**  
**3 North Hillside Road, Unit 6076**  
**Storrs, CT 06269-6076**  
hereinafter "**University**"

and

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
hereinafter "**Contractor**"

\_\_\_\_\_  
University Contract Administrator/Phone

\_\_\_\_\_  
Contractor Contact/Phone

### Section 1

#### DEFINITIONS (if any):

- A.
- B.
- C.

1.1. **Term:** This Agreement between the **University** and the **Contractor** will govern the provision of goods, services or other considerations (hereinafter "Services") referenced herein from:

1.1.1 **Effective Date:** \_\_\_\_\_ **End Date:** \_\_\_\_\_

1.1.2 **Amendment Terms:** All revisions to this Agreement may only be made by written amendment executed by both parties and approved by the Office of the Attorney General prior to the end date of this Agreement.

1.2. **Brief Summary of Services:** Contractor will provide . . .

1.2.1 **Service Location:** Contractor will provide Services at/for the location(s) listed below:

1.3. **Maximum Amount Payable:** \$ \_\_\_\_\_

1.3.1 **Payment/Pricing Terms:**

1.4. **Detailed Contractor Responsibilities:**

1.4.1 **Responsibilities:** Contractor will provide the following Services:

1.4.2 **Deliverables/Methods:** Contractor will deliver to University . . .

1.4.3. **Work Schedule/Deadlines:** Contractor will provide Services by . . .

1.5. **University Responsibilities:** University will . . .

1.6. **Notice:** All notices, demands or requests provided for or permitted to be given pursuant to this Agreement must be in writing. All notices, demands and requests shall be deemed to have been properly served if given by personal delivery, or if transmitted by facsimile with confirmed receipt, or if delivered to Federal Express or other reputable express carrier for next business day delivery, charges billed to or prepaid by shipper; or if deposited in the United States mail, registered or certified with return receipt requested, proper postage prepaid, addressed as follows:

If to the University\* [name/address]:

If to the Contractor\* [name/address]:

[Note: \*Any party may change its Notice information by giving written notice in accordance with this Section.]

## **Section 2 - State of Connecticut Required Terms and Conditions**

As an Agency of the State of Connecticut (a sovereign entity) the **University** is governed by the following terms and conditions, which may not be modified, amended or deleted unless approved by the Office of the Attorney General.

- 2.1. **Statutory Authority.** Connecticut General Statute §§ 10a-104, 10a-108, 4a-52a, and 10a-151b provide the University with authority to enter into contracts in the pursuit of its mission.
- 2.2. **Claims.** The Contractor agrees that the sole and exclusive means for the presentation of any claim against the State of Connecticut or the University of Connecticut arising from this Agreement shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State) and the Contractor further agrees not to initiate any legal proceedings in any state or federal court in addition to, or in lieu of, said Chapter 53 proceedings.
- 2.3. **Insurance.** The Contractor agrees that while performing Services specified in this agreement s/he shall carry sufficient insurance (liability and/or other) as applicable according to the nature of the service to be performed so as to "save harmless" the State of Connecticut from any insurable cause whatsoever. If requested, certificates of such insurance shall be filed with the contracting State agency prior to the performance of Services.
- 2.4. **Governing Law.** This Agreement shall be construed in accordance with and governed by the laws of the State of Connecticut.
- 2.5. **Nondiscrimination and Affirmative Action Provisions In Contracts of the State and Political Subdivisions Other Than Municipalities - The following subsections are set forth here as required by Section 4a-60 of the Connecticut General Statutes:**
  - (a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions:
    - (1) The contractor agrees and warrants that in the performance of the contract such contractor 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, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their 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; (2) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (5) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56. If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project. Prior to entering into the contract, the contractor shall provide the state or such political subdivision of the state with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the nondiscrimination agreement and warranty under subdivision (1) of this subsection. For the purposes of this section, "contract" includes any extension or modification of the contract, and "contractor" includes any successors or assigns of the contractor.
    - (b) For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons:
      - (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and

policies of the enterprise and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

(c) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(d) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

(e) The contractor shall include the provisions of section (a) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

2.6. **Nondiscrimination – Contracts of the State and Political Subdivisions, Other Than Municipalities, To Contain Provisions Re Nondiscrimination on the Basis of Sexual Orientation.** The following subsections are set forth here as required by **Section 4a-60a of the Connecticut General Statutes**:

(a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions: (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56; (4) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56. Prior to entering into the contract, the contractor shall provide the state or such political subdivision of the state with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the nondiscrimination agreement and warranty under subdivision (1) of this subsection. For the purposes of this section, "contract" includes any extension or modification of the contract, and "contractor" includes any successors or assigns of the contractor.

