



REQUEST FOR PROPOSAL
UNIVERSITY OF CONNECTICUT

CATERING SERVICES
HARTFORD EXECUTIVE MBA PROGRAM

RFP #KA093013

Issue Date: September 30, 2013

Mandatory Pre-Proposal Conference:
Wednesday, October 9, 2013 @ 10:00 AM (EDT)

Proposal Due Date: October 23, 2013 @ 2:00 PM (EDT)

Issued by:
Kristin Allen
Purchasing Agent II
Purchasing Department
3 North Hillside Road, Unit 6076
Storrs, CT 06269-6076
PH: (860) 486-0970
kristin.allen@uconn.edu

Firm's Name

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Attachments:	State Ethics Policy Memo CHRO Contract Compliance Regulations Bidder Contract Compliance Monitoring Report Mandatory Affidavits: <ul style="list-style-type: none">➤ Form 1 – “Gift and Campaign Certification”➤ Form 5 – “Consulting Agreement Affidavit” Non-Discrimination Certification Anti-Collusion Affidavit Connecticut Impact Form

**SECTION 1
PROJECT OVERVIEW**

- 1.1** The University of Connecticut Purchasing Department (hereinafter referred to as the “University”) in Storrs, Connecticut is requesting proposals (RFP’s) from experienced and qualified caterers to establish a University contract to continuously provide catering services to its Hartford Executive MBA Program for the period January 1, 2014 through December 31, 2014 at the 100 Constitution Plaza Campus, Hartford, CT.

Caterers interested in providing the required services should submit their discounted rates based on the following specifications, general terms and conditions, sample menus and tentative schedule of events.

- 1.2** In soliciting proposals, it is the University’s intent to establish a primary caterer for providing said services. However, the University reserves the right to make multiple awards resulting from this Request for Proposal (RFP). If at any time service is needed and cannot be provided by the primary vendor within the desired time frame, the University reserves the right to procure service from designated secondary or tertiary respondents.

Once an agreement is executed, the University will place orders using blanket purchase orders.

- 1.3** **Term**
The initial term of any contract resulting from this RFP will be effective from the date of award to December 31, 2014. By mutual written agreement of both parties, the resultant contract may be extended for four (4) additional one (1) year, subsequent periods or parts thereof. Such intent to renew shall be conveyed to the caterer in writing thirty (90) days prior to the effective date.

- 1.4** **Prices**
All prices and/or discounts offered in response to this Request for Proposal shall remain fixed for the full term of the contract. The rate per person/per day may not exceed \$52.00.

In the event that a renewal option is exercised, the rates quoted in response to this RFP shall not be altered, modified or changed in any respect.

- 1.5** **Value**
The total annual expenditures for the fiscal year 2012 - 2013 was approximately \$100,000.00. Because the total volume of catering services to be required for the year cannot be pre-determined, any contract resulting from this RFP will not guarantee a specific amount of business or income. It should 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.

- 1.6** **Specifications**
It is not the intent of these specifications to rule out or eliminate any prospective proposer. If the services you intend to propose do not comply with the specifications as written, you are instructed to attach to your proposal response a complete itemization and explanation for each deviation or variation to the specifications. The University may, at its discretion, consider or deny any deviation and purchase the services which best suit its intended use. The proposer shall not purposely propose services of a lesser quality, which requires deviation from the specifications, if the proposer can furnish the services which will comply with the minimum specifications.

1.7 Method of Award

Each proposal will be evaluated by a committee of interested individuals. The award shall be made to the most responsive and responsible bidder offering the best value and most economical proposal. The evaluation will not be disclosed until after the contract award. All proposers, in submitting responses, concur with this method of award and will not, under any circumstances nor in any manner dispute any award made using this method.

1.8 RFP Evaluation Criteria

The award of a “Catering Service” 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.

The award shall be made to the most responsive proposer 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:

A. Responsiveness to Specifications	10 Points
B. Demonstrated Satisfaction of Previous Clients	35 Points
C. Price/Quality/Variety/Flexibility of Menus	25 Points
E. Adherence to Quotation instructions	30 Points

Total Maximum Points Available: 100

1.9 Pre-Proposal Conference/Site Visit: A mandatory pre-proposal conference and site visit will 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.

Date/Time: October 9, 2013 @ 10:00 AM
Location: University of Connecticut
MBA Office
100 Constitution Plaza
Hartford, CT

Proposers must contact the Purchasing Agent below by written correspondence (fax or email acceptable) no later than 4:00 PM on October 8, 2013 to attend the conference.

Kristin Allen
Purchasing Agent II
University of Connecticut
Purchasing Department
3 North Hillside Road, Unit 6076
Storrs, CT 06269-6076
Email: kristin.allen@uconn.edu
Fax: (860) 486-5051

SECTION 2
TERMS AND CONDITIONS

2.1 Each vendor, by submitting a proposal, represents that the vendor has:

- 2.1.1.** Read and completely understands the RFP documents and attachments thereto.
- 2.1.2** Is familiar with the conditions under which services would be provided, including availability and cost of materials and labor.
- 2.1.3** Agreed that the offer shall be valid and irrevocable for a period of ninety (90) days from the date designated for the bid opening.

2.2 Receipt Of Proposals

- 2.2.1** The University will receive proposals at the Purchasing Department, 3 North Hillside Road, Unit 6076, Storrs, CT 06269-6076, until 2:00 p.m. (EDT) on **Wednesday, October 23, 2013**. Due to the complexity of the proposal, 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 Purchasing Department. All interested parties are, however, welcome to attend the proposal opening.
- 2.2.2** Any response received after the time specified for the receipt of proposals shall not be considered and shall be returned unopened.
- 2.2.3** Each proposer shall be solely responsible for the delivery of their proposal to the University at the place and before the time as specified in 2.2.1 above.
- 2.2.4** Unless otherwise noted elsewhere in this document, all materials submitted in response to this RFP shall become the property of the University of Connecticut upon delivery and are to be appended to any formal documentation which would further define or expand the contractual relationship of the University and the proposer.
- 2.2.5** The University reserves the right to reject any or all proposals received. 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 proposer exists, or after the University has rejected all proposals.
- 2.2.6** A proposer shall promptly notify the University of any ambiguity, inconsistency or error, which they may discover upon examination of the bidding documents.
- 2.2.7** 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 must be through the designated Purchasing Agent as noted in section 2.3.6.

