

# ADDENDUM #1

DATE: November 12, 2021  
TO: All Prospective Bidders  
FROM: Shamona Kamm, Purchasing Agent II  
RE: **ITB # SK102721 – Door & Door Hardware Installation, Maintenance & Repair Services**

All respondents are hereby advised of the following amendment to the Invitation to Bid 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 the following document information as shown in Addendum No. 1. 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 to [cpca@uconn.edu](mailto:cpca@uconn.edu), clearly marked in the subject line 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.**

**Refer to the following clarifications:**

- 1. Appendix A – Draft Contract Form is included with this Addendum.**
- 2. Attached is the RFI Log.**

\_\_\_\_\_  
Name of Bidder

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

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



**SERVICE AGREEMENT  
For  
Door and Door Hardware Installation, Maintenance and Repair**

**Contract No. SK102721**

This Agreement is by and between the **University of Connecticut** (the “**University**”) and [\_\_\_\_\_] ., a [\_\_\_\_\_] having an office 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**” or “**Contract**” shall mean this Agreement and all exhibits and schedules hereto.

“**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.

“**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 IX, Section B.

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

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

“**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 Marshal, 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.**

**“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 IX, Section A.

**“Work Product”** shall mean all materials (including works in progress) created by Contractor in connection with its performance of the Services.

## II. TERM OF AGREEMENT

A. Initial Term. The term of this Agreement shall commence on December 1, 2021 and shall continue until and including November 30, 2023 (the “Initial Term”) unless sooner terminated in accordance with this Agreement.

B. Extensions.

1. Options. The University shall have options to extend this Agreement (each, an **“Extension Option”**) for three (3) additional periods of one (1) year each (each, an **“Extension Term”**), or for parts thereof.
2. Terms. The terms and conditions applicable during an Extension Term shall be the same terms and conditions contained herein.
3. Exercise. To exercise an Extension Option, the University shall provide written notice to the Contractor’s Representative no later than thirty days prior to end of the then-ongoing Term. If requested by the University, the Contractor shall enter into an amendment to this Agreement memorializing the exercise of an Extension Option (provided that the forgoing shall not be construed as requiring any such amendment to exercise an Extension Option). The University shall exercise an Extension Option at its sole discretion. If the

University declines to exercise an Extension Option, this Agreement shall expire effective on the expiration of the then-ongoing Term.

- C. Amendment Terms.  
Revisions to this Agreement, excluding extensions, 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, 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. 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:

1. Occupational Safety and Health Administration (OSHA).
2. 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](http://ehs.uconn.edu/ppp/Contractor_EHS_Manual.pdf)
3. CHRO. As applicable, the laws and regulations enforced by the Commission on Human Rights and Opportunity and the Equal Employment Opportunity Commission.
4. 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.

E. Equipment and Supplies.

1. **Equipment.** All supplies and equipment necessary to perform the Services ("**Equipment**") will be provided by the Contractor at its own expense.
  - a. All Equipment shall be new or like-new.
  - b. The University may require that the Contractor purchase any Equipment the University reasonably deems necessary to perform the Services and, without limitation, reserves the right to require specific Equipment.
  - c. The Contractor shall be responsible for providing and maintaining all Equipment.
  - d. The Contractor shall maintain an adequate supply of Equipment at all times and shall keep enough emergency equipment on-site to respond to emergencies.
  - e. In the event the Contractor fails to maintain a supply of Equipment as required under this Section, the University reserves the right to (without being obligated to do so) supply the necessary Equipment and to withhold the costs thereof from amounts otherwise due to the Contractor under this Agreement.
  - f. The remedies described in this Section are not exclusive. Nothing herein shall limit the University rights to more than one of the remedies described in this Section and/or to other remedies under this Agreement, in law, or in equity.
2. **Maintenance and Storage.** The Contractor is responsible for keeping all supplies in its control and all Equipment, including personal protective equipment, well maintained and compliant with Law and shall check the same periodically for safety hazards. All supplies in the Contractor's control and all Equipment is to be stored out-of-sight in the appropriate designated area(s) when not in use. The Contractor shall be responsible for using all products as indicated by the manufacturer.
3. **Compliance.** The Contractor shall comply with all Laws, including OSHA requirements, and maintain the appropriate Material Safety Data Sheets ("**MSDS**") wherever it uses and/or stores chemicals on University property. The Contractor will also provide the University's Representative with a composite manual on each MSDS. The MSDS shall be kept current. Upon request, the Contractor shall submit a written list of all supplies with attached MSDS intended for use in the Service Areas. All chemicals and supplies must be properly labeled and stored according to OSHA regulations. Supplies and chemicals shall be discussed during the semi-annual vendor review meeting, to include topics such as: reporting, cost reduction, supply distribution, usage, standardization and green cleaning. The Contractor shall work with the University on an ongoing basis to test new supplies, methods, processes and consumables to develop program improvements.

