

ADDENDUM #3

DATE: June 24, 2014
TO: All Prospective Bidders
FROM: Dennis Sienna, Purchasing Agent I
RE: **RFP# LM040114-1 Mechanical Services**

All respondents are hereby advised of the following amendments to the Request for Proposal documents which are hereby made an integral part of the bid documents for the subject contract, prepared by the University of Connecticut Procurement Services Department.

Proposals submitted shall be deemed to include contract document information as shown in Addendum No. 3. Respondents shall be required to acknowledge receipt of this addendum in their proposal response. Failure to acknowledge receipt of this addendum by the respondent may result in the rejection of their proposal response.

BIDDER NOTE: This addendum must be completed, signed and submitted with your proposal response to be considered for award. If you have already submitted a proposal, please complete the addendum and submit same in a sealed envelope, clearly marked with the bid number, response date, and return address. This will be accepted as part of your proposal response, **PROVIDING IT IS RECEIVED BY THE PURCHASING DEPARTMENT BY THE TIME AND DATE SPECIFIED IN ITEM NUMBER ONE (1) OF THIS DOCUMENT.**

Clarifications:

The Bid Opening Date has been extended to Thursday, June 26th 2014 @ 2:00 PM EST

Contract Attached

Name of Bidder

Date

Address

Signature and Title

STATE OF CONNECTICUT
THE UNIVERSITY OF CONNECTICUT



SERVICE AGREEMENT
MECHANICAL SERVICES
No. LM040114-1

This Agreement by and between the **University of Connecticut** (the "University") acting herein by its Interim Executive Vice President for Administration and Chief Financial Officer under Sections 4a-52a and 10a-151b, et seq. of the Connecticut General Statutes, and _____, a _____ having an office located at _____ (the "Contractor").

WITNESSETH

WHEREAS, the University desires to engage a contractor to perform certain services in and around certain of its facilities at certain of its locations; and

WHEREAS, the University has selected the Contractor under the University's procurement procedures for the award of the contract for such services; and

WHEREAS, the Contractor and the University wish to enter into this Agreement for the purposes of memorializing all of the terms and conditions pursuant to which the Contractor will provide such services to the University.

NOW THEREFORE, for valuable consideration and the mutual promises herein set forth, the University and the Contractor hereby agree as follows:

I. DEFINITIONS

"Agreement" shall mean this Service Agreement, and all Exhibits hereto and the Request for Proposal (numbered LM040114-1 and dated June 2, 2014) (the "RFP") which is incorporated herein by reference.

"Claims" shall mean all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum.

"Contract" shall mean this Service Agreement.

"Contractor Property" shall mean the equipment, tools and materials brought onto University property by or on behalf of the Contractor for the purposes of performing the Services but which shall remain the property of the Contractor and removed when the Service for which they are to be used is complete.

“Contractor’s Representative” shall mean that person identified as Contractor’s Representative in Article X, Section B.

“Effective Date” shall mean the date that this Agreement is executed by the Interim Vice President for Administration and Chief Financial Officer for the University or the Assistant/Associate Attorney General, if applicable, whichever is later.

“Initial Term” is defined in Article II, Section A.

“Laws” shall mean all applicable statutes, laws, ordinances, regulations, codes, rules or orders of, or issued by, any governmental body having jurisdiction over the Services, location of the Services or the Agreement, including without limitation Connecticut General Statutes Title 1, Chapter 10, concerning the State’s Codes of Ethics and (2) Title 4a concerning State purchasing, including, but not limited to 22a-194a concerning the use of polystyrene foam; all applicable National Fire Protection Association (NFPA) Codes (such as NFPA 72, 72H, 80, 90A and/or any other ones that may apply), latest revision accepted by the State Fire Marshall, Connecticut Fire Safety Codes (CFSC) and Connecticut Fire Prevention Code, latest revisions, latest revision, to include the National Electrical Code, International Building Codes, International Mechanical Code and International Existing Building Code, latest revisions accepted by Connecticut State Building Code; Joint Commission on Accreditation of Healthcare Organizations, if applicable; Manufacturer recommendations and/or requirements, as well as any other applicable Occupational Safety and Health Administration, Underwriters Laboratories (UL) and/or any other Federal and/or Connecticut Regulations/Statutes/Codes and any other industry standards. **If any of these codes/requirements change and have an impact on this Agreement, such changes shall apply to this Agreement upon the effective date of such change.**

“Records” shall mean all working papers and such other information and materials as may have been accumulated by the Contractor in performance of this Agreement, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.

“Extension Option” is defined in Article II, Section B.

“Extension Term” is defined in Article II, Section B.

“Services” shall mean all of the services to be provided by the Contractor under this Contract and all other obligations of the Contractor under this Agreement all as described in **Exhibit A** to this Agreement.

“Service Locations” shall mean those locations set forth on Exhibit B.

“Term” shall mean the Initial Term and any and all Extension Terms.

“University and its Representatives” shall mean the University and its officers, representatives, agents, employees, and their respective successors, heirs, executors and assigns.

“University’s Representative” shall mean the person identified in Article X, Section A.

II. TERM OF AGREEMENT

A. Initial Term

The term of this Agreement shall commence on the Effective Date and shall continue until and including June 30, 2016 (the “Initial Term”) unless sooner terminated in accordance with this Agreement.

B. Extension

The University shall have the option to extend this Agreement (an "Extension Option") for three (3) additional periods of one (1) year each (each, an "Extension Term") upon the same terms and conditions contained herein. To exercise an Extension Option the University shall provide written notice to the Contactor's Representative no later than thirty (30) days before the end of the Initial Term or the then current Extension Term, as applicable. The University shall exercise an Extension Option at its sole discretion. If the University declines to exercise an Extension Option, this Agreement shall terminate effective on the expiration of the Initial Term or current Extension Term, as applicable.

C. Amendment Terms

All revisions to this Agreement may only be made by written amendment executed by both parties and, if required, approved by the Office of the Attorney General, prior to the end date of this Agreement.

III. SCOPE OF SERVICES AND QUALITY OF PROCESS

A. Scope of Services

1. *Services:* Throughout the Term of this Agreement, the Contractor shall provide the Services in the Service Locations, all in accordance with the terms and conditions of this Agreement.

2. *Inclusions:* Except as otherwise expressly set forth herein, the Contractor shall provide, at the sole cost and expense of the Contractor, all labor (including any required training, licensing and certification), supervision, equipment, tools, parts, materials, and supplies, which are required to perform the Services under this Agreement. Details of service not explicitly stated in this Agreement, but necessarily attendant thereto, are acknowledged by the Contractor to be included as a part of Services to be performed by the Contractor under this Agreement.

B. Quality of Process

1. *Quality of Process:* The Services shall be performed in a good and workmanlike manner and in compliance with this Agreement, all Laws, the rules, policies and procedures of the University, and all codes standards and specifications as may be applicable to the Services including, without limitation, those set forth below.

(a) *Occupational Safety and Health Administration (OSHA).*

(b) *University's Construction, Service and Maintenance Contractors' Manual:* Contractor shall perform all Services in a safe manner and in compliance with all University policies and the provisions of the University's "Construction, Service and Maintenance Contractors Manual". The referenced manual can be found here: http://ehs.uconn.edu/ppp/Contractor_EHS_Manual.pdf

(c) *CHRO:* As applicable, the laws and regulations enforced by the Commission on Human Rights and Opportunity and the Equal Employment Opportunity Commission.

