
Form of Proposal

Proposal Submission Checklist

The following documents and information shall be submitted and included as your bid proposal. All documents must be submitted and executed in their original condition as issued.

- Sealed Bid
- Fully executed Form of Proposal
- Ethics Forms 5 (if contract value is > \$50,000) and 6 (if contract value is > \$500,000).
- Required Financial Statement
- Signature Authorization Document
- How did you learn about this Project?
 - o Hartford Courant
 - o Waterbury Republican
 - o Norwich Bulletin
 - o DAS
 - o CPCA Website
 - o Other _____

Contractors Certification

By submitting a bid proposal, the bidder is attesting to the review, reading, understanding, and acceptance of the information and requirements of the project contained within the bid documents without exception. By submitting a bid proposal, the Bidder represents that they accept the conditions under which the work will be performed and have read, evaluated, understand, and accepted all the Contract Documents, and their content in their entirety and have included all provisions necessary to accomplish all work according to the information and requirements prescribed therein without exception.

SUBMITTED FOR:

Firm: _____

Address: _____

SUBMITTED BY: _____

Print Name: _____

Title: _____

Telephone: _____

Date: _____

Form of Proposal

University of Connecticut
Lisa Mieszkowicz
Purchasing Agent II
Procurement Services
Capital Project & Contract Administration
3 North Hillside Road, Unit 6047
Storrs, Connecticut 06269-6047

Dear Ms. Mieszkowicz:

1. In accordance with the authority set forth in Connecticut General Statutes Section 4a-52a et al, and pursuant to, and in compliance with your Invitation to Bid, , the Form of Contract, I (we) propose to furnish the services named and numbered on the FORM OF PROPOSAL of this proposal to the extent of the Proposal submitted herein (the "Services"), furnishing all necessary labor, materials, parts and equipment and otherwise required to perform the Services in the manner and at the time prescribed strictly in accordance with the provisions of the Contract including all addenda issued and received prior to the scheduled closing time for the receipt of the bids, and in conformity with requirements of the University of Connecticut and any laws or departmental regulations of the State of Connecticut or of the United States which may affect the same, for and in consideration of the price(s) stated on the said FORM OF PROPOSAL, hereof.
2. The Unit Prices submitted by me (us) on the Form of PROPOSAL shall fully compensate me (us) for all Services associated with the listed components (including, without limitation, the furnishing of all labor, materials, parts and equipment required for the performance thereof).
3. This proposal is submitted subject to and in compliance with the foregoing and following conditions and/or information.
 - A. AWARD: All proposals shall be subject to the provisions and requirements of the Bid Documents and for purpose of award, consideration shall be given only to proposals submitted by qualified and responsible bidders.
 - B. COMMENCEMENT AND COMPLETION OF WORK: Contractor shall commence and perform the Services in accordance with the requirements of the Contract.
 - C. CONTRACTORS INSURANCE REQUIRED:
 1. The limits of liability and coverages shall be those set forth in the Contract.
 - D. STATEMENT OF BIDDERS' QUALIFICATIONS AND INTENTION OF OBJECTIVE CRITERIA:
 1. We (I) the Bidder; shall complete and submit with this FORM OF PROPOSAL the Contractor's Qualification Statement in support of its Qualifications to perform the Services, and to demonstrate its compliance with the University's Objective Criteria regarding Qualifications.
 - E. NONDISCRIMINATION & LABOR RECRUITMENT:

I (We) agree that the Contract awarded for this project shall be subject to the Executive Orders No. Three and Seventeen, promulgated June 16, 1971 and February 15, 1973 respectively and to the Guidelines and Rules of the State Labor Department implementing Executive Order No. Three and further agree to submit reports of Compliance Staffing on Labor Department Form E.O.3-1, when and as requested.
 - F. CERTIFICATION OF BIDDER REGARDING EQUAL EMPLOYMENT OPPORTUNITY & NON-SEGREGATED FACILITIES:

Form of Proposal

We (I) acknowledge that we (I) and our subcontractors are obligated to fill out the forms provided by the University of Connecticut Office of Capital Project and Contract Administration and to agree to certify to the compliance of non-segregated facilities.

G. NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OR CAMPAIGN CONTRIBUTION AND SOLICITATION BAN.

With regard to a State contract as defined in P.A. 07-1 having a value in a contract 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 advertising prospective principals of the contents of the notice. See Attachment SEEC Form 11.

4. ACCOMPANYING THIS PROPOSAL IS:

- A. If the bidder is a joint venture, a copy of the executed Joint Venture Agreement shall be submitted along with the bid materials.

- 5. I (We), the undersigned, hereby declare that I am (we are) the only person(s) interested in the proposal and that it is without any connection with any other person making any bid for the same work. No person acting for, or employed by, the State of Connecticut is directly interested in this proposal, or in any contract which may be made under it, or in expected profits to arise therefrom. This proposal is made without directly or indirectly influencing or attempting to influence any other person or corporation to bid or refrain from bidding or to influence the amount of the bid of any other person or corporation. This proposal is made in good faith without collusion or connection with any other person bidding for the same work and this proposal is made with distinct reference and relation to the scope of the work as described in the Bid Documents prepared for this Contract. I (We) further declare that in regard to the conditions affecting the Services to be performed, this proposal is based solely on my (our) investigation and research and not in reliance upon any representations of any employee, officer or agent of the State.

- 6. To the extent that any portion of the Services is to be performed by a subcontractor such subcontract shall be made only as permitted under and in accordance with the procedures set forth in the Bid and Contract Documents.

- 7. The undersigned agrees that, if awarded the Contract, the Contractor shall, within ten (10) days, Saturdays, Sundays and legal holidays excluded, after presentation thereof by the University of Connecticut, execute a contract in accordance with the terms of this Bid Documents.

- 8. The undersigned agrees and warrants that the undersigned has made good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials under such contract and shall provide the Commission on Human Rights and Opportunities with such information as is requested by the Commission concerning his employment practices and procedures as they relate to the provisions of the Connecticut General Statutes governing contract requirements.

- A. The undersigned proposes to furnish the Services (including, without limitation, all labor, materials, parts and equipment required for the performance thereof) required for:

Form of Proposal

**Fire Alarm System Alteration Services
RFP NUMBER: #LM020713-1**

**UNIVERSITY OF CONNECTICUT
Storrs, CT**

in accordance with the accompanying RFP and Contract.

In consideration of the Contract Price specified below, subject to additions and deductions according to the terms of the Contract Documents.

B. BID CLARIFICATIONS:

The undersigned acknowledges receipt of the following Bid Clarifications issued during the bidding period and has included all changes therein in the above base bid amount.

Clarifications/Addenda # _____, Dated _____

Form of Proposal

C. **SCHEDULE OF UNIT PRICES :** For those Services described in the Contract for which the Contractor will be compensated based on Unit Prices, the following rates will apply to such Services for the entire term of the Contract.

All rates are inclusive of all costs of standard wages, applicable taxes, benefits, applicable insurance. The rates provided will be included as part of the Contract and of your subcontracts. The Unit Prices herein shall remain valid for the entire term of the Contract and include all costs for the performance of the applicable Services.

<u>Description</u>	<u>Part/Labor/Programming For Installation</u>				Manufacturer of Parts, Components and Equipment
STANDARD WAGE	Area 1	Area 2	Area 3	Area 4	
Addressable Sounder Base					
Addressable Device Base/CO Detector					
Addressable Beam Det.					
Addressable Pull Station					
Non-Addressable Pull Station					
Non-Addressable Smoke Detector					
Non-Addressable Fixed Temp. Heat Det.					
Non-Addressable Rate of Rise Heat Det.					
Non-Addressable Tamper Switch					
Non-Addressable Flow Switch					
Non-Addressable Pressure Switch					
Addressable Device Module					
Addressable Duct Det.					
Non-Addressable Duct Det.					
Remote Sampling Detector					