2.3 Preparation of Proposals

- 2.3.1** Proposals shall include an exact copy of the "Form of Proposal". All applicable blank spaces shall be filled in, typewritten or in ink, and amounts shall be in both words and figures. If there is a discrepancy between the words and figures, the amount shown in words shall be deemed correct.

- 2.3.2** Proposers shall provide a written, itemized list of any exceptions to this RFP.
- 2.3.3** Proposals shall indicate the full name of the proposer submitting the proposal and shall bear the signature of the principal duly authorized to execute contracts for the proposer. The name of each person signing the proposal shall be typed or printed below the signature.
- 2.3.4** All erasures or corrections shall be initialed by the person(s) signing the proposal.
- 2.3.5** The terms and provisions of the RFP and any contract resulting from this RFP shall be construed in accordance with the laws of the State of Connecticut.
- 2.3.6** A proposer requiring clarification or interpretation of the RFP shall make a written request to the University to be received at least five (5) days prior to the date for receipt of proposals to:

Kristin Allen
University of Connecticut
3 North Hillside Road, Unit 6076
Storrs, CT 06269-6076
Phone: (860) 486-0970
E-Mail: kristin.allen@uconn.edu

- 2.3.7** Any interpretation, correction, or change of this RFP shall be made by addendum. Interpretations, corrections or changes of the RFP made in any other manner shall not be binding and proposers shall not rely upon such interpretations, corrections or changes. Any changes or corrections shall be issued by the University Purchasing Department.
- 2.3.8** Additional Charges - All additional charges, including but not limited to parking fees, insurance, equipment or other costs must be fully itemized and included in each proposal. Charges not specified in the proposal will not be honored unless agreed to in writing by the University Purchasing Department.
- 2.3.9** Addenda - All addenda shall be mailed or delivered to all who are known to have received the RFP. No addenda shall be issued later than seven (7) days prior to the date for receipt of bids except an addendum, if necessary, postponing the date for receipt of proposals or withdrawing the RFP.

2.4 Format of Proposal

- 2.4.1** All proposals must include a point-by-point response to this RFP, where required. Each such response must be cross referenced to the correspondingly numbered item in this RFP and described in as much detail as possible. Likewise, any samples and/or examples which are provided to support responses shall be labeled to correspond with the specific requirement in this RFP. This mandatory requirement will facilitate a more expedient evaluation of the proposals.
- 2.4.2** Failure to respond to all points may be grounds for rejection. Likewise, failure to supply any information requested to accompany proposals may cause rejection of the proposal as non-compliant. The University reserves the right to request additional information if clarification is needed.

2.5 Submittal of Proposals

2.5.1 Each proposal shall be submitted with an original and three complete copies, in a sealed parcel addressed to the University at the address given in paragraph 2.2.1 above. The sealed parcel shall further be identified with the name and address of the proposer and the designation "**Sealed Proposal for KA093013 CATERING SERVICES – Hartford Executive MBA Program**"

2.5.2 The complete response to this RFP shall include:

2.5.2.1 An original response and three complete copies of proposal response (Total 4),

2.5.2.2 An exact signed copy of the "Form of Proposal" included herein,

2.5.2.3 A comprehensive point-by-point response to all items listed herein. Additional sheets may be attached to this form as needed provided it follows the format provided.

2.5.2.4 Three (3) references,

2.5.2.5 Customized menus, one (1) week's worth,

2.5.2.6 A completed "Bidders Qualification Statement",

2.5.2.7 A completed "Contract Compliance Monitoring Report",

2.5.2.8 All original mandatory affidavits, completed, signed and notarized (See Section 2.26),

2.5.2.9 A completed "Non-Discrimination Certification",

2.5.2.10 Signature Authorization Documentation (See Section 2.29) (Form to be submitted by firm),

2.5.2.11 Anti-Collusion Affidavit,

2.5.2.12 Connecticut Impact Form.

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

2.5.4 No oral, telephonic or telegraphic proposals will be accepted. If a proposal is sent by mail, allowance should be made for the time required for such transmission. The officer whose duty is to open proposals shall decide when the specified time has arrived and no proposal received thereafter will be considered.

2.5.5 No responsibility will be attached to any person for the premature opening of any proposal which is not properly identified.

2.6 Modification or withdrawal of Proposals will be executed as follows:

2.6.1 A proposal shall not be modified, withdrawn or canceled by the proposer for a ninety (90) day period following the time and date assigned for the receipt of proposals as specified in paragraph 2.1.3 above and the proposer so agrees in submitting a proposal.

- 2.6.2 Prior to the time and date assigned for receipt, proposals submitted early shall be modified or withdrawn only by written notice to the University. Such notice shall be received by the University prior to the designated date and time for receipt of proposals as provided in paragraph 2.2.1.
- 2.6.3 Withdrawn proposals may be submitted up to the time designated for Receipt of Proposals provided they are then fully in conformance with these Terms and Conditions.

2.7 Format of Agreement

- 2.7.1 The response to this RFP will be considered an offer to contract. 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:
- 2.7.1.1 Accept a proposal as written by issuing a purchase order which refers to this RFP and accepts the proposal as submitted and no exceptions have been taken to any terms and conditions in the RFP. In this instance, the RFP, the response to the RFP and the purchase order constitute the entire contract; or
- 2.7.1.2 Enter into negotiations with one or more respondents in an effort to reach a mutually satisfactory agreement that 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.
- 2.7.2 Because the University may use the alternative described in above, each respondent should include in his or her 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.
- 2.7.3 The University reserves the right to award a contract not based solely on the firm with the most advantageous price, 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.
- 2.7.4 It is mutually agreed by and between the University and the firm that acceptance of the firms 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 license agreement format has been included for your review (See "State of Connecticut - Required Contract Provisions"). No exceptions will be considered to Section 2 of the agreement format. This may be grounds for disqualification.**
- 2.7.5 The University expressly reserves the right to negotiate prior to an award, any contract which may result from this RFP.

2.8 Qualifications of Vendors

- 2.8.1 Proposals will only be considered from firms or persons with a demonstrated history of experience in successfully providing the highest quality Catering Service to organizations whose requirements are similar in size and scope to those of the University. Preference will be given to those firms with such confirmed experience.

2.8.2 Prospective vendors must be prepared to provide any evidence of experience, performance ability and/or Financial Surety the University deems necessary to fully establish the performance capabilities represented in their Proposal.