(d) *University Standards and Requirements:* The standards set by the University through the University's Representative for the Services, now existing and as may be communicated from time to time by the University's Representative to the Contractor.

C. Cooperation with Others

The University may, in its sole discretion, engage or employ the services of others to perform work that may or may not be related to the Services. In the performance of the Services, Contractor shall afford its full cooperation and coordinate its work with the work of these other contractors as may be required.

D. Delivery and Use of Vehicles on University Property:

It is preferable that deliveries be made with straight bodied trucks. Driving on sidewalks located on University property, unless otherwise posted, is forbidden. In those areas where sidewalk driving is permitted, Contractor's drivers will employ adequate care so as to avoid driving on adjacent green spaces. To safeguard the students, faculty and staff of the University, as well as the aesthetic beauty of the University the driving speeds on campus shall be kept under 25 miles per hour, pedestrians shall be given the right of way at all times and all traffic signs, lights and/or other indicators, including parking signs, shall to be strictly obeyed. The Contractor shall be responsible to measure all access routes to intended delivery areas, and to notify the University of any anticipated delivery difficulties prior to scheduling deliveries and for coordinating the delivery with the appropriate University representative.

IV. TIMING OF SERVICES

A. University Notification/Response Time

1. *Coordination of Service:* The Contractor shall coordinate the scheduling of all Services with the University's Representative.

2. *Timing of Service:* The Services shall be performed when and as provided in Exhibit A. Except as otherwise specified below, in Exhibit A, or as otherwise requested by the University; the Services shall be performed Monday through Friday (excluding State Holidays) between the hours of 7:00 am and 4:30 pm EST.

3. *Services in Apartment and Dormitory Buildings:*

(a) Services in any facility that houses students shall be performed between May 15th and August 15th or during the University's Thanksgiving break, Christmas break or Spring break as reflected on the Academic Calendar for the subject academic year.

(b) As regards any Services to be performed in student's rooms, Services shall be performed in the following order: (i) Vacant rooms; (ii) rooms where the residing student is off campus but their belongings are in the rooms; and (iii) rooms where the student is on campus and his or her belongings are in the room. As regards rooms described in (ii) and (iii), Contractor shall only have access to such rooms to perform Services as agreed by the University, between the hours of 9:00 am and 2:30 pm, and accompanied by a University supplied escort. Services to be performed in vacant rooms shall be performed between the hours of 7:00 am and 5:00 pm.

B. Call Center and Response Time

The Contractor shall continuously maintain a telephone number (preferably toll free but not required) for the University where University personnel are able to speak directly to a live person or are able to leave a voice message. The Contractor shall respond to such calls/voice mail messages as specified in Exhibit A.

C. University's Right to Substitute Performance

The University shall have the right, in its sole discretion, at any time and for any reason, to engage another contractor to perform any part of the Services under this Agreement.

D. Performance of Services

The Contractor shall be responsible for the completion of the Services when and as required by the terms and conditions of this Agreement. For those Services that are required to be performed on a particular schedule that have not been scheduled with the University Representative, the Contractor shall provide at least forty-eight (48) hours prior notice to the University Representative prior to performing such Services.

The University has the option to instruct the Contractor not to perform any Service which would be required under this Agreement. If the University instructs the Contractor in writing not to

perform any Service which was to be performed under time and material, the University shall be entitled to a corresponding reduction based on submitted time and verified material cost.

V. CONTRACTOR AND STAFFING QUALIFICATIONS

A. Staffing

1. General Administrative Requirements

(a) The Contractor shall provide an adequate level of staffing for provision of the Services as outlined in this Agreement and shall ensure that a sufficient (but not excessive) number of persons are assigned and utilized to complete the Services in a safe and adequate manner. The Contractor's compensation is based on Time and Materials and the University reserves the right to audit and refuse to process payment should there be findings associated with excessive hours to perform the required task or an excessive number of persons utilized to complete the necessary task.

(b) Except as expressly set forth herein, any person assigned by the Contractor to perform Services under this Agreement shall be a full time employee of the Contractor, appropriately trained, qualified and licensed/certified to perform the Services. The Contractor shall at all times enforce strict discipline and good order among the Contractor's employees and subcontractors and no person who is unfit or unskilled in the task assigned shall be utilized to perform that task. The Contractor shall remove incompetent or incorrigible persons from the Services, when so determined by the University, and such persons shall be prohibited from returning to the Service Location or participating in a University project without written consent of the University.

(c) Contractor shall not subcontract any Services under this Agreement without the prior written consent of the University Representative. All such persons shall carry personal identification and evidence of such license and/or certification, as applicable, at all times while on University property and be prepared to provide such identification and evidence to University personnel upon request.

(d) The Contractor shall not assign or permit any person to perform Services under this Agreement if such person was previously an employee of the University and whose employment was terminated by the University for cause.

(e) The Contractor shall be responsible for the acts and omissions of all the Contractor's employees and all subcontractors, their agents and employees as well as all other persons performing any of the Services under this Agreement.

B. Key Personnel

1. Supervisor: The Contractor shall assign a full time dedicated supervisor who shall be responsible for overseeing and supervising the performance of Services under this Agreement. Such supervisor shall be identified in Exhibit C and shall serve as the University's primary interface with the University's Representative.

2. Key Personnel: In the event the Contractor desires to substitute any Key Personnel set forth on Exhibit C, either permanently or temporarily, the Contractor shall provide written notice to the University's Representative of the proposed substitution and the University shall have the right to disapprove the proposed personnel change by written notice to the Contractor.

C. Connecticut Department of Labor Standard Wage Rates:

The Contractor shall comply with the laws and regulations of the State of Connecticut, including, without limitation, the requirements of Connecticut General Statutes §31-57f as regards the payment of wages and applicable wage rates. It is the responsibility of the Contractor to monitor wage rates issued by the Connecticut Department of Labor to ensure that employees are paid the applicable and most current Standard Wage Rates provided by the Connecticut Department of Labor. The Contractor should contact the Connecticut Department of Labor with any questions at:

www.ctdol.state.ct.us.

VI. OBLIGATIONS OF THE UNIVERSITY

A. Access

The University shall provide the Contractor and its staff with access to the Service Locations for the purposes of performing the Services. The Contractor acknowledges receipt of a copy of the University's Access Procedures and Policies and shall comply therewith in the performance of its obligations under this Agreement. Contractor shall be strictly limited in access to those portions of the University property directly required for the performance of the Services.

B. University's Rules and Regulations

The University shall provide the Contractor with access to all applicable University rules and regulations and inform the Contractor of any regulatory or operational changes impacting the delivery of the Services to be provided pursuant to this Agreement.

VII. CONTRACTOR'S REPRESENTATIONS, WARRANTIES AND GUARANTIES

A. Representations and Warranties

The Contractor represents and warrants to the University, which representations and warranties shall survive the termination of this Agreement, that:

(a) Contractor is a sole proprietor operating under the name of _____ or a(n) _____, duly organized, validly existing and in good standing under the laws of the State of _____ authorized to conduct business in the State of Connecticut in the manner contemplated by this Agreement.