Form of Proposal

Auxilliary Monitoring Devices					
Phone Line Dialer					
Digital Alarm Comm. Transmitter					
Network Card-Copper					
Network Card-Fiber Optic					
Battery-7ah					
Battery-50ah					
NAC Panel					
PAD Panel					
Pre-action Alarm Panel					
Remote Annunciator Panel					
FACP-Addressable					
FACP-Non-Addressable					
Addressable Notification-Strobe Only					
Addressable Notification-Strobe/Voice					
Addressable Notification-Strobe/Speaker					
Addressable Notification-Voice Only					
Addressable Notification-Speaker Only					
Non-Addressable Notification-Horn					
Non-Addressable Notification-Strobe					
Non-Addressable Notification-Incandescent					
Control Module for Auxillary Devices					

Hourly Rate for all other alteration services: _____

Cost-plus % Mark-up for Non-listed Parts, Components and Supplies: _____

Form of Proposal

D. SCHEDULE OF UNIT PRICES : For those Services described in the Contract for which the Contractor will be compensated based on Unit Prices, the following rates will apply to such Services for the entire term of the Contract.

All rates are ALL inclusive of all costs associated with the applicants ability to provide and install. Costs not limited to annual increases to prevailing wages, applicable taxes, benefits, insurance, travel, parking, consumables and overhead/profit. The rates provided will be included as part of the Contract and of your subcontracts. The Unit Prices herein shall remain valid for the entire term of the Contract and include all costs for the performance of the applicable Services.

<u>Description</u>	<u>Part/Labor/Programming For Installation</u>				Manufacturer of Parts, Components and Equipment
PREVAILING WAGE	Area 1	Area 2	Area 3	Area 4	
Addressable Sounder Base					
Addressable Device Base/CO Detector					
Addressable Beam Det.					
Addressable Pull Station					
Non-Addressable Pull Station					
Non-Addressable Smoke Detector					
Non-Addressable Fixed Temp. Heat Det.					
Non-Addressable Rate of Rise Heat Det.					
Non-Addressable Tamper Switch					
Non-Addressable Flow Switch					
Non-Addressable Pressure Switch					
Addressable Device Module					
Addressable Duct Det.					
Non-Addressable Duct Det.					

Form of Proposal

Remote Sampling Detector					
Auxilliary Monitoring Devices					
Phone Line Dialer					
Digital Alarm Comm. Transmitter					
Network Card-Copper					
Network Card-Fiber Optic					
Battery-7ah					
Battery-50ah					
NAC Panel					
PAD Panel					
Pre-action Alarm Panel					
Remote Annunciator Panel					
FACP-Addressable					
FACP-Non-Addressable					
Addressable Notification-Strobe Only					
Addressable Notification-Strobe/Voice					
Addressable Notification-Strobe/Speaker					
Addressable Notification-Voice Only					
Addressable Notification-Speaker Only					
Non-Addressable Notification-Horn					
Non-Addressable Notification-Strobe					
Non-Addressable Notification-Incandescent					
Control Module for Auxillary Devices					

Hourly Rate for all other alteration services: _____

Cost-plus % Mark-up for Non-listed Parts, Components and Supplies: _____

Form of Proposal

E. BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions in Instruction to Bidders page 18) -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native ____ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__
Bidder Parent Company(If any)	-Bidder is certified as above by State of CT Yes__ No__
Other Locations in Ct. (If any)	DAS Certification #: _____

Form of Proposal

PART II - Bidder Nondiscrimination Policies and Procedures

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

Form of Proposal

Part III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise as defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a?
 Yes__ No__

Part IV – Bidder Employment Information

Date: _____

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

Form of Proposal

PART V - Bidder Hiring and Recruitment Practices

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

Certifications (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 CT General Statutes.