#### IV. COMPENSATION

A. **Maximum Amount Payable:** \$[\_\_\_\_\_]

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 of invoice. Invoices shall be submitted along with the supporting documentation as required under this Agreement unless otherwise directed by the University. If required, 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. Increase. Pricing shall remain fixed for the initial term of this Agreement. Submitted pricing shall be all inclusive. The 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 CT DOL. Price increases will only be considered on an annual basis when appropriate documentation is provided and the University is notified of the increase a minimum of thirty (30) calendar days prior to the effective date of an increase. All requests for rate adjustments are subject to University review and approval.

4. 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 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.

**V. 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 8:00am and 5:00pm EST. Upon the University's request, the Contractor will, without any entitlement to any increase in compensation for Services as described in this Agreement, perform Services outside these hours and on Saturdays and Sundays in order to avoid disruption in the University's operations.

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.

## VI. CONTRACTOR AND STAFFING QUALIFICATIONS

### 1. 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. Where the Contractor's compensation is based on Time and Materials, 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) The Contractor shall not subcontract any Services under this Agreement without the prior written consent of the University Representative. All subcontractor personnel 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. Any subcontractors hired directly or indirectly by the Contractor must be named prior to the start of work. Furthermore the Contractor must review the subcontractor(s) workers compensation experience rate, OSHA record, and safety program and shall not enter into any subcontract, or allow any subcontract for the Services to be entered into, with an entity with a rate of 1.0 or greater, outstanding OSHA violations or actions, or an inadequate safety program. The Contractor shall require the subcontractor to sign and submit EHS manual affidavit forms satisfactory to the University prior to starting work. For specialized emergency work, such as restoration after a fire, some or all these prerequisites may be waived by the University Representative in writing; provided, however, that in such event, the Contractor shall be responsible for providing full-



time supervision of the relevant subcontractor(s).

- (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.
- (f) The Contractor represents and warrants that all of the Contractor's employees that perform Services will be either citizens of the United States or legally eligible to work in the United States. The Contractor represents and warrants that it complies, and will continue to comply, with all applicable immigration laws and regulations.
- (g) In the event an employee of the Contractor reports or complains of any type of harassment from a University staff member or another of the Contractor's employees, then the incident is to be immediately reported to the University. In addition, if at any time an employee of the Contractor is asked to do anything outside the scope of this Agreement, then the incident is to be immediately reported to University Procurement Services. Furthermore, the University will not allow any employee of the Contractor to do any personal work, paid or as a favor, for anyone with influence over the management of this Agreement. The Contractor shall report any incidents in violation of the preceding sentence to University Procurement Services in a timely manner.

## 2. Key Personnel.

1. The Contractor shall provide any personnel listed on Schedule C, which personnel shall, without limitation, perform any duties assigned to such personnel on Schedule C.
2. **"Key Personnel"** are any individuals that are designated by name on Schedule C. In the event the Contractor desires to substitute any Key Personnel, 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.
3. No person may be in a supervisory position over a family member or person with a significant personal relationship to such supervisor.
4. The Contractor shall maintain a record of the name, address, and date of hire of each member of its personnel providing Services and shall provide such records to the University's Representative.

## C. Wages.

1. 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](http://www.ctdol.state.ct.us).

2. The Contractor shall comply with any wage obligations owed to its employees under any collective bargaining agreement.