2.8.3 The University will reject the proposal of any vendor and void any award resulting from this RFP to any vendor who makes any material misrepresentation in their proposal.

2.9 Assignment

Any contract resulting from this RFP may not be assigned or transferred without the prior written consent of both parties.

2.10 Non-Appropriation of Funds

Notwithstanding any other provision of this RFP or any ensuing contract, if funds anticipated for the continued fulfillment of the contract are at any time not forthcoming or insufficient, either through the failure of the Connecticut Legislature to provide funds or alteration of the program under which funds were provided, then the University shall have the right to terminate the contract without penalty by giving not less than thirty (30) days written notice documenting the lack of funding. Unless otherwise agreed to, the contract shall become null and void on the last day of the fiscal year for which appropriations were received; except that if an appropriation to cover the costs of this contract becomes available within sixty (60) days subsequent to termination under this clause, the University agrees to reestablish a contract with the vendor whose contract was terminated under the same Provisions, Terms and Conditions of the original contract.

2.11 Indemnification

The Contractor shall indemnify and hold harmless the State of Connecticut, including any agency or official of the State of Connecticut from, and against all costs, claims, damages, or expenses, including reasonable attorney's fees, arising from its negligent acts or omissions in connection with the performance of any Contract resulting from this solicitation.

2.12 Termination for Cause

The University may terminate any resulting Contract for cause by providing a written Notice to Cure to the Contractor citing the instances of noncompliance with the contract. The Contractor will 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 will 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 Contract at that time by written notice of such termination.
- (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 at that time by written notice of such termination.
- (d) The University will 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 (a) of this Section 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.

2.13 Termination for Convenience

- (a) The University may terminate any resulting Contract in whole or in part whenever, 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) If the Contract is terminated by the University pursuant to this section, the University will provide the Contractor sixty (60) days written notice of such intention. In the event of such termination, the Contract Administrator and/or designee will notify the Contractor by certified mail, return receipt requested. Termination will be effective as of the close of business on the date specified in the notice.

2.14 Responsibility of those Performing the Work

2.14.1 The vendor shall be responsible for the acts and omissions of all the vendor's employees and all subcontractors, their agents and employees and all other persons performing any of the work under a contract with the vendor.

2.14.2 The vendor shall at all times enforce strict discipline and good order among the vendor's employees and shall not employ any unfit person or anyone not skilled in the task assigned.

2.14.3 Incompetent or incorrigible employees shall be dismissed from the project by the vendor when so determined by the University, and such persons shall be prohibited from returning to the project without written consent of the University.

2.15 Payment Terms

Payment terms shall be 2% 15 days net 45 days, unless otherwise stated in the Form of Proposal.

2.16 References

All offers shall include at least three (3) references similar in size and scope to the University using goods and services as described in these documents. At a minimum, a name, telephone number, email address and contact person familiar with products and service performed shall be provided.

2.17 Contract Provisions by Reference

It is mutually agreed by and between the University and the vendor that acceptance of the vendor's offer by the issuance of a Purchase order shall create a contract between the parties thereto containing all Specifications, Terms and Conditions in this RFP except as amended in the Purchase order.

2.18 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. Further, the University reserves the right to invoke Contract Termination for Cause, Sec. 2.12, for repeated violations.

2.19 Insurance Requirements and Surety

2.18.1 Within 10 days of notification of award the successful bidder must provide a certificate of insurance that indicates coverage **naming the University of Connecticut as Additional Insured** and indicating coverage for a minimum of:

2.18.2 Worker's Compensation Insurance must meet statutory requirements of the laws of the State of Connecticut and any additional requirements of the University of Connecticut. A statutory exemption from Worker's Compensation shall not be deemed a satisfactory

alternate to meeting this requirement. In no event shall an award be made to any firm failing to provide such evidence in a form satisfactory to the University.

2.18.3 Public Liability insurance in the amount of \$1,000,000.00

2.18.4 Property damage insurance in the amount of \$1,000,000.00

2.18.5 As to insurance required by this agreement, a certified copy of each of the policies or a certificate or certificates evidencing the existence thereof, or binders, shall be delivered to the University within fifteen (15) days after the tentative award of this agreement. In the event any binder is delivered, it shall be replaced within thirty (30) days by a certified copy of the policy or a certificate in lieu thereof. Each such copy or certificate shall contain a valid provision or endorsement that the policy may not be canceled, terminated, changed or modified without giving thirty (30) days written advance notice thereof to the University's representative and that the insurance reflected thereon meets the minimum requirements of the proposal. A renewal policy or certificate shall be delivered to the University at least thirty (30) days prior to the expiration date of each expiring policy. If at any time any of the policies shall be or become unsatisfactory to the University as to form or substance, or if any of the carriers issuing such policies shall be or become unsatisfactory to the University, the Proposer shall promptly obtain a new and satisfactory policy in replacement upon such written notice from the University.

2.19 Ethical Considerations

The proposing vendor may be required to 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 the 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.

2.20 Standard Wage Rate

Contractors must comply with all provisions of Substitute Senate Bill No. 1056, **Public Act No. 99-142, An Act Setting Standard Wage Rates for Certain Service Workers.** Information regarding this Public Act and when it applies can be obtained from DOL's web site: <http://www.ctdol.state.ct.us/wgwkstnd/99-142guide.htm>. Questions concerning the provisions and implementation of this act should be referred to Gary W. Pechie, Director, Connecticut Department of Labor, Wage and Workplace Standards Division, 200 Folly Brook Blvd., Wethersfield, Ct 06109-1114 (860) 263-6790 or his designated representative.

2.21 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.

2.22 Campaign Contribution Restrictions

Campaign Contribution Restrictions. For all State contracts 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 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.

2.26 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

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

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

2.27 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].

2.28 Non-Discrimination Certification (Mandatory Submittal):

(a) For purposes of this Section, the following terms are defined as follows: (i) "Commission" means the Commission on Human Rights and Opportunities; (ii) "Contract" and "contract" include any extension or modification of the Contract or contract; (iii) "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor; (iv) "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose; (v) "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations; (vi) "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; (vii) "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced; (viii) "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric

Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders; (ix) "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 Connecticut General Statutes § 32-9n; and (x) "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

(b) (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, gender identity or expression, mental retardation, mental disability 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; and 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, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the 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 the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the 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 Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (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 Connecticut General Statutes § 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 projects.

(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 subsection (b) 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 Connecticut General Statutes §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.

(f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.