(b) The contractor shall include the provisions of subsection (a) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

2.7. **Executive Orders.** The Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. At the Contractor's request, the Client Agency shall provide a copy of these orders to the Contractor. The Contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions.

2.8. **Campaign Contribution Restrictions.** For all State contracts as defined in Public Act 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice attached hereto as Exhibit A.

2.9. **Termination for Cause.** The University may terminate any resulting contract for cause by providing a Notice to Cure to the Contractor citing the instances of noncompliance with the contract. The Contractor shall have ten (10) days to reply to the Notice to Cure and indicate why the contract should not be terminated and recommend remedies to be taken.

- (a) If the Contractor and the University reach an agreed upon solution, the Contractor shall then have thirty (30) days after such agreement is reached to cure the noncompliance cited in the Notice to Cure.
  - (b) If a mutually agreed upon solution cannot be reached within ten (10) days after receipt of Notice to Cure by Contractor, the University reserves the right to terminate the agreement.
  - (c) If the mutually agreed upon solution is not implemented within thirty (30) days from the date of agreement, the University reserves the right to terminate the contract.
  - (d) The University shall be obligated only for those goods or Services rendered and accepted prior to the date of Notice of Termination.
  - (e) Remedies for Default: If the solution mutually agreed upon pursuant to subsection 2.9 (a) is not implemented within the thirty (30) days provided in said subsection, the University may procure the subject goods or services from another source and charge any cost difference to the Contractor.
- 2.10. Termination for Convenience.
- (a) The University may terminate performance of work under the Contract in whole or in part whenever, if for any reason the University shall determine that such termination is in the best interest of the University and/or the State of Connecticut.
  - (b) This Agreement shall remain in full force and effect for the entire term of the contract period stated in Section 1.1 unless cancelled by the University, by providing the Contractor \_\_\_\_ days written notice of such intention. If the University elects to terminate the Contract pursuant to this provision, the Contract Administrator and/or designee shall notify the Contractor by certified mail, return receipt requested. Termination shall be effective as of the close of business on the date specified in the notice.
- 2.11. Force Majeure. If the performance of obligations under this Agreement are rendered impossible or hazardous or is otherwise prevented or impaired due to illness, accident, Act(s) of God, riots, strikes, labor difficulties, epidemics, earthquakes, and/or any other cause or event, similar or dissimilar, beyond the control of the Contractor, then each party's obligations to the other under this Agreement shall be excused and neither party shall have any liability to the other under or in connection with this Agreement.
- 2.12. Entire Agreement and Amendment. This Agreement is the entire agreement between the Contractor and the University and supersedes and rescinds all prior agreements relating to the subject matter hereof. This Agreement may be amended only in writing signed by both the Contractor and the University and if applicable, approved by the Office of the Attorney General. The Contractor indicates it has read and freely signed this Agreement, which shall take effect as a sealed instrument. The Contractor further certifies that the terms of this agreement are legally binding and its duly authorized representative has signed this agreement after having carefully read and understood the same.
- 2.13. Additional Required Contractor Signature Authority, Affidavits and Certifications.
- (a) The individual signing this Agreement on behalf of the Contractor certifies that s/he has full authority to execute the same on behalf of the Contractor and that this Agreement has been duly authorized, executed and delivered by the Contractor and is binding upon the Contractor in accordance with its terms. The Contractor shall provide a Corporate Resolution or other signature authority documentation certifying that the individual executing this Agreement has been authorized by the governing body of the Contractor to sign on behalf of the Contractor. Sample forms can be found at: <http://www.contracts.uconn.edu/corpres.html>
  - (b) The University, as an agency of the State of Connecticut, requires that notarized Gift and Campaign Contribution Certificates (Office of Policy and Management "OPM" Form 1) and Consulting Agreement Affidavits (OPM Form 5) accompany all State contracts/agreements with a value of \$50,000 or more in a calendar or fiscal year. [Form 1 is also used with a multi-year contract to update the initial certification on an annual basis.] The State also requires an Affirmation of Receipt of State Ethics Laws Summary (OPM Form 6) which must accompany large State construction or procurement contracts with a value of \$500,000 or more. Pursuant to Conn. Gen. Stat. § 4-252(c)(1), these documents must be executed by the official who is authorized to execute the contract/agreement on behalf of the Contractor. Ethics Affidavits and Certifications can be found at: <http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038>
  - (c) An executed Nondiscrimination Certification must also be provided by the Contractor at the time of contract execution for all contracts/agreements with corporations and other entities, regardless of type, term, cost or value. The Certification requires the signer to disclose his/her title and certify that the Contractor has in place a properly-adopted policy, which supports the nondiscrimination requirements of Connecticut law. This Certification is required for all original contracts/agreements as well as amendments. The Nondiscrimination Certification form can be found at: [http://www.ct.gov/opm/lib/opm/finance/psa/oag\\_nondiscrim\\_certification\\_080207\\_fillable\\_form.doc](http://www.ct.gov/opm/lib/opm/finance/psa/oag_nondiscrim_certification_080207_fillable_form.doc)