D. Training and Supervision.

1. The personnel employed by the Contractor shall be capable employees, trained and qualified in the Services. All personnel will receive close and continuing first-line supervision by the Contractor.
2. The Contractor's employees must wear identifiable uniforms approved by the University and name tags that include the Contractor's name, the employee's full name, and the employee's picture and must carry UConn-issued identification. The Contractor's employees must also wear proper personal protective equipment whenever appropriate. The Contractor shall supply all such uniforms and personal protective equipment.
3. All the Contractor's employees shall utilize computerized time clocks provided by the Contractor to clock in and out. The University shall have access to the headcount information at all times. The Contractor shall also maintain a sign-in sheet, which shall document name, sign-in/out time, and key issuance. The Contractor shall ensure that the clock-in/out process is accurate, effective and efficient.
4. The Contractor's personnel will interact with University employees in a friendly and courteous manner. Personnel will not engage in inappropriate conduct such as borrowing money from University employees, students, or visitors, and will not use State owned telephones for personal calls, argue on the job, conduct outside business at University locations, use University equipment or supplies for personal reasons or to satisfy responsibilities of the Contractor under this Agreement, or take University materials, equipment, or supplies, including those belonging to employees, for any reason. The Contractor's personnel will not accept gifts or gratuities from anyone at the University for any reason. The University has the right to, at its judgment, remove, or require the removal of, any of the Contractor's personnel from any University location.
5. When notified by the University of an act of theft or dishonesty by the Contractor's personnel, and such act is not reasonably in dispute, the Contractor shall immediately reimburse the University for the amount of the University's resulting loss without waiting for any potential reimbursement or recovery from the Contractor's fidelity carrier.
6. The Contractor shall ensure that its personnel receive training necessary to properly perform the Services. Such training shall be consistent with this Section 6; provided, however, that the University may request any such training as it reasonably deems appropriate. Evidence of training must be provided upon request of the University.
  - a. Training shall be provided to an employee prior to such employee commencing Services and shall be refreshed at appropriate intervals or as otherwise requested by the University. All such training shall be at no cost

to the University. The University's Representative must approve all training programs.

- b. Without limiting the forgoing, training shall include: (i) blood-borne pathogen training, (ii) asbestos awareness training, (iii) appropriate chemical "hazard" communication training, (iv) workplace safety training, (v) orientation to the area(s) being serviced, (vi) green training, (vii) trash compactor training, (viii) radiation safety training, and (ix) electrical safety training.
- c. At times special circumstances may arise in which the University would require that the responsibilities of one or more members of the Contractor's personnel change for a short period of time. As such, the Contractor must ensure that personnel are trained to be flexible and able to handle special circumstances as they arise.

- 7. The Contractor's supervisors must all be able to speak, read and write fluent English.

## VII. 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. 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.

## VIII. CONTRACTOR'S REPRESENTATIONS, WARRANTIES, GUARANTIES AND CONFIDENTIALITY

- A. Representations and Warranties. Without limiting the other representations, warranties, or obligations of the Contractor hereunder, the Contractor represents and warrants to the University, which representations and warranties shall survive the termination of this Agreement, that:
  - 1. The Contractor is a corporation operating under the name of in the opening paragraph of this Agreement; is duly organized, validly existing and in good standing under the laws of the State of Delaware; and is authorized to conduct business in the State of Connecticut in the manner contemplated by this Agreement.
  - 2. The Contractor has taken all necessary action to authorize the execution, delivery and performance of this Agreement and has the power and authority to execute, deliver and perform its obligations under this Agreement.
  - 3. The Contractor will comply with all applicable Laws in satisfying its obligations to the University under and pursuant to this Agreement.
  - 4. The 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: (a) any provision of any of the Laws; (b) any order of any court or the State; or (c) any

indenture, agreement, document or other instrument to which it is a party or by which it may be bound.