(g) (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 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 Connecticut General Statutes § 46a-56; and (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 Connecticut General Statutes § 46a-56.

(h) The Contractor shall include the provisions of the foregoing paragraph 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 Connecticut General Statutes § 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.

2.29 Signature Authorization Documentation (Mandatory Submittal):

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 Purchasing Department's web page: <http://www.purchasing.uconn.edu/corpres/corpres.html>

2.30 Whistle Blower 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.

SECTION 3 SPECIFICATIONS

3.1 Scope

Meals will be served buffet style for approximately 70 people with all china, flatware and linens provided by caterer. All meals will be served at the UConn School of Business Graduate Business Learning Center located at 100 Constitution Plaza, 2nd floor, Hartford, CT. See following Section 3.6 for breakfast, lunch and breaks. The schedule will typically be the first Friday/Saturday of the month and the third Saturday of the month.

3.2 Mandatory Site Examination

Proposer is cautioned to become thoroughly familiar with the location of the proposed service on which the proposal responses are submitted by personal examination thereof before submission of proposals. No allowance or concession will be made by the University because of the character or extent of service required.

To make an appointment to do a walk through evaluation, please contact Patricia Ryiz at patricia.ryiz@uconn.edu or (860) 728-2410 no later than 9/7/12.

3.3 Successful proposer must supply **all equipment and serving utensils deemed necessary to provide services as required.** Tables and chairs are available on the premises.

3.4 Successful proposer to provide at a minimum one (1) professional well-trained and appropriately dressed person for setup, serving, refills, and clearing tables. The successful proposer will prepare and serve food in a professional manner in accordance will all applicable State and local health and safety regulations.

3.5 Food Requirements

All foods, fruits and vegetables must be fresh, not frozen or canned and of the highest quality. Meals must be served hot on ambient or warm temperature dishes. The majority of the preparation of the meals must be done at the Caterer's kitchen and not on the premises of 100 Constitution Plaza due to the lack of available equipment and space. The successful proposer must be able to provide all necessary equipment for proper transportation of hot and cool items and proper catering equipment to work at the 100 Constitution Plaza location.

3.6 All proposers will submit with their proposal response one week's worth of sample menus indicative of the meals to be offered based on the following guidelines:

3.6.1 Continental breakfast: 7:45 AM – 8:30 AM (Estimated 35 days)

Suggestions: Scrambled eggs, bacon, sausage, ham, pancakes, French toast, Fresh fruit platter, bagels with cream cheese, muffins (variety, regular and low-fat), assorted croissants (fruit filled and plain), assorted scones, cinnamon buns, crumb cakes, Danish, donuts, assorted individual yogurts, assorted individual cereals, regular, flavored and decaffeinated coffee, assorted herbal teas, orange and cranberry juice, assorted sodas and bottled waters.

** Gourmet coffee (flavored, regular and decaf), tea (regular and flavored), soft drinks, water and assorted fruit juice available throughout the day.

3.6.2 Coffee service: 10:00 AM – 10:30 AM (Estimated 35 days)

Keep and refresh breakfast items.

3.6.3 Lunch: 12:00 PM – 1:00 PM (Estimated 35 days)

Suggestions: Pre-made gourmet sandwiches (French bread, pita, wraps, etc. with fillings such as sliced tenderloin, smoked turkey breast, chicken salad, etc.);

Soups;

Garden salad with mixed greens and assorted vegetables, choice of dressings;

Two (2) warm entrees should be comparable to the following:

Beef tenderloin with mushroom sauce and buttered noodles;

Home-made spinach lasagna;

Roast pork loin stuffed with fruit

Pasta and spaghetti sauce

Potato, rice, noodle selection (such as red roasted potatoes, rice pilaf, curried rice noodles);

Warm vegetable selection;

Two (2) dessert selections (such as cheesecake with topping, coconut cream pie, chambourd cake, etc.);

Fresh fruit;

Vegetarian/Vegan meals;

Gluten Free (and/or other dietary requirements) meals;

Regular, flavored and decaffeinated coffee;

Assorted herbal teas;

Orange and cranberry juice;

Assorted sodas and bottled waters.

3.6.4 Afternoon Break: 2:30 PM – 3:15 PM (Estimated 35 days)

Suggestions: Gourmet, home-style cookies, brownies, whole fresh fruit, an assortment of chips, pretzels, trail mix, finger foods such as gummy bears, M&Ms, etc.;

Regular, flavored and decaffeinated coffee;

Assorted herbal teas;

Orange and cranberry juice;

Assorted sodas and bottled waters.

3.6.5 Estimated attendance of approximately seventy (70) persons per meal. Guaranteed number to be provided to caterer one week in advance.

3.6.6 Menus submitted must be customized to the above specifications. **Submittal of a vendor's pre-printed standard menu or Price will not be acceptable and will be rejected as non-compliant.**

3.7 Tentative Schedule of Events

Beginning Saturday January 4, 2014: provide catering service every other weekend to include but not limited to: (2014) 1/4, 1/17-1/18, 2/1, 2/8, 2/15, 3/1, 3/14-3/15, 3/29, 4/5,4/26, 5/9-5/10, 5/17, 5/31, 7/12, 7/25-7/26, 8/9, 8/23, 9/6, 9/19-9/20, 10/4, 10/18, 11/1, 11/14-11/15, 12/6, 12/13

Total: 31 days

The exact number of students has not been established yet as students are still being admitted.

In addition to the above tentative schedule, this contract may cover other yet-to-be determined functions. These functions may be for other UConn departments at the 100 Constitution Plaza campus location.

3.8 The successful proposer is responsible for complete clean-up of all events, including removal of trash from site into designated trash receptacles.

3.9 The successful proposer is responsible for securing all necessary licenses for its food service operation. Such licenses include, and are not limited to, licenses from state and local health officials, the State of Connecticut Department of Consumer Protection and a temporary food service application that must be completed and posted with the Environmental Health and Safety Department at the University of Connecticut prior to any catering event held on University property. The successful proposer also agrees to post any such licenses as may be required by a licensing authority.

3.10 The successful proposer must identify and supply for all events all equipment: china, linens and serving utensils, or paper and plastic as determined by the department representative.

3.11 The successful proposer will hire, train, and manage all of its employees in accordance with State of Connecticut regulations. The successful proposer shall be solely responsible all of its operating expenses incurred during its operation, including but not limited to wages, salaries, training, fringe benefits, the cost of food and beverages, supplies, replacement of supplies and any and all janitorial and/or maintenance services in the kitchen and the serving area.