**IN WITNESS WHEREOF**, this Agreement has been duly executed by the following parties:

**UNIVERSITY OF CONNECTICUT:**

**CONTRACTOR:** \_\_\_\_\_

By: \_\_\_\_\_

By: \_\_\_\_\_

Print Name: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

**AGO Approval**

By: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Form Rev. 4/17/2008



**STATE OF CONNECTICUT**  
**STATE ELECTIONS ENFORCEMENT COMMISSION**  
20 Trinity Street Hartford, Connecticut 06106–1628

SEEC FORM 11

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

**Campaign Contribution and Solicitation Ban**

No *state contractor*, *prospective state contractor*, *principal of a state contractor* or *principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**Duty to Inform**

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

**Penalties for Violations**

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

**Civil penalties**--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties**—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

**Contract Consequences**

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A. 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "State Contractor Contribution Ban."

**Definitions:**

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

## Section 7 References

Proposals should include three institutions, of similar or the same size, where your organization is currently providing Organizational Strategy& Development, Organizational Alignment and Workforce Management Services of the type you are proposing for the University of Connecticut. Please include name, e-mail address and telephone number of a contact person at each institution. **Reference checks will be performed electronically: please be sure the e-mail address provided is current and the reference has been notified of this forthcoming electronic transmission.**

Reference #1

|         |               |
|---------|---------------|
| <hr/>   |               |
| Company |               |
| <hr/>   | <hr/>         |
| Contact | Telephone No. |
| <hr/>   | <hr/>         |
| Title   | Email         |

Reference #2

|         |               |
|---------|---------------|
| <hr/>   |               |
| Company |               |
| <hr/>   | <hr/>         |
| Contact | Telephone No. |
| <hr/>   | <hr/>         |
| Title   | Email         |

Reference #3

|         |               |
|---------|---------------|
| <hr/>   |               |
| Company |               |
| <hr/>   | <hr/>         |
| Contact | Telephone No. |
| <hr/>   | <hr/>         |
| Title   | Email         |