5. The 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.
6. As applicable, the Contractor has not, within the three (3) years preceding the date of this Agreement, in any of its current or former jobs, been convicted of, or had a civil judgment rendered against it 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. The 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.
7. The Contractor has not within the three (3) 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.
8. The Contractor is able to perform under this Agreement using the Contractor's own resources or the resources of a party who was not a bidder for the Services.
9. The Contractor has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in the State of Connecticut.
10. The Contractor has a record of compliance with Occupational Health and Safety Administration regulations without any unabated willful or serious violations.
11. The Contractor owes no unemployment compensation contributions.
12. The Contractor is not delinquent in the payment of any taxes owed, or, that the Contractor has filed a sales tax security bond, and the Contractor has, if and as applicable, filed for motor carrier road tax stickers and has paid all outstanding road taxes;
13. All of the Contractor's vehicles have current registrations and, unless such vehicles are no longer in service, the 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. Without limiting the other guarantees or obligations of the Contractor hereunder, The Contractor hereby guarantees, which guarantees shall survive the termination of this Agreement that the Contractor shall:

1. Perform fully under this Agreement;
2. Guarantee the Services (including without limitation all of the parts and equipment used in connection therewith) against defective material or workmanship;
3. 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;
4. With respect to the provision of the Services, pay for all permits, licenses and fees and give all required or appropriate notices; and
5. Neither disclaim, exclude nor modify the implied warranties of fitness for a particular purpose or of merchantability.

C. Warranty. Without limiting the other warranties or obligations of the Contractor hereunder, 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.

D. Confidentiality. Contractor may not disclose the terms of this Agreement or any non-public, confidential information received from UConn to any third party (other than to its professional advisors) or use such information for any purpose other than for performing the Services, without UConn's prior written consent. The Work Product is the confidential information of UConn. In addition to the responsibilities in this Article VIII Section D, Contractor agrees to adhere to and comply with the requirements of the University's Confidentiality Agreement attached hereto as Exhibit G.

## IX. 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 IX, will be provided to the other party in writing and a copy of the written notification shall be maintained in the official Contract record.

**X. CONTRACTOR'S INSURANCE AND GUARANTEE**

A. Contractor's Insurance Requirements.

1. The Contractor shall 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.
2. The Contractor shall maintain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance and commercial general liability insurance with limits no less than those 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:	\$2,000,000 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 shall list 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 listed 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.

## XI. CONTRACTOR'S INDEMNITY AND ASSUMPTION OF LIABILITY

- A. General Indemnity. 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.

- B. Intellectual Property Indemnity. Contractor shall defend, and pay any damages and costs awarded in final judgment or made in settlement of, any claim or suit against University by a third party alleging that a Service or Work Product provided by Contractor, when used in conformity with Contractor's instructions and documentation, infringes a U.S. patent, copyright or trade secret. If any Service or Work Product is determined by a court of competent jurisdiction to be infringing, or in Contractor's opinion is likely to become the subject of a claim of infringement or violation, Contractor may, at its option, procure for University the right to continue using the Service or Work Product, or replace or modify the Service or Work Product so it is not infringing. If Contractor cannot secure these remedies on a reasonable basis and if University must discontinue use of any Service or Work Product, Contractor shall refund a portion of the fees paid for the infringing Service or Work Product based on the expected life of the Service deliverable of the Work Product.

The foregoing indemnity shall not apply to any infringement claim arising from (i) a Service or Work Product that has been modified by any party other than Contractor; (ii) University's use of a Service or Work Product in conjunction with the products or services of parties other than Contractor where such use gives rise to the infringement claim; (iii) University's use of a Service or Work Product after written notice to Contractor to cease such use; (iv) a Service or Work Product not used in accordance with Contractor's instructions and specifications; (v) University's use of other than the current release of a Service or Work Product if such claim would have been avoided by the use of the current release provided by Contractor; (vi) University's use of a Service or Work Product with services or products not provided by Contractor; or (vii) Contractor's compliance with any design, specification or instruction of University.

This Section sets forth University sole and exclusive remedies for infringement or misappropriation of third party rights. Services and Work Products do not include any third party services, products or materials, whether or not supplied by Contractor.

Nothing in this Article XI will be construed as obligating the Contractor to indemnify or hold harmless any of the parties indemnified under this Article XI 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 XI shall survive the termination and expiration of this Agreement.

## **XII. MODIFICATION OF AGREEMENT AND SCOPE CHANGE**

- A. Modification. 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.
- B. 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.