3.12 The successful proposer will not use or permit brand identification or advertising displays without the express written approval of the University Director of Trademark Licensing.

3.13 **Please provide a narrative along with your proposal response describing the following:**
(use the space below or attach separate piece of paper to your proposal response)

3.13.1 How your food is prepared according to the above quality and logistical requirements.

3.13.2 Document your experience catering three other recent events similar in size and scope (must provide a contact name and telephone number for reference).

3.13.3 Describe in written detail the experience/level of professionalism of your serving staff. Provide names all serving staff, supervisory personnel, such as principals, supervisors, sales and delivery representatives, 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.

3.14 The University reserves the right to cancel, add or reschedule dates and times with a 24 hour notice to the caterer(s), without penalty. Vendor must comply with changes of dates.

**SECTION 4
FORM OF PROPOSAL
RFP# KA093013
Catering Services for the Hartford Executive MBA Program**

Date: 10/23/2013

To: The University of Connecticut
Purchasing Department
3 North Hillside Road, Unit 6076
Storrs, CT 06269-6076

1. The undersigned proposer, in response to your Request for Proposal for the above referenced contract, having examined the Request for Proposal and being familiar with the conditions surrounding the proposed project including availability of labor and supplies, hereby proposes to provide catering services in accordance with the following:

1.1 **Morning Continental Breakfast for approximately 70 People** (specification section 3.6.1)
(Total Cost should be an all inclusive price for Linens, China/Flatware, Rentals (if applicable), Price of meals, Gratuity, Service, Tax Exempt)

Total Cost \$ _____ **per person**

1.2 **Coffee Service for approximately 70 people** (specification section 3.6.2)
(Total Cost should be an all inclusive price for Linens, China/Flatware, Rentals (if applicable), Price of meals, Gratuity, Service, Tax Exempt)

Total Cost \$ _____ **per person**

1.3 **Beverages available throughout the day for approximately 70 people** (specification section 3.6.1)
(Total Cost should be an all inclusive price for Linens, China/Flatware, Rentals (if applicable), Price of meals, Gratuity, Service, Tax Exempt)

Total Cost \$ _____ **per person**

1.4 **Lunch Buffet for approximately 70 people** (specification section 3.6.3)
(Total Cost should be an all inclusive price for Linens, China/Flatware, Rentals (if applicable), Price of meals, Gratuity, Service, Tax Exempt)

Total Cost \$ _____ **per person**

1.5 **Afternoon Break for approximately 70 people** (specification section 3.6.4)
(Total Cost should be an all inclusive price for Linens, China/Flatware, Rentals (if applicable), Price of meals, Gratuity, Service, Tax Exempt)

Total Cost \$ _____ **per person**

Total per person cost items 1.1 through 1.5 \$ _____ **per person**

Please provide a complete and comprehensive breakdown (food cost, labor, linens, etc.) of the per person rate provided on an additional sheet of paper.

2. Proposer acknowledges receipt of the following addenda that are a part of the proposal documents:

#1 _____ #2 _____ #3 _____
Date Date Date

3. Proposer understands that the University reserves the right to reject any and all proposals, waive irregularities or technicalities in any proposal, and accept any proposal in whole or in part which it deems to be in its best interest.

4. Proposer agrees that this proposal shall be good and may not be withdrawn for a period of sixty (90) calendar days after the public opening and reading of the proposals.

5. Proposer hereby certifies that: (a) this proposal is genuine and is not made in the interest of or on behalf of any undisclosed person, firm or corporation; (b) the proposer has not directly or indirectly induced or solicited any other proposer to put in a false or sham proposal; (c) the proposer has not solicited or induced any person, firm or corporation to refrain from submitting a proposal; and (d) the proposer has not sought by collusion to obtain any advantage over any other proposer or over the University.

6. Payment terms: _____

Signed this _____ day of _____, 20____

Firm Name: _____

FEIN# _____

Address: _____

Duly Authorized _____

Title: _____

Email: _____

**SECTION 5
REFERENCES**

Proposals should include three references where your organization is currently providing catering services of the type you are proposing for the University of Connecticut. Please include name, title, email address and telephone number of a contact person at each institution.

References:

Reference #1

Company	
_____	_____
Contact	Telephone No.

Title	

Email	

Reference #2

Company	
_____	_____
Contact	Telephone No.

Title	

Email	

Reference #3

Company	
_____	_____
Contact	Telephone No.

Title	

Email	

SECTION 6
BIDDER'S QUALIFICATION STATEMENT

All proposers are required to file this form, properly completed, WITH THEIR PROPOSAL RESPONSE. Failure of a proposer 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? _____

5. This firm is a: _____ Corporation _____ Partnership _____ Sole Proprietorship

_____ Joint Venture _____ Other

_____ Women Owned _____ Minority Business _____ Set Aside Contractor

6. **Provide names** all supervisory personnel, such as Principals, Supervisors, and Sales Representatives, 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	Years/supervisor	Telephone/Fax #'s
------	-------	------------------	-------------------

_____	_____	_____	_____
-------	-------	-------	-------

Email: _____

SECTION 7
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**

and

(hereinafter *the "University"*)

(hereinafter *the "Contractor"*)

Kristin Allen
860-486-0970
University Contract Administrator/Phone

Name
Telephone Number
Contractor Contact/Phone

Section 1 – Specific Terms and Conditions

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

1.1.1 **Effective Date:** _____ **End Date:** _____

1.1.2 **Extension of Term:** By mutual agreement of the parties, this Agreement may be extended for ____ (___) additional ____ (___) year subsequent periods or parts thereof. 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 expiration of the then current term.

1.2. Brief Summary of Services: The Contractor will provide top quality meals and refreshments for _____.

1.2.1 **Service Location:** The Contractor will provide such catering food service for the University's main campus at Storrs, its Depot campus at Mansfield, and any location within the State of Connecticut as designated by the University. Contractor agrees to perform the services at the location designated by the University and such location shall not be rejected by the Contractor for any reason, including distance.

1.3 Maximum Amount Payable: \$ _____ .00

The total cost for this Agreement shall not exceed the maximum amount payable of \$ _____, and will be based on rates and charges set forth in section 1.3.1 below.