**Section 8  
Form of Proposal  
RFP #KJ072409**

**Organizational Strategy & Development, Organizational Alignment and Workforce Management  
Services**

**Date: August 13, 2009**

**TO:** University of Connecticut  
Purchasing Department  
3 North Hillside Road Unit 6076  
Storrs, CT. 06269-6076

1. The undersigned proposer, in response to our Request for Proposal for an Organizational Strategy & Development, Organizational Alignment and Workforce Management Services Agreement, having examined the proposal documents and being familiar with the conditions surrounding the proposed products and services, hereby proposes to provide such products and services meeting the requirements outlined in this Request for Proposal, in accordance with the proposal attached hereto.
2. Proposer acknowledges receipt of the following addenda which are a part of the bidding documents:  
\_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.
3. Proposer understands that the University reserves the right to reject any and all proposals, waive irregularities or technicalities in any offer, and accept any offer in whole or in part which it deems to be in its best interest.
4. Proposer agrees that this offer shall be good and may not be withdrawn for a period of 120 days after the public bid opening.
5. Proposer hereby certifies: (a) that this proposal is genuine and is not made in the interest of or on behalf of any undisclosed person, firm or corporation; (b) that the proposer has not directly or indirectly induced or solicited any other proposer to put in a false or sham bid; (c) that the proposer has not solicited or induced any person, firm or corporation to refrain from bidding; and (d) that the proposer has not sought by collusion to obtain any advantage over any other proposer or over the University.
6. Proposer agrees that the response to this proposal is a legal and binding offer and the authority to make the offer is vested in the signer. Minor differences and informalities will be resolved by negotiation prior to acceptance of the offer.
7. Payment Terms: \_\_\_\_\_

**NAME** \_\_\_\_\_ **DATE:** \_\_\_\_\_  
**PHONE #:** \_\_\_\_\_ **FAX #:** \_\_\_\_\_  
**F.E.I.N. #:** \_\_\_\_\_ **EMAIL:** \_\_\_\_\_

## Section 9 Vendors Qualification Statement

All vendors are required to file this form, properly completed, WITH THEIR RESPONSE. Failure of a vendor to answer any question or provide required information may be grounds for the awarding authority to disqualify and reject their proposal. If a question or request for information does not pertain to your organization in any way, use the symbol "NA" (Not Applicable). Use additional 8 1/2" x 11" sheets with your letterhead as necessary.

1. Indicate exactly the name by which this organization is known:

Name \_\_\_\_\_.

2. How many years has this organization been in business under its present business name?

Years? \_\_\_\_\_.

3. Indicate all other names by which this organization has been known and the length of time known by each name:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. What is the primary commodity/service provided by this business? How many years has this organization been in business providing this commodity/service?

Commodity/Service \_\_\_\_\_

Years? \_\_\_\_\_

How many years in the Athletic Apparel, Footwear, Equipment and Accessories Business? \_\_\_\_\_

5. This firm is a: \_\_\_\_\_ Corporation \_\_\_\_\_ Partnership \_\_\_\_\_ Sole Proprietorship  
\_\_\_\_\_ Joint Venture \_\_\_\_\_ Other  
\_\_\_\_\_ Women Owned \_\_\_\_\_ Minority Business \_\_\_\_\_ Set Aside Contractor

Vendors Qualification Statement  
RFP# KJ072409  
Page 1 OF 3

6. **Provide names** all supervisory personnel, such as Principals and Supervisors, , who will be **directly** involved with the contract on which you are now a bidder. Indicate the number of years of experience and number of years of which they have been in a Supervisory capacity.

| Name        | Years/supervisor | Telephone/Fax #'s |
|-------------|------------------|-------------------|
| _____       | _____            | ph _____          |
| Email _____ |                  | fx _____          |
| _____       | _____            | ph _____          |
| Email _____ |                  | fx _____          |

7. Sales Representative:

Name \_\_\_\_\_

Addresses \_\_\_\_\_

\_\_\_\_\_

Telephone Number \_\_\_\_\_

Years of experience \_\_\_\_\_

8. Customer Representative:

Name \_\_\_\_\_

Addresses \_\_\_\_\_

\_\_\_\_\_

Telephone Number \_\_\_\_\_

8. Trade References: Names, addresses and telephone numbers of several firms with whom your organization has regular business dealings:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(Attach additional sheet if necessary)

9. Has your organization ever failed to complete a contract, or has any officer or partner of your organization ever been an officer or partner of another organization that failed to complete a contract? If so, indicate the circumstances leading to the project failure and the name of the company which provided the bonding for the failed contract(s):

\_\_\_\_\_

10. List all legal or administrative proceedings currently pending or concluded adversely within the last five years which relate to procurement or performance of any public or private service/maintenance contracts.