(b) Contractor has taken all necessary action to authorize the execution, delivery and performance of this Agreement and have the power and authority to execute, deliver and perform their obligations under this Agreement.

(c) Contractor will comply with all applicable Laws in satisfying its obligations to the University under and pursuant to this Agreement.

(d) Contractor's execution, delivery and performance of the Contract will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable:

- (1) any provision of any of the Laws;
- (2) any order of any court or the State; or
- (3) any indenture, agreement, document or other instrument to which it is

a party or by which it may be bound.

(e) Contractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from contracting with the State of Connecticut or any agency thereof, including without limitation, as a result of any action of the Commission on Human Rights and Opportunities or the Connecticut State Labor Commissioner.

(f) As applicable, Contractor has not, within the three years preceding the date of this Agreement, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them or against any person who would perform Services under this Agreement, for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract with any governmental entity. This includes, but is not limited to, violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

(g) Contractor is not presently indicted for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above.

(h) Contractor has not within the three years preceding the date of this Agreement had one or more contracts with any governmental entity terminated by such entity due to any breach by the Contractor.

(i) Contractor's participation in the bid in connection with the RFP is not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State's Code of Ethics;

(j) Contractor's bid submitted in response to the RFP was not made in connection or concert with any other person, entity or bidder, including any Affiliate of any other bidder, and is in all respects fair and without collusion or fraud.

(k) Contractor is able to perform under this Agreement using Contractor's own resources or the resources of a party who was not a bidder for the Services.

(l) Contractor has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in the State of Connecticut.

(m) Contractor has a record of compliance with Occupational Health and Safety Administration regulations without any unabated willful or serious violations.

(n) Contractor owes no unemployment compensation contributions.

(o) Contractor is not delinquent in the payment of any taxes owed, or, that Contractor has filed a sales tax security bond, and Contractor has, if and as applicable, filed for motor carrier road tax stickers and has paid all outstanding road taxes;

(p) All of Contractor's vehicles have current registrations and, unless such vehicles are no longer in service, Contractor shall not allow any such registrations to lapse. Such vehicles shall be fully insured in accordance with the provisions of Sections 14-12b, 14-112 and 38a-371 of the Connecticut General Statutes, as amended, in the amounts required by the said sections or in such higher amounts as have been specified by Connecticut Department of Motor Vehicles or as required by provisions imposed by the law of the jurisdiction where the motor vehicle is registered. Each person who uses or operates a motor vehicle at any time in the performance of this Agreement for the Contractor shall have and maintain a motor vehicle operator's license or commercial driver's license of the appropriate class for the motor vehicle being used or operated. Each such license shall bear the endorsement or endorsements required by the provisions of Section 14-36a of the Connecticut General Statutes, as amended, to operate such motor vehicle, or required by substantially similar provisions imposed by the law of another jurisdiction in which the operator is licensed to operate such motor vehicle. The license shall be in valid status, and shall not be expired, suspended or revoked by Connecticut Department of Motor Vehicles such other jurisdiction for any reason or cause. Each motor vehicle shall be in full compliance with all of the terms and conditions of all provisions of the Connecticut General Statutes and regulations, or those of the jurisdiction where the motor vehicle is registered, pertaining to the mechanical condition, equipment, marking and operation of motor vehicles of such type, class and weight, including, but not limited to, requirements for motor vehicles having a gross vehicle weight rating of 18,000 pounds or more or motor vehicles otherwise described by the provisions of Conn. Gen. Stat. § 14-163c(a) and all applicable provisions of the Federal Motor Carrier Safety Regulations, as set forth in Title 49, Parts 382 to 399, inclusive, of the Code of Federal Regulations.

B. Guarantees

Contractor hereby guarantees, which guarantees shall survive the termination of this Agreement that Contractor shall:

- (a) Perform fully under this Agreement;
- (b) Guarantee the Services (including without limitation all of the parts and equipment used in connection therewith) against defective material or workmanship;
- (c) Furnish adequate protection from damage to any University property and to promptly and properly repair damage of any kind, arising from the act or omission of the Contractor or any person for whom the Contractor is responsible.
- (d) With respect to the provision of the Services, pay for all permits, licenses and fees and give all required or appropriate notices;
- (e) Neither disclaim, exclude nor modify the implied warranties of fitness for a particular purpose or of merchantability.

C. Warranty

The Contractor warrants that the Services supplied hereunder will be of good workmanship and of proper materials, free from defects and in accordance with requirements of this Agreement. Services which do not meet the University's standards will be performed again until standards are met. Contractor shall provide at minimum one (1) year warranty of all services from the completion date of the service provided.

VIII REPORTING REQUIREMENTS

A. Quality Control Sheet

For each day during which Services are performed, the Contractor's on site supervisor shall submit a copy of the quality control sheet verifying the Services that were completed on such day. The University's Representative will confirm the performance of such Services. The Contractor shall maintain full and verifiable records including vouchers and other information pertinent to the Services, the subcontractors engaged to perform services and the hours worked (if applicable), the number of employees engaged in performing the Services, the Department of Labor classification of each such employee, hours worked, materials and quantity used, arrival and departure times and Service Locations at which Services were performed.

IX COMPENSATION

A. **Maximum Amount Payable: \$900,000.00**

Purchase Orders are not to exceed \$92,000.00 for any given service. The Maximum Amount Payable represents the University's best estimate and the actual volume will depend solely on the University's needs. The Maximum Amount Payable should not be interpreted or construed as a commitment or a promise by the University to expend any specific sum of money for the products and services identified herein.

B. Payment

1. *Basis for Payment/Rates:*

(a) Services: In consideration of the performance of the Services in accordance with all of the terms and conditions of this Agreement for the Initial Term, the Contractor shall receive the compensation set forth on Exhibit D.

(b) The compensation described above shall fully compensate the Contractor for all labor, supervision, equipment, materials, and all other costs and expenses which are required to perform the Services in accordance with the terms and conditions of this Agreement. Details of service not explicitly stated in this Agreement, but necessarily attendant to the performance of Services, are acknowledged by the Contractor to be included as a part of Services to be performed by the Contractor under this Agreement.

2. *Procedure for Payment.* The Contractor shall submit monthly invoices for payment in the form, and including the detail and information, required by the University. The invoiced amount shall be based on the Services performed in the period covered by the invoice. The Contractor shall submit such invoices no later than the 15th day of each month during the Term of this Agreement for Services provided in the previous month and the University shall pay such invoices within 45 days after receipt provided however, unless otherwise provided in Exhibit D, if the University pays such invoice within 15 days after receipt, the University shall be entitled to a discount in the amount of two percent (2%) of the invoiced amount. Invoices shall be submitted along with the monthly report and supporting documentation as required under this Agreement unless otherwise directed by the University. The Contractor shall submit a certified payroll record, utilizing the form furnished by the Connecticut Department of Labor. The certified payroll shall be submitted on a monthly basis with a Statement of Compliance to the University.

3. *Withholding of Payment.* If the University believes that the Contractor has not performed according to this Agreement, the University may withhold payment in whole or in part pending resolution of the performance issue, provided that the University notifies the Contractor in writing of its intent to do so.