1.3.1 Payment/Pricing Terms: The Contractor will be paid for services rendered hereunder in accordance with the following customized menu and pricing:

1.3.2 Prices shall remain fixed for the duration of the contract.

1.3.3 Invoices will be submitted and paid Net forty-five (45) days.

1.3.4 The Contractor shall assume all of the costs of performing its responsibilities under this Agreement, including but not limited to all transportation, set-up and clean-up for the events, wages, salaries, training, fringe benefits, the cost of food and beverages, supplies, replacement of supplies.

1.4 Detailed Contractor Responsibilities: The Contractor will provide

1.4.1 The Contractor will provide food service and beverage service to fit the needs of, and as agreed upon by, the University of Connecticut. All foods, fruits and vegetables must be fresh, not frozen or canned and of the highest quality. When necessary, meals must be served hot on ambient or warm temperature dishes. The majority of the preparation of the meals must be done at the Caterer's kitchen and not on the premises of the workshop location due to the lack of available equipment and space. The Caterer must be able to provide all necessary equipment for proper transportation of hot and cool items and proper catering equipment to work at the workshop location.

1.4.2 The catered food service to be provided should use the following as guidelines. The Contractor should provide a range of menu offerings for the University.

Continental breakfast: 7:45 AM – 8:30 AM

Suggestions: Scrambled eggs, bacon, sausage, ham, pancakes, French toast, Fresh fruit platter, bagels with cream cheese, muffins (variety, regular and low-fat), assorted croissants (fruit filled and plain), assorted scones, cinnamon buns, crumb cakes, Danish, donuts, assorted individual yogurts, assorted individual cereals, regular, flavored and decaffeinated coffee, assorted herbal teas, orange and cranberry juice, assorted sodas and bottled waters.

** Gourmet coffee (flavored, regular and decaf), tea (regular and flavored), soft drinks, water and assorted fruit juice available throughout the day.

Coffee service: 10:00 AM – 10:30 AM

Keep and refresh breakfast items.

Lunch: 12:00 PM – 1:00 PM

Suggestions: Pre-made gourmet sandwiches (French bread, pita, wraps, etc. with fillings such as sliced tenderloin, smoked turkey breast, chicken salad, etc.); Soups; Garden salad with mixed greens and assorted vegetables, choice of dressings; Two (2) warm entrees should be comparable to the following:

Beef tenderloin with mushroom sauce and buttered noodles; Home-made spinach lasagna; Roast pork loin stuffed with fruit; Pasta and spaghetti sauce; Potato, rice, noodle selection (such as red roasted potatoes, rice pilaf, curried rice noodles); Warm vegetable selection; Two (2) dessert selections (such as cheesecake with topping, coconut cream pie, Chambord cake, etc.); Fresh fruit; Vegetarian/Vegan meals; Gluten Free meals; Other dietary requirements; Regular, flavored and decaffeinated coffee; Assorted herbal teas; Orange and cranberry juice; Assorted sodas and bottled waters.

Contractor acknowledges that vegetarian/vegan meals, gluten-free meals and other meal options may be required under this Agreement, and agrees to provide such menu offerings upon request by the University.

Afternoon Break: 2:30 PM – 3:15 PM (Estimated 35 days)
Suggestions: Gourmet, home-style cookies, brownies, whole fresh fruit, an assortment of chips, pretzels, trail mix, finger foods such as gummy bears, M&Ms, etc.; Regular, flavored and decaffeinated coffee; Assorted herbal teas; Orange and cranberry juice; Assorted sodas and bottled waters.

1.4.3 Contractor shall supply all equipment, serving utensils, linens and high quality disposable service, or paper and/or plastic as determined by the University representative. Tables and chairs will be available at the location(s).

1.4.4 Contractor is responsible for complete clean-up of all events, including removal of trash from site into designated trash receptacles unless determined by the University representative.

1.4.5 Contractor shall hire, train, and manage all employees in accordance with State of Connecticut regulations. Contractor shall be solely responsible for the employees and their actions and shall pay all employment taxes, workers' compensation insurance, benefits, salaries, wages and other related expenses with respect to said employees and shall otherwise supervise and control said employees.

1.4.6 Contractor shall not permit the drinking of alcoholic beverages and or the use of controlled substances by employees during the performance of this Agreement. The Contractor shall also not permit employees to carry dangerous weapons or have them in their possession while at an event location. The Contractor shall immediately dismiss any person violating such prohibitions.

1.4.7 The Contractor will not use or permit brand identification or advertising displays without the prior express written approval of the University.

1.4.8 The Contractor will prepare and serve food in a professional manner in accordance with the health and safety standards of the State of Connecticut Department of Health, the Environmental Health and Safety Department at the University of Connecticut and all other applicable statutes, rules and regulations. The Contractor will be responsible for obtaining and will bear all costs associated for all licenses and certifications required by local and/or state health agencies. All licenses will be renewed as required by the licensing authority and the Contractor must provide the University a copy of all new and renewed licenses.

1.4.9 The Contractor must be able to accommodate special dietary needs of program participants who may have serious medical allergies. The Contractor will be notified of dietary restrictions for customers when the University provides the confirmation of attendees one week in advance of the event.

1.5 Ordering. The Contractor will provide food service on specific program dates to be provided. The University will confirm the final number of attendees five days prior to the event. The Contractor will deliver food to the designated location, will set up a luncheon food service for the indicated number of people and will clean up the area after the luncheon is complete.

1.5.1 The University will provide a final headcount for a luncheon not less than one week (7 days) prior to each luncheon date.

1.5.2 The University reserves the right to cancel, add or reschedule dates and times with 24 hour notice to the Contractor, without penalty. The Contractor must comply with rescheduled dates provided by University, if any.

1.5.3. The Contractor shall provide an account representative to the University who will:

- a. provide all price and availability information as required;
- b. provide assistance to the University in scheduling services and resolving customer service issues; and
- c. devote as much time as necessary to effectively meet the needs of the University.

1.6 Confidentiality. The Contractor and its employees will not disclose information acquired in connection with the performance of services under this Agreement which is proprietary or confidential in nature to the University without written permission from the University. This confidentiality obligation will continue in effect even after this Agreement has expired or is terminated for any reason.

1.7 Records: The Contractor shall keep accurate records of financial or working processes and any records relative to the performance of this Agreement. The Contractor shall make such books and records available for inspection and audit by any person designated by the University at all reasonable times during business hours.