1. \_\_\_\_\_ Attached      2. \_\_\_\_\_ N/A

Dated \_\_\_\_\_

Name of Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Toll Free Telephone \_\_\_\_\_

Email Address \_\_\_\_\_

Signature \_\_\_\_\_

(Print Name) \_\_\_\_\_

Title \_\_\_\_\_

## **Section 10**

### **Directions**

#### **UNIVERSITY OF CONNECTICUT DIRECTIONS TO HUMAN RESOURCES**

Department of Human Resources  
Brown Building - Depot Campus  
9 Walters Avenue, Storrs CT 06269  
HR 201 Conference Room  
Check in at front desk.  
Visitor parking in front of building and across the street.

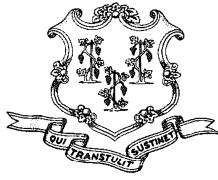
#### **Driving Directions to Human Resources:**

From Hartford, CT - Take 84 East to Exit 68. Turn right onto Route 195 South. At the intersection of Route 195 and Route 32, take a right onto Route 32 South. Follow Route 32 until the intersection of Route 32 and Route 44. Take a left onto Route 44 East. At the second light, take a right onto Walters Avenue, then an immediate left to Human Resources located in the A. L. Brown Building.

From Springfield, MA - Take 91 South to 291 South to 84 East. Take Exit 68. Turn right onto Route 195 South. At the intersection of Route 195 and Route 32, take a right onto Route 32 South. Follow Route 32 until the intersection of Route 32 and Route 44. Take a left onto Route 44 East. At the second light, take a right onto Walters Avenue, then an immediate left to Human Resources located in the A. L. Brown Building.

From Providence, RI - Take Route 6 West to Route 32 North. At the intersection of Route 32 and Route 44 take a right onto Route 44 East. At the second light, take a right onto Walters Avenue, then an immediate left to Human Resources located in the A. L. Brown Building.

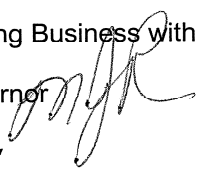
From New London, CT - Take 395 North to Route 32 North. At the intersection of Route 32 and Route 44 take a right onto Route 44 East. At the second light, take a right onto Walters Avenue, then an immediate left to Human Resources located in the A. L. Brown Building.



M. JODI RELL  
GOVERNOR

STATE OF CONNECTICUT  
EXECUTIVE CHAMBERS

**MEMORANDUM**

To: Vendors Conducting Business with the State of Connecticut  
From: M. Jodi Rell, Governor   
Subject: State Ethics Policy  
Date: September 28, 2004

---

As you are undoubtedly aware, state government is striving to improve how it conducts its business. The task force charged with analyzing the state contracting process recently recommended to me several areas which require improvement. I expect to implement a number of those recommendations. Your assistance is needed in order to facilitate change.

While the state ethics code does not prohibit gifts to state employees altogether—for example, the law permits employees to accept a gift in celebration of a major life event and up to \$50 per calendar year in food and beverage—the intent of the code is clear. State employees should not just avoid impropriety, but even the mere appearance of impropriety, and should forego accepting gifts from those with whom the state does business.

I would also call your attention to section 1-84(m) of the Connecticut General Statutes, which prohibits state employees from accepting gifts from those who do business, or seek to do business, with the employee's agency or department. Vendors and prospective vendors are also prohibited from knowingly giving gifts to state employees in violation of this section.

My request to you is this, no matter how well-intentioned or appreciative you may be of an employee's assistance, I would ask that you refrain from offering a state employee a gift of any kind, including, but not limited to, meals and beverages. Offering a gift to an employee puts the employee in the rather uncomfortable position of having to decline the gift or ascertain its monetary value and consult with an attorney and/or the state Ethics Commission.

I expect—and indeed the residents of this state deserve—state government employees to adhere to the highest ethical standards, which may entail more stringent practices than even the ethics code provides. With your assistance, the state should be well on its way to restoring the public's faith in state government.

I would appreciate it if you would communicate this message to your employees. Thank you for your cooperation and understanding.