C. Supporting Documentation and Information Required

Along with each invoice submitted to the University, the Contractor shall submit the following supporting documentation and/or information

- (a) A description of each of the Services performed for which payment is requested;
- (b) The date of performance of such each of such Services;
- (c) As to any Service which was requested by anyone other than the University Representative, or which required the University's pre-approval, the name of the person who made the request or provided the approval and the date of Contractor's receipt of such request and/or approval, as applicable; and
- (d) Such other information and/or documentation as the University may request.

D. Contractor's Official

The name and address of the official on behalf of the Contractor to whom payment shall be made is as follows:

E. Travel Expenses

The University shall not be responsible for the payment of any of Contractor's travel expenses.

F. Annual Appropriation

The State of Connecticut's and the University's performance and obligations to pay for Services under this Agreement are contingent upon an annual appropriation by the Connecticut State Legislature in an amount sufficient to compensate the Contractor for Services hereunder for the subject year.

X CONTRACT MANAGEMENT AND COMMUNICATIONS

A. University's Representative

Name and Contact Information:

B. Contractor's Representative
Name and Contact Information:

C. Contract Management Changes

After execution of this Agreement, any changes in the information contained in this Article X, will be provided to the other party in writing and a copy of the written notification shall be maintained in the official Contract record.

XI CONTRACTOR'S INSURANCE AND GUARANTEE

A. Contractor's Insurance Requirements

The Contractor agrees to provide adequate insurance coverage on a primary and comprehensive basis and to hold such insurance at all times during the Term of this Agreement. The Contractor accepts full responsibility for identifying and determining the type(s) and extent of insurance necessary to provide reasonable financial protection for the Contractor and the University under this Agreement.

The Contractor shall maintain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance and commercial general liability insurance not less than the minimum limits as set forth below all at no cost to the University or the State of Connecticut.

Statutory Workers' Compensation and Employers' Liability:

Workers' Compensation:	Statutory limits
Employers' Liability:	
Bodily injury by accident:	\$100,000 each accident
Bodily injury by illness:	\$100,000 each employee \$500,000 policy limit

Commercial General Liability:

Combined single limit:	\$1,000,000 each occurrence \$2,000,000 annual aggregate
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Comprehensive Automobile Liability:

(to include owned, non-owned and hired vehicles):

Combined single limit:	\$1,000,000 each occurrence
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Umbrella Liability:	\$5,000,000 each occurrence
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Each of the policies for the insurance mentioned above will be issued by an insurance company or companies satisfactory to the University and will contain a provision that coverages will not be changed, canceled, or non-renewed until at least thirty (30) calendar days prior written notice has been given to the University. Each insurance policy will state that the insurance company agrees to investigate and defend the insured against all claims for damages to the extent that all alleged damages might be covered by insurance. Such insurance policies will name the State of Connecticut, the University of Connecticut, their officers, officials, employees, agents, boards and commissions as additional insured, except that the University and the State will not be named as an additional insured with respect to the coverage for the statutory workers' compensation and employer's liability insurance. Certificates of insurance shall clearly indicate the title and date of this Agreement or some easily identifiable reference to the Contractor's relationship to the University. Certificates of insurance showing such coverages as required in this section will be filed with the University prior to the time this Agreement is executed on

behalf of the University. Upon the request of the University, the Contractor will provide to the University a copy of any of the aforementioned policies, and any endorsements or amendments thereto.

XII CONTRACTOR'S INDEMNITY AND ASSUMPTION OF LIABILITY

To the maximum extent allowed by law, the Contractor shall indemnify, defend and hold harmless the University and the State of Connecticut, their employees, agents, agencies and subcontractors from and against any and all claims, liabilities, demands, damages, costs and expenses (including all reasonable attorneys' fees) to the extent caused by or resulting from any act or omission, negligence, willful misconduct, or breach of this Agreement by, or which is the fault of, the Contractor, its employees, subcontractors or anyone for whom the Contractor is responsible. This indemnification will survive the completion of the Services and termination of this Agreement to the maximum extent allowed by law. Contractor's indemnification obligations shall include, without limitation, a full and complete responsibility for the Services, and any cost, liability or expense incurred by the University arising from the failure of Contractor, its representatives, agents, subcontractors and/or its or its subcontractors' employees to take appropriate and reasonable action to prevent damage to the University or its property. In fulfilling its indemnification and defense obligations hereunder, the Contractor shall use legal counsel reasonably acceptable to the University.

The Contractor's indemnity shall include, without limitation, damage due to misuse by Contractor or any person for whom the Contractor has responsibility, of tools, machines, vehicles or uncontrollable equipment that may malfunction. University property damaged in the performance of Services shall be repaired and left in good condition (as found). All such repairs shall be accomplished by the Contractor at no cost to the University.

Nothing in this Article XII will be construed as obligating the Contractor to indemnify or hold harmless any of the parties indemnified under this Article XII against liability for damage arising out of bodily injury to persons or damage to property caused by or resulting from the negligence of such indemnified party, or such party's agents or employees, if such indemnification would be in violation of Connecticut General Statutes §52-572k.

The Contractor's obligations under this Article XII shall survive the termination and expiration of this Agreement.

XIII MODIFICATION OF AGREEMENT AND SCOPE CHANGE

1. *Modifications:* Unless otherwise expressly stated herein, modifications to any provision of this Agreement shall be effective only if such modifications are memorialized in a formal written amendment to this Agreement executed by both parties and approved by the Office of the Attorney General, to the extent required.

2. *Scope Changes:* During the Term of this Agreement, the University may unilaterally require, by written order, changes altering, adding to, or deducting from the Services, provided that such changes are consistent in character and within the general scope of the services to be provided under this Agreement.

XIV TERMINATION

A. Termination

1. *For Convenience:* The University shall have the right to terminate this Agreement whenever the University makes a determination that such termination is in the best interests of the University. The University shall notify the Contractor in writing of such termination, which notice shall specify the effective date of termination (which shall be no sooner than the date which is ten (10) calendar days after the University's delivery of notice of termination) and the extent to which the Contractor must complete any Services under this Agreement prior to such date.

2. For Cause: If the Contractor fails to properly perform any Services, or comply with any of its obligations, in accordance with the requirements of this Agreement, the University shall deliver written notice of such failure to the Contractor describing the instances of such nonperformance or noncompliance ("Default Notice") and the Contractor shall have ten (10) calendar days after receipt of the Default Notice to propose a resolution for each instance of nonperformance and/or noncompliance which resolution is satisfactory to the University. If (i) the University and the Contractor have failed to agree to a mutually satisfactory resolution(s) within ten (10) calendar days after Contractor's receipt of the Default Notice, or, (ii) the Contractor fails to perform the agreed resolution(s) within thirty (30) calendar days after receipt of the Default Notice, the University shall have the right to terminate this Agreement, which termination will be deemed a termination "for cause", and to engage another contractor to perform the Services.

If the Contractor breaches its obligations under this Agreement and such breach continues beyond any right to cure set forth above, the University shall be entitled to terminate this Agreement by written notice to the Contractor which notice shall specify the effective date of termination which may be immediate, or such other date as determined by the University, in its sole discretion, and the extent to which the Contractor must complete any Services under this Agreement prior to such date.

Any notice provided under this Section A shall be delivered by certified mail (return receipt requested), by other method of delivery whereby an original signature is obtained, or in-person with proof of delivery.