## **XIII. TERMINATION**

- A. Termination.
1. For Convenience. The University may, upon sixty (60) days' written notice, terminate performance of work under the Contract in whole or in part whenever, for any reason, the University shall determine that such termination is in the best interest of the University and/or the State of Connecticut.
  2. For Non-appropriations of Funds. If funds needed for the continued payment by the University of the amounts that would become under this Contract are at any time not forthcoming or insufficient, either due to the Connecticut Legislature declining to provide funds or due to the alteration of the program under which funds were provided, then the University shall have the right to terminate the contract without penalty on thirty (30) days' written notice documenting the lack of funding. In such event, and unless otherwise agreed to, the Contract shall become null and void on the last day of the fiscal year for which appropriations were received; provided, however, that if an appropriation to cover the costs of this Contract becomes available within sixty (60) days subsequent to termination under this clause, the University and Contractor agree to reestablish a contract under the same provisions, terms and conditions of this Contract. This paragraph shall survive termination of this Contract.
  3. For Cause. The University may terminate this Agreement, in whole or in part, for cause. Such termination shall be effected as follows:
    - a. The University shall provide the Contractor with a Notice to Cure citing the instances of noncompliance with the Contract. The Contractor shall have ten (10) days to reply to the Notice to Cure and indicate why the Contract should not be terminated and recommend remedies to be taken.
    - b. If the Contractor and the University reach an agreed upon solution, the Contractor shall then have thirty (30) days after such agreement to effect such solution.
    - c. If a mutually agreed upon solution cannot be reached within ten (10) days of receipt of Notice to Cure by the Contractor, the University may terminate the Agreement by written notice to the Contractor.
    - d. If the mutually agreed upon solution described above is not implemented within thirty (30) days from the date of such agreement, the University may, at its option, and



without limiting its remedies under this Agreement or at law or equity, (i) terminate the Agreement by written notice to the Contractor or (ii) procure the subject goods or services from another source and charge any cost difference to the Contractor.

B. Obligations of Contractor upon Termination by the University.

1. Upon the date of termination, the Contractor shall cease the performance of Services as directed by the University, 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.
2. 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. Payment in the Event of Termination.

1. If the University terminates this Agreement for convenience as provided in Section A.1 of this Article XIII or for non-appropriation of funds as provided in section A.2 of this Article, the Contractor shall be entitled to receive, as its sole remedy, (i) all amounts due and owing as of the effective date of termination plus (ii) 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.
2. If the University terminates this Agreement "for cause" under Section A.3 of this Article XIII, 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 (a) 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 (b) 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 attorneys' 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.

#### **XIV. 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 Article XIV 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.

## **XV. 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, actual Contract performance from the date of Contract award, and any other documents (including electronic storage media) pertaining to this Agreement for a period of three (3) years 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 IX, Section B, or by the Contractor's Official at the address listed in Article IV, 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.

## **XVI. 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.

## **XVII. 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 Discovery Drive, Unit 6076, Storrs, Connecticut 06269-6076. Attn: [\_\_\_\_\_]

*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.

(a) For purposes of this Section, the following terms are defined as follows:

- 1) "Commission" means the Commission on Human Rights and Opportunities;
- 2) "Contract" and "contract" include any extension or modification of the Contract or contract;
- 3) "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
- 4) "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.
- 5) "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- 6) "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;
- 7) "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- 8) "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;
- 9) "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 Conn. Gen. Stat.

§ 32-9n; and

- 10) "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, unless the contract is a municipal public works contract or quasi-public agency project contract, (2) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. § 1-267, (3) the federal government, (4) a foreign government, or (5) an agency of a subdivision, state or government described in the immediately preceding enumerated items (1), (2), (3), or (4).