The Contractor shall retain all books, records, and other documents concerning performance of this Agreement for at least three (3) years after expiration or earlier termination of this Agreement or final payment made under it. The Contractor shall, upon request of the University, allow the University to have full access to, and the right to examine, any such documents during such period and the during period the Agreement is in effect.

1.8 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:

University of Connecticut
Attention: Kristin Allen
3 North Hillside Road, Unit 6076
Storrs, CT 06269;

If to the Contractor:

Either party may change its notice information by giving written notice to the other party in accordance with this Section 1.8.

Section 2 - State of Connecticut Required Terms and Conditions

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 shall secure and pay the premium or premiums of the following policies of insurance with respect to which minimum limits are fixed in the schedule set forth below. Each such policy shall be maintained in at least the limit fixed with respect thereto, and shall cover all of the Contractor's operations hereunder, and shall be effective throughout the term of this Agreement and any extension thereof. It is not the intent of this schedule to limit the types of insurance required herein. The insurance coverage listed in the following, is in accordance with the State of Connecticut Insurance and Risk Management Board requirements.

- (a) Commercial General Liability
 - 1. Each Occurrence \$1,000,000
 - 2. Products/Completed Operations \$1,000,000
 - 3. Personal and Advertising Injury \$1,000,000
 - 4. General Aggregate \$2,000,000
 - 5. Fire Legal Liability \$ 100,000

The insurance shall provide for a retroactive date of placement prior to or coinciding with the effective date of this Agreement.

- (b) Business Automobile Liability: Minimum Limits for Owned, Scheduled, Non Owned, or Hired Automobiles with a combined single limit of not less than \$1,000,000 per occurrence.
- (c) Workers' Compensation and Employer's Liability: As required under state law.
- (d) Such other insurance in such amounts which from time to time may reasonably be required by the mutual consent of the University and the Contractor against other insurable hazards relating to performance.

2.3.1 All policies of insurance provided for in this Section shall be issued by insurance companies with general policyholder's rating of not less than A- and a financial rating of not less than Class VIII as rated in the most current available A.M. Best Insurance Reports and be licensed to do business in the State of Connecticut. All such policies shall be issued in the name of Contractor, and shall name, as Additional Insured, The State of Connecticut, University of Connecticut, its officers, officials, employees, agents, boards and commissions with respect to liability arising out of the operations of the Contractor under this Agreement. Certificates thereof shall be delivered to the University prior to the commencement of this Agreement and thereafter certificates thereof shall be delivered to the University within ten (10) days prior to the expiration of the term of each such policy, all at no cost to the University. All certificates delivered to the University shall contain a provision that the company writing said policy will give to University at least twenty (20) days' notice in writing in advance of any material change, cancellation, termination or lapse of the Effective Date of any reduction in the amounts of insurance below the requirements of the Lease. Policies shall waive the right of recovery against the University and shall be primary.

2.4. Indemnification: The Contractor shall indemnify and hold harmless the State of Connecticut, including any agency or official of the State of Connecticut, from and against all costs, claims, damages, or expenses, including reasonable attorney's fees, arising from its acts or omissions in connection with the performance of this Agreement.

2.5. Governing Law: This Agreement shall be construed in accordance with and governed by the laws of the State of Connecticut without regard to principals of conflicts of laws.

2.6. Non-discrimination:

- (a) For purposes of this Section, the following terms are defined as follows: (i) "Commission" means the Commission on Human Rights and Opportunities; (ii) "Contract" and "contract" include any extension or modification of the Contract or contract; (iii) "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor; (iv) "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-

related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose; (v) "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations; (vi) "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; (vii) "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced; (viii) "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders; (ix) "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 Connecticut General Statutes § 32-9n; and (x) "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

(b) (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, gender identity or expression, mental retardation, mental disability 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; and 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, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the 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 the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the 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 Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (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 Connecticut General Statutes § 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 projects.

(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 subsection (b) 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 Connecticut General Statutes §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.

(f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.

(g) (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 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 Connecticut General Statutes § 46a-56; and (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 Connecticut General Statutes § 46a-56.

(h) The Contractor shall include the provisions of the foregoing paragraph 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 Connecticut General Statutes § 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. Vendor Code of Conduct. In furtherance of its longstanding commitment to fundamental human rights, to the dignity of all people, and to the environment, the University has developed the Code of Conduct for University of Connecticut Vendors (the "Vendor Code of Conduct"). Contractor hereby acknowledges receipt of the Vendor Code of Conduct. A copy of the Vendor Code of Conduct is available at <http://csr.uconn.edu/>. The Vendor Code of Conduct is hereby incorporated herein by reference to the extent Contractor is required to comply with the same pursuant to this section.

Contractor agrees to comply with the "Principal Expectations" described in the Vendor Code of Conduct. Contractor further agrees to comply with the "Preferential Standards" described in the Vendor Code of Conduct, to the extent a commitment to so comply, or a representation of compliance, was provided by Contractor to the University in writing. Any such commitment or representation is hereby incorporated herein by reference. Contractor agrees to provide the University with such evidence of Contractor's compliance with this section as the University reasonably requests and to, at the request of the University, provide a comprehensive, annual summary report of Contractor's corporate social and environmental practices.

2.8. 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.

2.9. Campaign Contribution Restrictions: For all State contracts 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 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.

2.10. Termination:

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

(i) If the Contractor and the University reach an agreed-upon solution, the Contractor will then have thirty (30) days after such agreement is reached to cure the noncompliance cited in the Notice to Cure.

(ii) 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 at that time by written notice of such termination.

(iii) 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 at that time by written notice of such termination.

(iv) The University will be obligated only for those goods or Services rendered and accepted prior to the date of Notice of Termination is received by the Contractor.

(v) Remedies for Default: If the solution mutually agreed-upon pursuant to subsection (i) of this Section 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.

(b) *Termination for Convenience.*

(i) The University may terminate this Agreement in whole or in part whenever, for any reason, the University shall determine that such termination is in the best interest of the University and/or the State of Connecticut.

(ii) If this Agreement is terminated by the University pursuant to this section, the University will provide the Contractor thirty (30) days' written notice of such intention. In the event of such termination, the Contract Administrator and/or designee will notify the Contractor by certified mail, return receipt requested. Termination will 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 approved by the Office of the Attorney General. The Contractor acknowledges and agrees that 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

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

UNIVERSITY OF CONNECTICUT

CONTRACTOR NAME HERE

By: _____

By: _____

Print Name: _____

Print Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

OFFICE OF THE ATTORNEY GENERAL OF THE STATE OF CONNECTICUT

Approved as to Form

By: _____

Associate Attorney General

Date: _____

EXHIBIT A

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.