B. Obligations of Contractor upon Termination by the University

Upon receipt of notice of termination, the Contractor shall cease the performance of Services as directed by the University in the notice, and take all actions that are necessary or appropriate, or that the University may reasonably direct, for the protection and preservation of University property. Except as otherwise instructed by the University, the Contractor shall terminate any subcontracts entered into by the Contractor in connection with the Services and shall not enter into any further subcontracts, purchase orders or commitments as regards this Agreement.

Upon request by the University, the Contractor shall deliver to the University all Records and other information pertaining to its performance, and remove from the University's premises, whether leased or owned, all of Contractor's Property, waste material and rubbish related to Contractor's performance, all when and as the University may request.

C. Damages

If the University terminates this Agreement "for convenience" under Section A.1 of this Article XIV, the Contractor shall be entitled to receive, as its sole remedy, all amounts due and owing as of the effective date of termination plus an amount equal to the Contractor's actual and reasonable costs incurred after the effective date of termination to protect and preserve the Service Locations, if and as requested by the University. The Contractor hereby waives and forfeits all other claims for payment and damages including, without limitation, anticipated profits.

If the University terminates this Agreement "for cause" under Section A.2 of this Article XIV, the amounts due and owing as of the effective date of termination, if any, shall be withheld until such time as the University is able to determine any and all damages sustained by the University which arise from such breach. In the case of a termination for cause, Contractor shall be responsible for (i) any and all costs and expenses incurred by the University to engage another contractor to perform such Services in excess of the price that would have been paid to the Contractor under the terms of this Agreement for such Services; and (ii) all such other costs, expenses, liabilities and damages incurred by the University which arise as a result of the Contractor's noncompliance and/or nonperformance under this Agreement. Once the University has determined the total amount of such damages, the amount, if any, due and owing to the Contractor on the effective date of termination shall be reduced by the amount of such damages. If the damages exceed such amount due, the Contractor shall promptly pay to the University the amount of such excess. If such amount due exceeds the University's damages, the University shall remit payment to the Contractor in the amount of such excess. Under no circumstances shall the

Contractor be entitled to receive, nor shall the University be obligated to tender to the Contractor, any payments for anticipated or lost profits.

D. Setoff

In addition to all other remedies that University may have, the University, in its sole discretion, may set off: (1) any costs or expenses that the University incurs resulting from the Contractor's unexcused nonperformance under this Agreement and under any other agreement or arrangement that the Contractor has with the University or the State of Connecticut or any agency thereof, including without limitation attorney's fees and legal costs, and (2) any other amounts that are due or may become due from the University to the Contractor, against amounts otherwise due or that may become due to the Contractor under this Agreement, or under any other agreement or arrangement that the Contractor has with the University, the State of Connecticut or agency thereof. The University's right of setoff shall not be deemed to be the University's exclusive remedy for the Contractor's breach of this Agreement, and all other remedies that the University may have under law or equity shall survive any setoffs by the University.

XV DISPUTE RESOLUTION

A. Mediation of Disputes

In the event of any disputes arise between the parties under this Agreement, the parties agree to use the following procedure prior to and as a precondition to either party pursuing any other available remedies, including arbitration or litigation.

1. A meeting will be held promptly between the parties, attended by individuals with decision making authority regarding the dispute, to attempt in good faith to negotiate a resolution of the dispute.

2. If, within thirty (30) calendar days after such meeting, the parties have not succeeded in negotiating a resolution of the dispute, the parties agree to submit the dispute to non-binding mediation in accordance with the Commercial Rules of the American Arbitration Association.

3. The parties will jointly appoint a mutually acceptable mediator, seeking assistance in such regard from the American Arbitration Association if they have been unable to agree upon such appointment within twenty (20) calendar days from the conclusion of the negotiation period.

4. The parties agree to participate in good faith in the mediation and negotiations related thereto for a period of thirty (30) calendar days. If the parties are not successful in resolving the dispute through the mediation, then the parties may pursue other legal remedies available to them.

B. Arbitration or Litigation of Disputes

1. *Claims Commissioner:* Any claim by the Contractor under this Agreement which is not resolved through mediation, or any other procedure set forth in this Agreement, will be subject to the provisions of Chapter 53 of the Connecticut General Statutes. The Contractor acknowledges and agrees that the sole and exclusive means for the presentation of any claim against the University or the State 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 legal proceedings in any State or Federal Court in addition to, or in lieu of, said Chapter 53 proceedings.

2. *Sovereign Immunity:* The parties acknowledge and agree that nothing in the RFP or this Agreement shall be construed as a modification, compromise or waiver by the State of any rights or defenses or any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers or employees, which they may have had, now have or will have with respect to all matters arising out of this Agreement. To the extent that this Section B conflicts with any other section of this Agreement, this section shall govern.

3. *University's Claims Against the Contractor:* Should the University have a claim against the Contractor which has not been resolved by mediation or any other procedure set forth in this Agreement, the parties agree that the University will have the option of either prosecuting the claim against the Contractor in an appropriate court of general jurisdiction in the State of Connecticut as selected by the University, or by filing a demand for arbitration pursuant to the Commercial Rules of the American Arbitration Association which arbitration shall take place in Mansfield, Hartford or such other location in the State of Connecticut as selected by the University. The Contractor hereby submits to the jurisdiction of the courts of the State of Connecticut.

XVI BOOKS AND RECORDS

A. Records:

The Contractor agrees to maintain books, records, and documents (including electronic storage media) in accordance with generally accepted accounting procedures and practices which sufficiently and properly reflect all revenues and expenditures of funds provided by the University under this Agreement, and agrees to be subject to financial and compliance audits by the University or the State of Connecticut as requested to ensure that all related party transactions are disclosed to the auditor. The Contractor shall include these same record-keeping obligations in all subcontracts and assignments related to this Agreement.

B. Retention of Records:

The Contractor agrees to retain all client records, financial records, supporting documents, statistical records, and any other documents (including electronic storage media) pertaining to this Agreement for a period of one (1) year after the termination of this Agreement. The Contractor shall maintain complete and accurate record-keeping and documentation as required by the University and the terms of this Agreement. Copies of all records and documents shall be made available to the University upon request. All invoices and documentation must be clear and legible for audit purposes. All documents must be retained by the Contractor at the address listed in the preamble to this Agreement, Contractor's Representative at the address listed in Article X, Section B, or by the Contractor's Official at the address listed in Article IX, Section D for the duration of this Agreement. Any records not available at the time of an audit will be deemed unavailable for audit purposes. The Contractor shall advise the University of the location of all records pertaining to this Agreement and shall notify the University by certified mail within ten (10) calendar days if/when the records are moved to a new location.

XVII TIME OF THE ESSENCE

Time is of the essence with respect to all provisions of this Agreement that specify a time for performance; provided, however, that this provision shall not be construed to limit or deprive a party of the benefits of any grace or use period allowed in this Agreement.

XVIII MISCELLANEOUS

A. Connecticut Sales and Use Tax: The University is a tax-exempt institution. The Contractor will be familiar with the current regulations of the Department of Revenue Services. A Sales Tax Certificate is available from the University's Purchasing Department upon written request.