(Signature)

(Date Signed)

(Title)

(Telephone)

Form of Proposal

F. CONTRACTOR'S QUALIFICATION STATEMENT (UCONN supplied version only)

A duly authorized representative of the company must completely and accurately fill out, execute and submit with this Form of Proposal, the Contractor's Qualification Statement and the following supporting documents where applicable:

- Copies of your Connecticut Workers Compensation Insurance, General Liability and Automobile Liability Certificates.
- Company Financial Statement.
- National Council on Compensation Insurance (NCCI) Experience Modification Sheet.
- Schedule A - Relevant project experience with similar projects, Within the past 5 years.
- List of Key Personnel / Experience to be assigned to the contract if awarded.
- Quality Assurance/Quality Control/Code Compliance Program and Procedures.
- References.
- A Current Status Letter (commonly known as a Certificate of Legal Existence) from the Secretary of State for the State of Connecticut.

- Copies of your company's licenses, registrations, and/or certifications from the State of Connecticut.

- List of any Claims or Suits; attach all details to yes questions to 3.2.1-3.2.1.3.5
- List if any litigation or arbitration proceedings including out of court settlements initiated by you or against you within the past 5 years including all pending cases.

- List if any OSHA citations within the past (5) years under present business name or any past business name.

- List if any Connecticut State Labor Department violations against your company.
- List if any of all bid or proposal protests you have engaged in over the past five years.

- List if any citations for alleging that you or your company have violated the provisions of Connecticut General Statutes Sections 31-52 or 31-52a.

If it is determined by the University of Connecticut and/or State of Connecticut that any information requested was not disclosed with this bid/proposal/RFP, then such determination will be just cause for disqualification of the bid/proposal/RFP.

Form of Proposal

We have attempted to answer all questions in a full and complete manner to assure that our answers are not in any respect misleading either by expressing ourselves in a misleading or ambiguous manner or omitting information. We recognize that the University will be relying on the accuracy of the information and our responses in this questionnaire in deciding whether to permit us to bid and in awarding work to our Company.

Dated at _____ this _____ day of Two Thousand and _____ (_____)

Name of Company: _____

Completed by: _____
(must be an Officer of the Company)

Title: _____

Signature: _____

_____ being duly sworn deposes and says that the information provided herein is true and sufficiently complete so as to not be misleading.

Subscribed and sworn before me this _____ Day of _____, _____

Notary Public: _____ My commission expires: _____

Form of Proposal

General Information

MBE SBE WBE DBE

Name of Company: _____

Contact Person: _____

Street Address: _____

City/State/Zip: _____

Main Office Regional Office Local Office

Corporation Partnership Sole Proprietorship LLC Joint Venture

Email Address: _____

Phone & Fax Number: _____

Section 1. COMPANY INFORMATION

1.1 Name of President/General Partners/Owner: _____

1.1.1 List of Corporate Officers, Partners, Proprietors, & Members of your Organization:

1.2 Parent Company: _____

1.3 Year Company Started: _____

1.3.1 State of Incorporation: _____ Date of Incorporation: _____

1.4 Other names your Company has operated under:

1.5 List any Subsidiaries and Affiliates of your Company: _____

1.6 Federal ID Number: _____

1.7 Licensing (attached)
Contractor's License Number: _____ State: _____ Expiration Date: _____
Contractor's License Number: _____ State: _____ Expiration Date: _____
Contractor's License Number: _____ State: _____ Expiration Date: _____

Form of Proposal

- 1.8 List jurisdictions and/or trade categories in which your Firm is legally qualified to do business. It is mandatory that the firm be legally qualified to do business in the State of Connecticut. If the Proposer is a joint venture, all joint venture partners must be qualified to do business in the State of Connecticut. Connecticut General Statutes: 20-341gg; 20-330 et seq.; 33-615.
- _____
- _____
- 1.9 Provide a recent letter from the Connecticut Secretary of State's Office that your firm currently legally exists in the State of Connecticut if applicable. This certificate must be dated no later than the date that is ten (10) days prior to the bid submission date.
- 1.10 Provide a letter from the Connecticut Department of Revenue Services indicating firm's account history.
- 1.11 Provide a list of references who can attest to having a record of harmonious relations with your firm. The list should include subcontractors, State and/or Municipal project administrators and any other projects which demonstrate harmonious relationships to the satisfaction of the University. Prompt payment to subcontractors is one factor to be considered by the University in evaluating relations with subcontractors and suppliers.