(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, status as a veteran, intellectual disability, 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 ensure 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, status as a veteran, intellectual disability, 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 Conn. Gen. Stat. §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. §§ 46a-56, 46a-68e, 46a-68f and 46a-86; 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 Conn. Gen. Stat. § 46a-56. If the contract is a public works contract, municipal public works contract or contract for a quasi-public agency project, the Contractor agrees and warrants that he or she will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works or quasi-public agency 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 in every subcontract entered into in order to fulfill any obligation of a municipal public works contract for a quasi-public agency project, 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 Conn. Gen. Stat. § 46a-56 as amended; 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 regarding a State contract, 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 Conn. Gen. Stat. § 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 Conn. Gen. Stat. § 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 Conn. Gen. Stat. § 46a-56 as amended; 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 regarding a State contract, 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.

(i) Nondiscrimination Certification.

Pursuant to subsection (c) of section 4a-60 and subsection (b) of section 4a-60a of the Connecticut General Statutes, the Contractor, for itself and its authorized signatory of this Contract, affirms that it understands the obligations of this section and that it will maintain a policy for the duration of the Contract to assure that the Contract will be performed in compliance with the nondiscrimination requirements of such sections. The Contractor and its authorized signatory of this Contract demonstrate their understanding of this obligation by either (A) having provided an affirmative response in the required online bid or response to a proposal question which asks if the contractor understands its obligations under such sections, or (B) initialing this nondiscrimination affirmation in the following box:

F. Executive Orders. 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 employment openings and Executive Order No. Sixteen of Governor John G. Rowland, promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. The Contract may also be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services. If Executive Order 14 is applicable, it is deemed to be incorporated into and made a part of the Contract as if it had been fully set forth in it. At the Contractor's request, the University shall provide a copy of these orders to the Contractor.

G. 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.

- H. 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 University Compliance, 28 Professional Park Road, Unit 5084, Storrs, CT 06269-5084; Phone 860-486-2530; 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.
- I. Campaign Contribution Restriction. For all State contracts, defined in section 9-612 of the Connecticut General Statutes as 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 Contract represents that they have received 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.
- J. 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.
- K. 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.
- L. 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.
- M. 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.
- N. 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.
- O. 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.
- P. 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.

- Q. 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.
- R. 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.
- S. 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.
- T. 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.
- The Contractor shall supply the University with a contingency plan for any potential work disruption, at least sixty (60) days prior to the anticipated event. The University reserves the right to reject or accept the plan. Failure to provide such a contingency plan or to obtain the University's approval thereof shall, notwithstanding paragraph 1 of this Section T, render a work disruption not a force majeure.
- U. 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.
- V. 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.

W. Background Checks.

1. The Contractor warrants that it will not assign any employee, independent contractor or agent to perform services under this Agreement unless that employee, independent contractor or agent has completed a background check and is deemed suitable by vendor for performing such services on a college campus attended and inhabited by students. The background check must minimally include criminal conviction information for the past seven years, a check of the national and state sex offender registries and a social security number verification. In conducting such background check, the Contractor shall comply with all applicable federal and state laws. All fees associated with the background checks shall be the responsibility of the Contractor. The Contractor shall immediately remove any employee, independent contractor or agent performing services under this Agreement on campus: (i) if it becomes known to the Contractor that such person may be a danger to the health or safety of the campus community, or (ii) at the request of the University, based on a concern of community or individual safety.
2. Without limiting the other indemnification obligations of the Contractor under this Agreement, 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 Contractor, its employees, or other persons that Contractor causes to be on the campus.

X. 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.

Y. Use of University Name and Marks. Except as expressly authorized in this Agreement, Contractor is not permitted to use any University name or mark without prior written approval of the University's Office of Trademark Licensing or such other University official as the University may designate. "University mark" is herein defined as all registered marks to the University's name (past or present), abbreviations, symbols, emblems, logos, mascot, slogans, official insignia, uniforms, landmarks, or songs. Contractor agrees to comply with the University's trademark licensing program concerning any use or proposed use by Contractor of any of University marks on goods, in relation to services, and/or in connection with advertisements or promotion of Contractor or its business. Prior to any use of a University mark by Contractor (or its affiliates or successors or assigns), Contractor will submit the proposed use of the University mark, together with a sample or specimen of the intended use, to the University's Office of Trademark Licensing for approval. Such permission to use the mark as may be granted pursuant to the terms of this Agreement shall terminate at the expiration of the Agreement

Z. Counterpart Signatures. This Agreement may be executed in counterparts, and each counterpart shall have the same force and effect as an original and, when taken together, shall constitute one and the same instrument and an effective binding agreement on the

part of each of the undersigned. Execution of a facsimile or PDF copy shall have the same force and effect as execution of an original. Signed copies of this Agreement may be faxed and e-mailed with the same force and effect as if the originally executed Agreement had been delivered.