B. Third Parties: Nothing contained in this Agreement will be deemed to create a contractual relationship between any third party and the University or the Contractor, or be deemed to give any third party any claim or right of action against the University or the Contractor, which does not otherwise exist without regard to this Agreement.

C. Notice: Unless otherwise expressly set forth herein or specified in writing hereafter by the University, all notices, demands or requests provided for or permitted to be given pursuant to this Agreement must be in writing and shall be deemed to have been properly served if sent by 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: Procurement Services, University of Connecticut, 3 North Hillside Road, Unit 6076, Storrs, Connecticut 06269-6076.

If to the Contractor: _____.

Any party may change its Notice information by giving written notice in accordance with this Section C.

D. Joint Venture: If the Contractor is a joint venture, each joint venture partner shall be jointly, severally and individually responsible to the University for the performance of any and all obligations of the Contractor encompassed by this Agreement or as required by applicable law, and each joint venture partner shall be jointly, severally and individually liable to the University for any failures to perform such obligations in accordance with the Agreement or applicable law. In its dealings with the University, each joint venture partner shall have full authority to act in behalf of and bind the joint venture and any other joint venture partner. Each joint venture partner shall be considered to be the agent of the joint venture and of any other joint venture partner.

E. Nondiscrimination and Affirmative Action Provisions, Nondiscrimination Provisions Regarding Sexual Orientation, Executive Orders:

1. Non-discrimination. References in this section to "Contract" shall mean this Agreement and references to "Contractor" shall mean the Contractor.

(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. This 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 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 this Contract as if they had been fully set forth in it. At the Contractor request, the University 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.

F. Large State Government Contract: If the Contractor is a large State contractor, the Contractor will comply with the provisions of Section 4-61dd of the Connecticut General Statutes, as may be revised. "Large State contract" and "Large State contractor" will have the same meanings as set forth in Section 4-61dd (g) of the Connecticut General Statutes, as may be revised.

Each contract between a State or quasi-public agency and a large State contractor will provide that, if an officer, employee, or appointing authority of a large State contractor takes or threatens to take any personnel action against any employee of the contractor in retaliation for such employee's disclosure of information to the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of Section 4-61dd of the Connecticut General Statutes, the contractor will be liable for a civil penalty of not more than five thousand dollars (\$5,000.00) for each offense, up to a maximum of twenty per cent (20%) of the value of the contract. Each violation will be a separate and distinct offense and in the case of a continuing violation each calendar day's continuance of the violation will be deemed to be a separate and distinct offense. The executive head of the State or quasi-public agency may request the Attorney General to bring a civil action in the Superior Court for the judicial district of Hartford to seek imposition and recovery of such civil penalty.

Each large State contractor will post a notice of the provisions of Section 4-61dd relating to large State contractors in a conspicuous place that is readily available for viewing by the employees of the contractor.

G. Ethics and Compliance Hotline: 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 Agreement, of this reporting mechanism.

H. Campaign Contribution Restrictions: For all State contracts as defined in P.A. 010-1 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 (SEEC Form 11) attached hereto as Exhibit E.

I. Entire Agreement: This Agreement contains the entire Agreement between the parties as regards the subject matter hereof. No prior stipulation, agreement or understanding, verbal or otherwise, between the parties, their agents or legal representatives will be valid or enforceable unless embodied in the provisions of this Agreement.

J. Conflicts/Inconsistencies: In the event of inconsistencies within or between any parts or provisions of this Agreement, the RFP, any Schedule, Exhibit or Appendix to this Agreement or any applicable standards, codes and ordinances, the Contractor will: (1) provide the better quality or greater quantity of services, or (2) comply with the more stringent requirement; either or both in accordance with the University's interpretation.

K. Severability: If this Agreement contains any unlawful provisions not an essential part of the Agreement, which appear not to have been a controlling or material inducement to the making hereof, the same will be deemed to be of no effect, and will, upon the application of either party, be stricken from this Agreement without affecting the binding force of this Agreement as it will remain after omitting such provisions.

L. Gender Neutral Provision: The language of this Agreement is intended to be gender neutral. Thus whenever the terms "he", "she", "his", "her", "it", or similar term is used such terms will be considered to mean "he", "she" or "it", "his", "her", or "its" or other such gender neutral phraseology.

M. Connecticut Law: It is agreed that this Agreement will be governed by, construed, performed and enforced in all respects in accordance with the laws, rules and regulations of the State of Connecticut.

N. Compliance with Law, Codes: In performing its obligations under this Agreement, the Contractor shall comply with all applicable statutes, laws, ordinances, regulations, codes, rules or orders of, or issued by, any governmental body having jurisdiction over the Services, location of the Services or the Agreement.

O. Incorporation of Law: Each and every provision of law and clause required by law to be inserted in this Agreement shall be deemed to be inserted herein and the Agreement shall be read and enforced as though it were included herein, and if through mistake or otherwise any such provision is not inserted, or is not correctly inserted, then upon the application of either party, the Agreement shall forthwith be physically amended to make such insertion.

P. Independent Contractor Status: The Contractor shall be considered an independent Contractor in the performance of its obligations and responsibilities under this Agreement. The University shall neither have nor exercise any control or direction over the methods by which the Contractor shall perform its work and functions other than as provided herein. Nothing in this Agreement is intended to, nor shall be deemed to constitute, a partnership or a joint venture between the parties.

Q. Subcontracts: The Contractor shall perform all of the Services with its own full time appropriately qualified, trained and experienced staff except that the Contractor may, with the prior written consent of the University, enter into written subcontract(s) for the performance of certain Services requiring proprietary knowledge of an original equipment manufacturer, electrical work and utilization of lift or access equipment. The Contractor shall be responsible for payment of all subcontractors and secondary suppliers. The Contractor shall be fully responsible for all work performed under this Agreement whether by the Contractor or its subcontractor or secondary suppliers.

R. Assignment: The Contractor shall not assign its responsibilities or interests under this Contract to any other party without prior written approval of the University Coordinator. The University shall at all times, be entitled to assign or transfer its rights, duties and obligations under this Agreement to another governmental agency of the State of Connecticut upon giving written notice to the Contractor.

S. Force Majeure: Neither party shall be liable for loss or damage suffered as a result of any delay or failure in performance under this Agreement or interruption of performance resulting directly or indirectly from acts of God, fire, explosions, earthquakes, floods, water, wind, lightning, civil or military authority, acts of public enemy, war, riots, civil disturbances, insurrections, strikes, or other disputes.

T. No Waiver: Neither the failure nor any delay on the part of either party hereto in exercising any right, power or remedy hereunder shall operate as a waiver thereof, or of any other right, power or remedy; nor shall any single or partial exercise of any right, power or remedy preclude any further or other exercise thereof, or the exercise of any other right, power or remedy.

U. 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 the Contractor is required to comply with the same pursuant to this section.

The Contractor agrees to comply with the "Principal Expectations" described in the Vendor Code of Conduct. The 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 the Contractor to the University in writing. Any such commitment or representation is hereby incorporated herein by reference. The 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 the Contractor's corporate social and environmental practices.