Section 2. RELEVANT EXPERIENCE AND TRAINING

- 2.1 Standard Trade of your Company relevant to this RFP: _____
- 2.2 List categories of work that your company normally performs with its own forces:
- _____
- _____
- _____
- 2.3 Describe any work under this Proposal where you may be required to use subcontractors and how you would select appropriate subcontractors:
- _____
- _____
- _____
- 2.3 Describe any external training programs, certifications, continuing training, conferences, technical training and/or other forms of professional development and programs that your employees receive:
- _____
- _____
- 2.4 Describe any internal training programs, certifications, technical training programs and/or other forms of professional development that your employees receive:
- _____

Form of Proposal

2.5 Please explain why you feel the above external and internal training programs, certifications, conferences, technical training and/or other forms of professional development and programs make your company qualified to carry out the responsibilities of this Contract:

2.6 Describe how your company ranks in the industry in terms of experience and training and how this impacts your performance relative to your industry peers:

Section 3. CLAIMS & SUITS

3.1 Within the past 5 years has your firm or any part of your firm; any owner, or partial owner of your firm; or any other person in any way associated with or employed by your firm ever been barred, suspended, disqualified or otherwise precluded from bidding or offering a proposal on contracts by any municipality or any agency of the State of Connecticut, other states, or the Federal Government? **YES / NO**

√ **If yes, on a separate page, include an explanation of any previous debarment and copies of any notice of reinstatement.**

3.2 State whether within the past 5 years you have been defaulted, terminated, or have had any liquidated damages or other contractual penalties for failures to timely or properly perform a contract assessed against you and indicate the current status of any litigation involving those transactions. **YES / NO**

√ **If yes, on a separate page, include an explanation of any previous default, termination or damage assessment and copies of any notice of reinstatement.**

3.3 State whether within the past 5 years you have been declared to be a non-responsible bidder or proposer on any public work project? **YES / NO**

√ **If yes, on a separate page, identify the project name, the Owner of the project and the date of the findings.**

3.4 Please indicate either yes or no to the following questions. You may attach a separate sheet to explain any yes answers. For any yes answer in response to the following questions please identify the offense, along with the location of the court or tribunal administering the matter, and the docket or proceeding number of the matter.

Form of Proposal

Has your firm or any part of your firm, any owner, or partial owner of your firm, or any person in any way associated with or employed by your firm ever:

- 3.4.1 Had a conviction or entry of a plea of guilty or nolo contendere for commission of a criminal offense as an incident to obtaining or attempting to obtain a public or private contract or subcontract or in the performance of such contract or subcontract? (Connecticut General Statute 31-57c) **YES / NO**
- 3.4.2 Had a conviction or entry of a plea of guilty or nolo contendere under state or federal law for embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or any other offense indicating a lack of business integrity or business honesty which affects responsibility as a contractor? (Connecticut General Statute 31-57c) **YES / NO**
- 3.4.3 Had a conviction or entry of a plea of guilty or nolo contendere under state or federal antitrust, collusion or conspiracy statutes arising out of the submission of bids or proposals? (Connecticut General Statute 31-57c) **YES / NO**
- 3.4.4 Been cited for noncompliance with contract provisions on a public project, of a character regarded by the awarding authority to be of such gravity as to indicate a lack of responsibility to perform as a state contractor, including deliberate failure, without good cause, to perform in accordance with specifications or time limits provided in a contract? **YES / NO**
- 3.4.5 Within the previous 5 years compiled a record of failure to perform or of unsatisfactory performance in accordance with the terms of one or more contracts, unless such failure to perform or unsatisfactory performance was caused by acts beyond your control? **YES / NO**
- 3.4.6 On a public project or contract, been cited for any other cause the awarding authority determined to be so serious or compelling as to affect responsibility as a state contractor, including disqualification by another governmental entity, having caused financial loss to the state or having caused a serious delay or inability of state officials to carry out their duties on a past contract or contracts? **YES / NO**
- 3.5 On a separate sheet of paper, identify all litigation or arbitration proceedings including out of court settlements initiated by or against you within the past five (5) years including all pending cases. List the name of the project, the project location and the court or arbitration number and location. Briefly describe, use a separate sheet if necessary, the circumstances and disposition of each case. Specifically identify and provide details of each instance of claims or legal proceedings by or against a public or private Owner. Please note that generalized responses such as "litigation arising in the ordinary course of doing business" are not acceptable.
- 3.6 On a separate sheet of paper, identify any OSHA citations within the past five (5) years under present business name or any past business name. Have you been cited for three or more willful or serious violations of OSHA, or of any standard, order or regulations promulgated pursuant to such Act which violations were cited in accordance with the provisions of any State Occupational Safety and Health Act or the Occupational Safety and Health Act of 1970 and which were not abated within the time fixed by the citation; and which citation has not been set aside following appeal to the appropriate agency or court having jurisdiction? Additionally list any criminal convictions related to the injury or death of any employee. (Connecticut General Statute 31-57b)
- 3.7 Have you appeared on any list published by the Connecticut State Labor Department of persons or firms that have been found by the National Labor Relations Board and by a final decision rendered by