STATE CAPITOL, HARTFORD, CONNECTICUT 06106  
TEL: (860) 566-4840 • FAX: (860) 524-7396  
[www.state.ct.us/governor](http://www.state.ct.us/governor)

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES**  
**CONTRACT COMPLIANCE REGULATIONS**  
**NOTIFICATION TO BIDDERS**

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

---

**INSTRUCTIONS AND OTHER INFORMATION**

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidders ☐ good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>MANAGEMENT:</b> Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.</p> <p><b>BUSINESS AND FINANCIAL OPERATIONS:</b> These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.</p> <p><b>COMPUTER SPECIALISTS:</b> Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists</p> <p><b>ARCHITECTURE AND ENGINEERING:</b> Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.</p> <p><b>OFFICE AND ADMINISTRATIVE SUPPORT:</b> All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.</p> | <p><b>BUILDING AND GROUNDS CLEANING AND MAINTENANCE:</b> This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.</p> <p><b>CONSTRUCTION AND EXTRACTION:</b> This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..</p> <p><b>INSTALLATION, MAINTENANCE AND REPAIR:</b> Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.</p> <p><b>MATERIAL MOVING WORKERS:</b> The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

|                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p><u>Black</u>(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p> | <p><u>Asian or Pacific Islander</u>- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.</p> <p><u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p> |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

# BIDDER CONTRACT COMPLIANCE MONITORING REPORT

## PART I - Bidder Information

|                                                                   |                                                                                                                                                                                                                                                                                                                                                                                               |
|-------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Company Name<br>Street Address<br>City & State<br>Chief Executive | Bidder Federal Employer<br>Identification Number _____<br>Or<br>Social Security Number _____                                                                                                                                                                                                                                                                                                  |
| Major Business Activity<br>(brief description)                    | Bidder Identification<br>(response optional/definitions on page 1)<br><br>-Bidder is a small contractor. Yes ___ No ___<br>-Bidder is a minority business enterprise Yes ___ No ___<br>(If yes, check ownership category)<br>Black ___ Hispanic ___ Asian American ___ American Indian/Alaskan<br>Native ___ Iberian Peninsula ___ Individual(s) with a Physical Disability ___<br>Female ___ |
| Bidder Parent Company<br>(If any)                                 | - Bidder is certified as above by State of CT Yes ___ No ___                                                                                                                                                                                                                                                                                                                                  |
| Other Locations in Ct.<br>(If any)                                | - DAS Certification Number _____                                                                                                                                                                                                                                                                                                                                                              |

## PART II - Bidder Nondiscrimination Policies and Procedures

|                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards?<br>Yes ___ No ___                                                                                                                                                                                                                                                 | 7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.?<br>Yes ___ No ___                                                                                                         |
| 2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?<br>Yes ___ No ___                                                                                                                                                                                                                                             | 8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability?<br>Yes ___ No ___                                                                                                                  |
| 3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy?<br>Yes ___ No ___                                                                                                                                                                                                                                         | 9. Does your company have a mandatory retirement age for all employees?<br>Yes ___ No ___                                                                                                                                                                                        |
| 4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer?<br>Yes ___ No ___                                                                                                                                                                                                                                                     | 10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors?<br>Yes ___ No ___ NA ___                                                                                                        |
| 5. Do you notify the Ct. State Employment Service of all employment openings with your company?<br>Yes ___ No ___                                                                                                                                                                                                                                                                                  | 11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor?<br>Yes ___ No ___ NA ___                                                               |
| 6. Does your company have a collective bargaining agreement with workers?<br>Yes ___ No ___<br>6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers?<br>Yes ___ No ___<br><br>6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct?<br>Yes ___ No ___ | 12. Does your company have a written affirmative action Plan? Yes ___ No ___<br>If no, please explain.<br><br>13. Is there a person in your company who is responsible for equal employment opportunity? Yes ___ No ___<br>If yes, give name and phone number.<br>_____<br>_____ |

## PART III - Bidder Subcontracting Practices

|                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. Will the work of this contract include subcontractors or suppliers? Yes ___ No ___<br><br>1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)<br><br>1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? | Yes ___ No ___<br><br><br><br><br><br><br><br><br>Yes ___ No ___ |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|