V. Background Checks: The Contractor warrants that it will not assign any employee, independent contractor or agent to perform services under this Contract unless that employee, independent contractor or agent has satisfactorily completed a background check and is deemed suitable by the Contractor for performing such services on a college campus attended and inhabited by students. The background check must minimally include criminal arrest information for the past seven years, a check of the national and state sex offender registries and a social security number verification. All fees associated with the background checks shall be the responsibility of the Contractor. The Contractor shall immediately remove any employee, independent contractor or agents performing services under this Contract on campus if it becomes known to the Contractor that such person may be a danger to the

health or safety of the campus community, or at the request of the University based on a concern of community or individual safety.

Without limiting the obligations of the Contractor under Article XII of this Contract, the Contractor shall defend, indemnify and hold harmless the state of Connecticut, the University of Connecticut and all of their employees, agents and/or assigns for any claims, suits or proceedings resulting from a breach of the foregoing warranty and/or that are caused in whole or in part by the actions or omissions of the Contractor, its employees, or other persons that the Contractor causes to be on the campus.

W. University Policies: The Contractor shall, at no additional cost to the University, comply with all policies and procedures of the University. In the event the University establishes new policies or procedures following execution of the contract, or makes modifications to policies or procedures in existence at the time of contract execution, the Contractor shall comply with such new or modified policies or procedures upon written notice.

IN WITNESS THEREOF, the parties hereto have caused this Agreement to be executed by their authorized representatives.

University of Connecticut

By _____
John M. Biancamano
Interim Executive VP for Administration & CFO
Statutory Authority: C.G.S. Sections 4a-52a,
and 10a-151b

Date signed: _____

Contractor:

By _____
It's Duly Authorized

Date signed: _____

Approved as to form:

By: _____
Joseph Rubin
Associate Attorney General

Date: _____

EXHIBITS

- EXHIBIT A Services
- EXHIBIT B Service Locations
- EXHIBIT C Key Personnel
- EXHIBIT D Compensation
- EXHIBIT E SEEC Form 11

DRAFT

EXHIBIT A

SERVICES

Scope of Services: The Services, which shall be performed when and as requested by the University as needed, shall mean and include Mechanical Systems Maintenance Services (HVAC, Electrical, Plumbing, Etc.) to meet the various needs of the University.

Scope of Services:

The University of Connecticut Facilities Operations Department maintains all buildings and infrastructure components at the Storrs/Depot and branch campuses. Contractor labor and equipment is used as required to supplement the University's in-house resources. Services shall include all labor, equipment and materials required to complete licensed, registered, and/or non-licensed services covered under this Agreement..

1.1 Contractors Equipment:

The Contractor shall supply all tools and equipment required for the execution of assigned work. A detailed Equipment List has been provided to the University.

1.1.1 Non-compensable Equipment: All trade related equipment, hand tools and power tools, normally supplied with the labor to complete services are not compensable. The provision and use of this equipment shall be included in the Labor rate.

1.1.2 Compensable Equipment: When "special equipment" (as agreed to by the University) is required to perform the Work, compensation to the Contractor shall be as follows:

1.1.2.1 Rented Equipment (Used directly on the Work and by the Contractor's or Subcontractor's own forces) shall be compensable at actual rental invoice cost to the contractor with no markup allowance.

1.2 Material Inventory:

The Contractor must maintain adequate stocks of parts and materials both on service vehicles and at local office locations to allow for the timely completion of assigned tasks.

1.2.1 All equipment, parts and materials shall be provided and installed in accordance with the American Society for Testing and Materials (ASTM), American National Standards Institute (ANSI) and all State and Local Building and Fire Codes.

1.2.2 All equipment and materials provided must meet University specifications or approval.

1.3 Warranty – Workmanship and Materials:

All equipment, materials and labor provided under this Contract shall be warranted by the Contractor. Equipment and material warranties are the responsibility of the Contractor.

1.3.1 Contractor shall warranty all work performed under this Contract for a period of one (1) year from the completion date of service provided.

1.3.2 If during that one (1) year period of warranty, any part installed under the Contract fails or does not function properly due to any fault in materials, workmanship or installation, the Contractor shall, under notice from the University, promptly proceed to repair or replace the faulty item at no cost to the University.

1.3.3 One (1) year is the minimum material and equipment warranty period. If the manufacturer's warranty period exceeds this minimum warranty period, the longer term shall prevail.

1.4 Response Times:

The Contractor must be able to respond to the needs of the University in a timely fashion.

1.4.1 The Contractor must provide twenty-four (24) hour emergency telephone numbers at which qualified staff can be reached in case of an emergency. The telephone numbers shall not be forwarded to an answering machine.

1.4.2 The Contractor is required to respond within two (2) hours after notification of an emergency call.

1.4.3 The Contractor is required to respond within forty eight (48) hours after notification of routine maintenance requirements.

1.4.4 The Contractor's estimating staff are required to respond within forty eight (48) hours after notification of a quotation request. Quotations must be provided in a timely fashion as determined by the University.

1.5 **Worksite Conditions:**

1.5.1 All work must be performed in a safe manner in compliance with all University policies found in the University's "Environmental, Health, and Safety (EHS) Requirements for Construction, Service and Maintenance Contractors" Manual. The referenced manual can be found here: http://www.ehs.uconn.edu/ppp/Contractor_EHS_Manual.pdf The Contractor shall provide the referenced manual to all assigned staff and insure said staff understand and comply with all policies referenced therein.

1.5.2 The Contractor shall, at its sole expense, immediately correct any dangerous condition caused by or as a result of the Contractor's work.

1.5.3 The Contractor shall be held solely responsible for any damage to existing structures, systems, equipment and/or site caused by their representatives, employees and sub-contractors and shall repair or replace same to its original condition at no additional cost to the University.

1.5.4 If any shutdown of services is required, the Contractor must contact the University prior to shut down.

1.5.5 The Contractor shall keep the site cleaned and swept on a daily basis, or more often if required to keep premises clean and safe.

1.5.6 The Contractor must remove all rubbish, materials, and debris from the work site on a daily basis.

1.5.7 Existing walks, driveways and parking areas are to be kept free and clean of debris at all times.

1.6 **Contractor's Responsibilities:**

1.6.1 Contractors are responsible for a site visit to examine the site with the appropriate University Representative prior to performing any assigned task.

1.6.2 Failure to visit the site and note all conditions will in no way relieve the Contractor from completing the work to the satisfaction of the University.

1.6.3 Contractor shall be responsible for taking its own field measurements and ascertaining the accuracy of all information relevant to any assigned project.

1.6.4 The University is not obligated to supply, nor be responsible for, the accuracy of measurements and any other related work.

1.6.5 The Contractor's staff must sign in upon arrival at Work Order Control in the Facilities building and sign out when leaving the site for any reason.

1.6.6 At completion of work and prior to leaving the site, the Contractor must submit a "work ticket" that accurately documents the hours worked, work performed, and a detailed list of the parts and materials used. All "work tickets" must be signed off by the appropriate University Representative. A copy shall be left on site and a copy shall be provided with the Contractor's invoice.

1.6.7 Contractor's vehicles shall be maintained in good working order and any repairs shall be the sole responsibility of the Contractor.

1.6.8 Contractor will be required to acquire a "Vendor Parking Pass" from Parking and Transportation services for each vehicle used in the execution of this Contract. Contractor shall park only at locations to be designated by the University.