Form of Proposal

a Federal Court to have been in violation of the National Labor Relations Act, 29 USC 151 et. seq. or to have been found in contempt of court by a final decision of a Federal Court for failure to correct a violation of the National Labor Relations Act on three or more occasions involving different violations? (Connecticut General Statute 31-57a) **YES / NO**

√ **If the answer to the preceding question is “yes” state the date of publication of such list by the Connecticut State Labor Department.** _____

3.7.1 On a separate sheet of paper, identify any instances within the previous five years in which you or any entity in which you have an interest, has appeared on a list published by the State of Connecticut Labor Department of persons or firms who the Labor Department has found you to have disregarded or violated your obligations to employees under Connecticut General Statutes 31-57f and/or subcontractors on public works projects under Connecticut General Statutes 31-53 and 31-76c (i.e. payment of prevailing wages and overtime payments) or in which you have been barred from Federal government contracts in accordance with the provisions of the Davis Beacon Act, 40 U.S. C. 276a-2. Describe in detail the circumstances of each violation, including but not limited to, the date and nature of the violation, the project on which the violation occurred, the source, if known, of any complaint giving rise to any Department of Labor investigation, the results of any such investigation, the penalty imposed or other action taken by the Department of Labor, any remedial action which was taken and any other resolution of any such complaint or violation. (Connecticut General Statute 31-53a)

3.7.2 On a separate sheet of paper, identify any instances in which any complaint has been made to, or any investigation or inquiry has been conducted by, the State of Connecticut Department of Labor regarding any alleged non-compliance by your or by any subcontractors on your previous projects, of any provision of Part III of Chapter 557 (Connecticut General Statutes Sections 31-52 through 31-57e, prevailing wage and other requirements) and Chapter 558 (Connecticut General Statutes Sections 31-58 through 31-761, minimum wage, overtime and other requirements) during the five calendar years immediately preceding this Proposal. Describe in detail the circumstances of each violation, including but not limited to, the date and nature of the violation, the project on which the violation occurred, the source, if known, of any complaint giving rise to any Department of Labor investigation, the results of any such investigation, the penalty imposed or other action taken by the Department of Labor, any remedial action which was taken and any other resolution of any such complain or violation.

√ If in the event that there were such instances as described in your responses, you are further required to provide with your Proposal a written statement of the policy and procedures you would implement on this project in an effort to insure that you and your subcontractors would remain in compliance with the statutory requirements for wage rates and payment of wages as noted above.

3.8 State whether you have ever been cited or penalized by any government agency for failure to comply with any affirmative action, non-discrimination, or other human rights requirements applicable to any work performed by you. If so, provide the date(s), details, disposition and docket number(s) for each such instance.

3.9 On a separate sheet of paper, identify any criminal charges, indictments or civil enforcement actions currently pending against you or your principals involving any of the offenses or violations referred to above? If so identify the offense(s), court docket number and status of proceeding(s).