Section 8
Travel Directions for Pre-Proposal Conference

**UConn School of Business Graduate Learning Center
100 Constitution Plaza, Hartford CT
TEL: 860.728.2400**

DIRECTIONS (*Parking is located in Constitution Plaza North Garage*)

I-91 Southbound

Take the State Street Exit

At 2nd light, turn right onto Market Street

At 1st light, turn right onto Kinsley Street

The Constitution Plaza North Garage entrance will be a ½ block on the left*

I-91 Northbound

Take exit 32B Trumbull Street

Take a left onto Market Street

Turn left onto Kinsley Street

The Constitution Plaza North Garage entrance will be a ½ block on the left*

I-84 Westbound

Take exit 54 (*left exit*) Downtown Hartford

At 2nd light, turn right onto Market Street

At 1st light, turn right onto Kinsley Street

The Constitution Plaza North Garage entrance will be a ½ block on the left*

I-84 Eastbound

Take exit 50, Main Street and follow Morgan Street (*parallel to I-84 West*)

Turn right onto Market Street

Turn left onto Kinsley Street

The Constitution Plaza North Garage entrance will be a ½ block on the left*

**Additional entrances to the parking garage can be found on Talcott Street and Columbus Boulevard.*

DIRECTIONS into the UConn School of Business Graduate Learning Center

If you enter the garage on Kinsley Street, you will be on the 4th floor of the Garage. If you are not parked on the 4th floor of the garage, take the garage elevator or stairs to either the 4th floor or the 5th floor. Enter the 100 Constitution Plaza Main Lobby through the double glass doors at garage level P-4 (Section 4D) or P-5 (Section 5D) on the West side of the garage.

Wheel chair access entry is provided on the P-3 level. Visitors requiring assistance should use the intercom on P-3 to call Security who will meet the visitor in the lobby and contact the School of Business.

All visitors are required to sign in at the Security Desk. The Security Guard on duty will contact the School of Business office when visitors have arrived and a UConn representative will greet you.

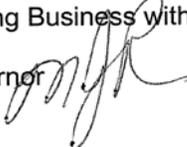
**** We will be meeting in the MBA Office, 1st floor of 100 Constitution Plaza to have parking validated.**



STATE OF CONNECTICUT
EXECUTIVE CHAMBERS

M. JODI RELL
GOVERNOR

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.

**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 A 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.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

<p>MANAGEMENT: 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>BUSINESS AND FINANCIAL OPERATIONS: 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>COMPUTER SPECIALISTS: 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>ARCHITECTURE AND ENGINEERING: 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>OFFICE AND ADMINISTRATIVE SUPPORT: 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>BUILDING AND GROUNDS CLEANING AND MAINTENANCE: 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>CONSTRUCTION AND EXTRACTION: 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>INSTALLATION, MAINTENANCE AND REPAIR: 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>MATERIAL MOVING WORKERS: 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>
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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>
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

(Page 3)

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

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. (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. above? Yes__ No__
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PLEASE COMPLETE REVERSE SIDE

PART IV - Bidder Employment Information

Date:

(Page 4)

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											

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 (X)		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				Work Experience			
Private Employment Agencies				Ability to Speak or Write English			
Schools and Colleges				Written Tests			
Newspaper Advertisement				High School Diploma			
Walk Ins				College Degree			
Present Employees				Union Membership			
Labor Organizations				Personal Recommendation			
Minority/Community 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)
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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 a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

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

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)





STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

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

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

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: _____]

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

Consultant's Name and Title Name of Firm (if applicable)

Start Date End Date Cost

Description of Services Provided:

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

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

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

Printed Name of Bidder or Contractor Signature of Principal or Key Personnel Date
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 20____.

Commissioner of the Superior Court or Notary Public



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 _____, 20____ 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-60(a)(1) and 4a-60a(a)(1), as amended.

The undersigned has executed this certificate this ____ day of _____, 20____.

Authorized Signatory

Date

Printed Name

NON-COLLUSION AFFIDAVIT

TO ACCOMPANY PROPOSALS OR BIDS

STATE OF CONNECTICUT)
) **ss.:**
COUNTY OF _____)

_____, being first duly sworn, deposes and says:
(Type or print name)
that he or she is the _____ of
(Type or print title)

_____, who submits herewith
(Type or print name of company/firm)

to the _____ attached bid/proposal; that he or she is the person whose name is signed to the attached bid/proposal is genuine; that the same is not sham or collusive; that all statements of fact therein are true; and that such bid/proposal as not made in the interest or behalf of any person, partnership, company, association, organization, or corporation not herein name or disclosed.

Affiant further deposes and says: that the bidder/proposer has not directly or indirectly by agreement, communication or conference with anyone attempted to induce action prejudicial to the interests of the public body which is to award the contract, or of any other bidder/proposer, or anyone else interested in the proposed contract; and that the bidder/proposer has not in any manner sought by collusion to secure for himself/herself/themselves, an advantage over any other bidder/proposer.

Affiant further deposes and says that prior to the public opening and reading of bids/proposals, said bidder/proposer:

- (a) did not, directly or indirectly, induce or solicit anyone else to submit a false or sham bid/proposal;
- (b) did not, directly or indirectly, collude, conspire, connive or agree with anyone else hat said bidder/proposer or anyone else would submit a false or sham bid, or that anyone should refrain from bidding or withdraw bid/proposal;
- (c) did not, in any manner, directly or indirectly, seek by agreement communication, or conference with anyone to raise or fix the bid price of said bidder/proposer or of anyone else or to raise or fix any overhead profit or cost element of their price or of that of anyone else;
- (d) did not, directly or indirectly, submit their bid/proposal price or any breakdown thereof, or the contents thereof, or divulge information or data relative thereof, to any corporation, partnership, company, association organization, bid depository, or to any member or agent, thereof, or to any individual or group individuals, except to the awarding authority or to any person or person who have a partnership or other financial interest with said bidder/proposer in their business.

Signed:

Name: _____

Title: _____

Subscribed and sworn to (or affirmed) before me this _____ day of _____, 20____, by _____, proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

Notary Public

(Notarial Seal)

WARNING: Bids will not be considered unless the affidavit hereon is full executed including the affidavit of the notary and the notarial seal.

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: _____