1.6.9 Building Permits: Contractor will obtain all required permits from the University Building Inspector and Fire Marshalls office. (There will be no charge for these permits.)

1.7 Assigned Personnel:

1.7.1 The Contractor, at the University's discretion, may be asked to assign a qualified, dedicated account representative/ trade person for each University location.

1.7.2 The Contractor shall make every effort to maintain consistency in staff assigned.

1.7.3 The Contractor's staff shall adhere to proper conduct at all times. Proper conduct is meant to include, but shall not be limited to the following:

1.7.3.1 There shall be no weapons, drugs or alcohol on the premises.

1.7.3.2 No smoking is allowed on the premises unless there is a smoking designated area and the smoking is conducted in such area designated as smoking area.

1.7.3.3 No exterior doors are left opened or unlocked.

1.7.3.4 The Contractor's staff shall be polite and courteous at all times.

1.7.3.5 The Contractor's staff will adhere to all State and University rules and regulations.

1.8 Temporary Utilities:

The Contractor shall have temporary use of electrical power, water, etc. from existing outlets as directed by the University. The Contractor shall furnish all connections and extensions from these outlets at their own expense.

1.9 Storage of Equipment:

1.9.1 The Contractor shall store all materials, tools and equipment only in areas designated by the University.

1.9.2 The Contractor shall keep those areas clean and clear of combustible waste.

1.9.3 Any items stored out-of-doors shall be stored off the ground on adequate supports, protected with secure tarpaulins.

1.9.4 The Contractor shall provide adequate facilities for the storage of waste materials and rubbish prior to removal from the site. Debris, surplus materials, equipment, etc., shall be removed daily.

1.9.5 No ladders, tools or equipment shall be left unattended or unsecured.

1.9.6 The Contractor shall be solely responsible for damage, loss or liability due to theft or vandalism of its materials, tools and equipment at all times including when work is not in progress at night, weekends or holidays.

1.10 Disputes:

In the event of a disagreement between the University's Representative and the Contractor regarding interpretation of contractual requirements or individual job requirements, the Contractor is to proceed with the work in question, (unless asked to cease by the University's Representative), under protest until the disagreement is resolved. If the dispute cannot be resolved at the department level, the Director of Procurement Services will be required to arbitrate a resolution. The decision of the Director of Procurement Services will be binding.

1.11

1.11.9 Working Hours:

Normal working hours are considered to be between 7:00 A.M. and 4:30 P.M. Monday through Friday. Overtime rates are considered to be for work performed after 4:30 P.M. Monday through Friday, Weekends and Holidays. Any work performed under the overtime category must be authorized in writing by the University.

1.11.10 Modifications to Quotes - Change Orders: University requested modifications to an individual job scope, which result in a change the original quote, must be authorized by a written change order approval. Change orders shall identify the conditions requiring the modification and the resulting itemized changes in time, equipment and material costs.

EXHIBIT B

SERVICE LOCATIONS

Service Locations shall mean and include the University's main campus located at Storrs, branch campuses in West Hartford, Hartford, Waterbury, Avery Point, Torrington, Stamford, and the UConn School of Law in Hartford. In addition, eight Cooperative Extension Offices located in Bethel, West Hartford, Torrington, Haddam, North Haven, Norwich, Vernon and Brooklyn.

DRAFT

EXHIBIT C
KEY PERSONNEL

DRAFT

EXHIBIT D COMPENSATION

Contract Pricing: Pricing will be based on provided hourly rates and required materials at the Contractor's actual cost plus the provided mark-up percentage:

1. Contractor shall provide pricing/quotations with adequate detail, labor/supervisor rates, list of subcontractors (if applicable), services performed, parts and materials provided with appropriate mark up on a "time & material" basis. Quotations will be provided at no cost to the University.

2. **Department of Labor Service Rates:**

The Contractor will provide services that have mandated service rate requirements.

2.1 The wages paid on an hourly basis to any laborer or workman employed upon the work herein contracted to be done and the amount of payment or contribution paid or payable on behalf of each such employee welfare fund as defined in Subsection (h) of Section 31-53 and 31-57F of the Connecticut General Statutes, shall be at a rate equal to the rate customary or prevailing for the same work in the same trade or occupation in the town in which such project is being constructed. Wage rates, establishing the minimum rates, issued by the State of Connecticut Labor Department and Contractor's Wage Certification Form which shall be made a part of the Contract.

2.2 Pursuant to State of Connecticut General Statutes 31-53 and 31-57F, the Contractor shall submit certified payroll record, utilizing the forms furnished at www.ctdol.state.ct.us. The certified payroll shall be submitted on a monthly basis with a Statement of Compliance to the University.

2.3 It will be the Contractor's responsibility to monitor wage rates issued by the Connecticut Department of labor and ensure that non-supervisory employees are paid the most current wage and benefit rate. The Contractor must contact the Connecticut Department of Labor with questions. www.ctdol.state.ct.us

3. All additional charges, home office expenses, indirect costs relating to field administrative personnel and support staff, insurance including but not limited to general liability, automobile, umbrella, and pollution liability, safety related equipment and other related costs, small tools, consumables which are normally used in execution of the work, Travel time, mileage, meals, parking and/or other items as are commonly considered part of home office overhead are the responsibility of the Contractor and is considered overhead. Such costs are a part of the allowable overhead and markup represented within the contract.

4. **Materials:**

Pricing for materials used for the performance of contracted services shall be no greater than a 10% mark-up from the vendor's actual invoice price.

4.1 The University reserves the right to request copies of invoices for materials furnished from the Contractor's suppliers.

4.2 When appropriate, the University reserves the right to furnish certain materials required in the completion of work under this Contract.

5. **Price Increases:**

Pricing shall remain fixed for the initial term of this Agreement, unless or until the CT DOL Standard Labor Rate is amended. Any request for increase from the Contractor shall be in writing and shall be, at a minimum, equal to but not greater than the most recent standard wage for those labor classifications published by the CT DOL.

5.1 Price increases will only be considered on an annual basis when the University is notified of the increase a minimum of thirty (30) calendar days prior to effective date of an increase;

6. **Working Hours:**

Normal working hours are considered to be between 7:00 A.M. and 4:30 P.M. Monday through Friday. Overtime rates are considered to be for work performed after 4:30 P.M. Monday through Friday, Weekends and Holidays. Any work performed under the overtime category must be authorized in writing by the University.

7. Modifications to Quotes - Change Orders: University requested modifications to an individual job scope, which result in a change to the original quote, must be authorized by a written change order approval. Change orders shall identify the conditions requiring the modification and the resulting itemized changes in time, equipment and material costs.

PRICING:

Pricing for the labor classifications and locations

Materials and supplies at actual invoice plus 10%

Special Equipment rental at actual invoice plus _____%

Sub-contracted labor at actual invoice plus 5 %

Labor Class	Storrs/Depot		Avery Point		Hartford/West Hartford		Stamford		Waterbury/Torrington	
	RegTime	OT	RegTime	OT	RegTime	OT	Reg Time	OT	Reg Time	OT
S-1										
S-2										
D-1										
D-2										
B-1										
B-2										
E-1										
E-2										
G-9										
G-8										
P-1										
P-2										
L-1										
L-2										
Apprentice /Helper										

EXHIBIT E – 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.