Form of Proposal

3.10 Have you ever been found by the Connecticut Department of Public Works, or another State Agency to be in violation of the subcontractor listing requirements or other provisions of Connecticut General Statutes Section 4b-95? **YES / NO**

√ **If yes, on a separate page, indicate the nature, date and circumstances of any such violation.**

3.11 Have you ever been cited for or been the subject of a civil or criminal court proceeding alleging that you have violated the provisions of Connecticut General Statutes Sections 31-52 or 31-52a regarding providing preference to Connecticut citizens or residents in the construction of public buildings or works? **YES / NO**

√ **If yes, provide details concerning the date, circumstances and disposition of any such citation or court proceeding**

3.12 List all lawsuits or requested mediation/arbitration with regards to Fire Safety Services for the past five years. Provide names and reasons for protest.

3.13 Has your firm engaged in any bid or proposal protests over the past five years? Also, list the results of each instance by date, owner, consultant, project and court or administrative docket number and location as applicable.

3.14 Has any officer or principal of your organization ever been an officer or principal of another organization when it failed to properly perform its obligations under a contract for Fire Safety Services during the past 5 years? (If the answer is yes, please attach details.)

Section 4. MANAGERIAL ABILITY

4.1 List the Fire Alarm services experience and present commitments of the key individuals of your organization. Additionally list the personnel, together with their qualifications and resumes, of who would most likely be assigned to the project team for the services to be provided under the Contract. State the specific anticipated involvement of each individual in the project. Such proposed project team shall demonstrate through their resumes, relevant experience in like size projects, duration and scope as the one you are submitting to be qualified for.

4.2 Describe the managerial commitment of your organization to developing best practices in the development of Fire Safety programs and improving compliance reporting for your customers.

Section 5. TECHNICAL ABILITY

5.1 Describe the Quality Assurance/Quality Control/Code Compliance ("QA/QC/CC") Program and Procedures which your firm typically uses for full service maintenance contracts for fire and life safety systems and equipment, in order to assure that the services to be provided and the systems and equipment comply throughout the term of the Contract with the requirements of the Contract Documents and complies with all applicable Building and Fire/Safety Code requirements, manufacturers recommendations and other applicable laws. Your response should include, but not be limited to, a description of any and all installations, relocation and repair procedures and activities, the various steps and procedures and methods used in the QA/QC/CC process, the nature and qualifications of the internal team and/or organizations and process are being followed from the

Form of Proposal

planning, through performance of the services, and through any applicable warranty or post contract period, the methods used to report on inspections and observations such as, Quality Control reports, the methods to report to the Owner and to address and correct instances of contract and code non-compliance and the identification and repair of defects and deficiencies in the fire life safety systems and equipment, and whether your firm's QA/QC/CC program and procedures are in writing.

Please further state whether you intend to use the QA/QC/CC program and procedures described in response to the foregoing in the performance of the services under the Contract. If no, describe any differences.

Every Proposer is expected to have in place a QA/QC/CC program and procedures and to describe them in detail in response to this question. If your firm's programs and procedures are in writing, such as in the form of a manual, you should additionally attach a copy.

Attach a copy of your firms Health and Safety Plan which demonstrates your managerial commitment to the performance of the contract.

Section 6. OTHER REQUIREMENTS

- 6.1 Attach a sample copy of your Connecticut Workers Compensation Insurance Certificate. Also please provide your National Council on Compensation Insurance (NCCI) Experience Modification Sheet and state here your Workers Compensation Experience Modification: _____

If the Contractor's workers compensation experience modification rating is in excess of 1.00, the Contractor shall demonstrate to the satisfaction of the University with their submission, a letter detailing the reasons why your rating is in excess and what managerial commitment your firm is taking to reduce its rating as necessary for and satisfactory to the University for the proper performance of the work for which it intends to bid.

- 6.2 Please provide any other information which you feel would be appropriate or helpful for the University to consider in making its determination.