**PART IV - Bidder Employment Information**

Date:

| JOB<br>CATEGORY                                                                       | OVERALL<br>TOTALS | WHITE<br>(not of Hispanic<br>origin) |        | BLACK<br>(not of Hispanic<br>origin) |        | HISPANIC |        | ASIAN or PACIFIC<br>ISLANDER |        | AMERICAN INDIAN or<br>ALASKAN NATIVE |        |
|---------------------------------------------------------------------------------------|-------------------|--------------------------------------|--------|--------------------------------------|--------|----------|--------|------------------------------|--------|--------------------------------------|--------|
|                                                                                       |                   | Male                                 | Female | Male                                 | Female | Male     | Female | Male                         | Female | male                                 | female |
| Management                                                                            |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Business & Financial<br>Ops                                                           |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Computer Specialists                                                                  |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Architecture/Engineer<br>ing                                                          |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Office & Admin Support                                                                |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Bldg/ Grounds<br>Cleaning/Maintenance                                                 |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Construction &<br>Extraction                                                          |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Installation ,<br>Maintenance<br>& Repair                                             |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Material Moving<br>Workers                                                            |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| TOTALS ABOVE                                                                          |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Total One Year Ago                                                                    |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE) |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Apprentices                                                                           |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |
| Trainees                                                                              |                   |                                      |        |                                      |        |          |        |                              |        |                                      |        |

**PART V - Bidder Hiring and Recruitment Practices**

|                                                                                                              |     |    |                                          |                                                                                                           |  |                                                                                                                                                 |
|--------------------------------------------------------------------------------------------------------------|-----|----|------------------------------------------|-----------------------------------------------------------------------------------------------------------|--|-------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Which of the following recruitment sources are used by you?<br>(Check yes or no, and report percent used) |     |    |                                          | 2. Check (X) any of the below listed<br>requirements that you use as<br>a hiring qualification<br><br>(X) |  | 3. Describe below any other practices or actions that you take which<br>show that you hire, train, and promote employees without discrimination |
| SOURCE                                                                                                       | YES | NO | % of applicants<br>provided by<br>source |                                                                                                           |  |                                                                                                                                                 |
| State Employment<br>Service                                                                                  |     |    |                                          | Work Experience                                                                                           |  |                                                                                                                                                 |
| Private Employment<br>Agencies                                                                               |     |    |                                          | Ability to Speak or<br>Write English                                                                      |  |                                                                                                                                                 |
| Schools and Colleges                                                                                         |     |    |                                          | Written Tests                                                                                             |  |                                                                                                                                                 |
| Newspaper<br>Advertisement                                                                                   |     |    |                                          | High School Diploma                                                                                       |  |                                                                                                                                                 |
| Walk Ins                                                                                                     |     |    |                                          | College Degree                                                                                            |  |                                                                                                                                                 |
| Present Employees                                                                                            |     |    |                                          | Union Membership                                                                                          |  |                                                                                                                                                 |
| Labor Organizations                                                                                          |     |    |                                          | Personal<br>Recommendation                                                                                |  |                                                                                                                                                 |
| Minority/Community<br>Organizations                                                                          |     |    |                                          | Height or Weight                                                                                          |  |                                                                                                                                                 |
| Others (please identify)                                                                                     |     |    |                                          | Car Ownership                                                                                             |  |                                                                                                                                                 |
|                                                                                                              |     |    |                                          | Arrest Record                                                                                             |  |                                                                                                                                                 |
|                                                                                                              |     |    |                                          | Wage Garnishments                                                                                         |  |                                                                                                                                                 |

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

|             |         |               |             |
|-------------|---------|---------------|-------------|
| (Signature) | (Title) | (Date Signed) | (Telephone) |
|-------------|---------|---------------|-------------|

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE  
CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

**Campaign Contribution and Solicitation Ban**

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**Duty to Inform**

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

**Penalties for Violations**

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

**Contract Consequences**

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "State Contractor Contribution Ban."