Form of Proposal

SCHEDULE A

SERVICE CONTRACTS THAT BEST PORTRAY YOUR QUALIFICATIONS FOR THE SELF PERFORMANCE OF THE SERVICES UNDER THE CONTRACT

Ideally a minimum of three (3) examples should be submitted that are in progress, at least 75% or more of the contract term has been completed, or preferably complete within the past five (5) years.

NO SUBSTITUTION OF FORMAT

PROJECT NAME: _____

PROJECT LOCATION: _____

PROJECT OWNER: _____

PERCENTAGE OF SERVICES PERFORMED WITH OWN FORCES: _____

CONTRACT DATES (MM/YY): _____

DATE OF COMMENCEMENT OF SERVICES: _____

DATE OF CONTRACT EXPIRATION: _____

ORIGINAL CONTRACT PRICE: _____

FINAL CONTRACT PRICE: _____

OWNER REFERENCE (NAME/TELEPHONE): _____

PROJECT DESCRIPTION (Indicate comparisons between the services to be provided under the Contract and the services performed in connection with the above mentioned contract):

FINAL CONTRACT COST (If the "Final Contract Cost" exceeds the "Original Contract Cost" by more than 3% please provide a brief explanation.)

KEY PERSONNEL ASSIGNED TO THE PROJECT (List the supervisor, office manager, etc. who had direct responsibility for the day-to-day management of this contract and state whether or not each person is still employed by your firm.)

With regard to a State contract as defined in Public Act 10-1 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 included below.

SEEC FORM 11
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Rev. 1/11

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

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (*italicized words are defined on the reverse side of this page*).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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

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

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly** *solicit* contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor or principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

DUTY TO INFORM

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

PENALTIES FOR VIOLATIONS

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

Civil penalties—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these

prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

CONTRACT CONSEQUENCES

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

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

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

Additional information may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "Lobbyist/Contractor Limitations."

DEFINITIONS

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

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-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, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

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

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

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

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

“Subcontractor” means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor’s state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. “Subcontractor” does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person’s capacity as a state or quasi-public agency employee.

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

this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the subcontractor.

Connecticut Economic Impact Form

This form is intended to gather general Connecticut economic impact information from prospective suppliers. This form shall be updated with each solicitation. This form is for informational gathering purposes only and will not be used in the evaluation of a prospective supplier's qualifications.

Date: _____

Company Name: _____

Location (City, State) of Principal Place of Business: _____

Date Registered to do Business in Connecticut: _____

Number of Connecticut Locations: _____

Number of Connecticut Employees: _____

Annual Payroll Paid to Connecticut State Residents: _____

Annual Taxes, Licenses, Fees Paid to Connecticut (this may be payroll, franchise, service taxes, etc.): _____

Annual Rent Paid within Connecticut or value of Real Property: _____

Annual Utilities Paid within Connecticut: _____

Amount paid to Major partners or suppliers in Connecticut: _____



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Representation
By Entity
For Contracts Valued at Less Than \$50,000

Written representation that 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 less than \$50,000 for each year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

REPRESENTATION OF AN ENTITY:

I, _____ , _____ , of _____ ,
Authorized Signatory Title Name of Entity

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

represent that I am authorized to execute and deliver this representation on behalf of

_____ and that _____
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Authorized Signatory Date

Printed Name



STATE OF CONNECTICUT

AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

Written or electronic affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq

INSTRUCTIONS:

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

CHECK ONE:

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
- I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
- I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.
- I am a contractor who has already filed an affirmation, but I am updating such affirmation either (i) no later than thirty (30) days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

IMPORTANT NOTE:

Within fifteen (15) days after the request of such agency, institution or quasi-public agency for such affirmation contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

AFFIRMATION:

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

* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website.

Signature

Date

Printed Name

Title

Firm or Corporation (if applicable)

Street Address

City

State

Zip

Awarding State Agency



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

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

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

CHECK ONE: Initial Certification 12 Month Anniversary Update (Multi-year contracts only.)
 Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

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

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "**Gift**" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Printed Contractor Name

Printed Name of Authorized Official

Signature of Authorized Official

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

Commissioner of the Superior Court (or Notary Public)