# STATE OF CONNECTICUT

## NONDISCRIMINATION CERTIFICATION – New Resolution

### By Entity

### For Contracts Valued at \$50,000 or More

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

---

#### INSTRUCTIONS:

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

#### CERTIFICATION OF RESOLUTION:

I, \_\_\_\_\_, \_\_\_\_\_, of \_\_\_\_\_,  
Authorized Signatory Title Name of Entity

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

certify that the following is a true and correct copy of a resolution adopted on the \_\_\_\_\_ day of  
\_\_\_\_\_, 0\_\_\_\_\_ by the governing body of \_\_\_\_\_,  
Name of Entity

in accordance with all of its documents of governance and management and the laws of

\_\_\_\_\_, and further certify that such resolution has not been modified  
Name of State or Commonwealth

or revoked, and is in full force and effect.

RESOLVED: That the policies of \_\_\_\_\_ comply with the  
Name of Entity

nondiscrimination agreements and warranties of Connecticut General Statutes

§§ 4a- 0(a)(1) and 4a- 0a(a)(1), as amended.

The undersigned has executed this certificate this \_\_\_\_\_ day of \_\_\_\_\_, 0\_\_\_\_\_.

\_\_\_\_\_  
Authorized Signatory

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name



## STATE OF CONNECTICUT

### GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1*

#### INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

**C C ON :**    ☐ Initial Certification                      ☐ Annual pdate (Multi-year contracts only.)

#### GIFT C RTIFICATION:

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

- 1) "Contract" means that contract between the State of Connecticut (and or one or more of it agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below
- ) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties if this is an Annual pdate, "Execution Date" means the date this certification is signed by the Contractor
- 3) "Contractor" means the person, firm or corporation named as the contactor below
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4- 5 (c)(1)(i) or (ii)
- 5) "**Gift**" has the same meaning given that term in C.G.S. § 4- 50(1)
- ) "Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below and
- 7) "Principals or ey Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4- 50(5) and 4- 5 (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 ey 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 ey 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.

#### CA PAIGN CONTRI UTION C RTIFICATION:

I further certify that, on or after December 31, 00 , neither the Contractor nor any of its principals, as defined in C.G.S. § - 1 (g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § - 1 (g)( ) (A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 00 by the Contractor or any of its principals, as defined in C.G.S. § - 1 (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:



# STATE OF CONNECTICUT

## GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

### awful 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> |
|--------------------------|----------------------------|------------------|--------------|--------------------|
|                          |                            |                  |              |                    |
|                          |                            |                  |              |                    |
|                          |                            |                  |              |                    |
|                          |                            |                  |              |                    |
|                          |                            |                  |              |                    |
|                          |                            |                  |              |                    |
|                          |                            |                  |              |                    |

### awful Campaign Contributions to Candidates for the General Assembly:

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

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

\_\_\_\_\_  
Printed Contractor Name

\_\_\_\_\_  
**Signature of Authori ed Official**

**Subscribed and ac nowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.**

\_\_\_\_\_  
**Commissioner of the Superior Court (or Notary Public)**

### For State Agency Use Only

\_\_\_\_\_  
Awarding State Agency

\_\_\_\_\_  
Planning Start Date

\_\_\_\_\_  
Contract Number or Description



## STATE OF CONNECTICUT CONSULTING AGREEMENT AFFIDAVIT

*Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)*

### INSTRUCTIONS:

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

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

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

**AFFIDAVIT:** [ Number of Affidavits Sworn and Subscribed On This Day: \_\_\_\_\_ ]

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

|                                         |                   |                                       |
|-----------------------------------------|-------------------|---------------------------------------|
| _____<br>Consultant's Name and Title    |                   | _____<br>Name of Firm (if applicable) |
| _____<br>Start Date                     | _____<br>End Date | _____<br>Cost                         |
| Description of Services Provided: _____ |                   |                                       |
| _____                                   |                   |                                       |
| _____                                   |                   |                                       |

Is the consultant a former State employee or former public official? ☐ YES ☐ NO

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

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

|                                           |                                                           |                                |
|-------------------------------------------|-----------------------------------------------------------|--------------------------------|
| _____<br>Printed Name of Bidder or Vendor | _____<br><b>Signature of Chief Official or Individual</b> | _____<br><b>Date</b>           |
|                                           | _____<br>Printed Name (of above)                          | _____<br>Awarding State Agency |

**Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.**

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