- AA. Summary of Ethics Laws. Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the State has provided to the Contractor the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of this Contract as if the summary had been fully set forth in this Contract; (b) the Contractor represents that the chief executive officer or authorized signatory of the Contract and all key employees of such officer or signatory have read and understood the summary and agree to comply with the provisions of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Contractor shall provide the summary to all subcontractors and consultants and each such contract entered into with a subcontractor or consultant on or after July 1, 2021, shall include a representation that each subcontractor or consultant and the key employees of such subcontractor or consultant have read and understood the summary and agree to comply with the provisions of state ethics law; (d) failure to include such representations in such contracts with subcontractors or consultants shall be cause for termination of the Contract; and (e) each contract with such contractor, subcontractor or consultant shall incorporate such summary by reference as a part of the contract terms.
- BB. Large State Contract Representation for Contractor. Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:
- (1) That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi-public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, or (ii) any public official or State employee of any other State agency, who has supervisory or appointing authority over such State agency or quasi-public agency;
  - (2) That no such principals and key personnel of the Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and
  - (3) That the Contractor is submitting bids or proposals without fraud or collusion with any person.
- CC. Large State Contract Representation for Official or Employee of State Agency. Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the State agency official or employee represents that the selection of the most qualified or highest ranked person, firm or corporation was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.
- DD. Iran Energy Investment Certification.

(a) Pursuant to section 4-252a of the Connecticut General Statutes, the Contractor certifies that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date.

(b) If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section shall not be subject to the penalties of false statement pursuant to section 4-252a of the Connecticut General Statutes. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the Contract.

EE. Consulting Agreements Representation. Pursuant to section 4a-81 of the Connecticut General Statutes, the Contractor represents that it has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contracts. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the Connecticut General Statutes as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes.

_____ Consultant's Name and Title	_____ Name of Firm (if applicable)
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_____ Start Date	_____ End Date	_____ Cost
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The basic terms of the consulting agreement are: \_\_\_\_\_  
\_\_\_\_\_

Description of Services Provided: \_\_\_\_\_  
\_\_\_\_\_

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

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

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

**University of Connecticut**

[ \_\_\_\_\_ ]

By \_\_\_\_\_

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

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

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

Title: \_\_\_\_\_  
Statutory Authority: C.G.S. Sections 4a-52a,  
and 10a-151b

It's Duly Authorized \_\_\_\_\_

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

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

Approved as to form:

By: \_\_\_\_\_  
Assistant/Associate Attorney General  
Date: \_\_\_\_\_

The undersigned, being the person signing the Contract, swears that the representation in the Consulting Agreements Representation provision in this Contract is true to the best of my knowledge and belief, and is subject to the penalties of false statement.

\_\_\_\_\_  
Signature of person signing this Contract

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

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

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

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

\_\_\_\_\_  
My Commission Expires

**EXHIBITS**

EXHIBIT A	Services
EXHIBIT B	Service Locations
EXHIBIT C	Key Personnel
EXHIBIT D	Compensation
EXHIBIT E	Confidentiality Agreement

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## EXHIBIT A

### SERVICES

#### 1. Description of Required Goods and Services:

1.1 Equipment and Supplies: Contractor shall have the ability to provide new units and replacement parts for the majority of closure and control hardware brands currently on campus to include those listed below:

- a. Besam
- b. Corbin-Russwin
- c. Pioneer
- d. Ives
- e. Markar
- f. Pemko
- g. Stanley
- h. Ceco
- i. Dorma
- j. Doromatic
- k. Jackson
- l. McKinney
- m. Reese
- n. Von Duprin
- o. Curries
- p. Hager
- q. Glynn-Johnson
- r. Kawneer Door
- s. Nabco (Gyro-Tech)
- t. Rixon-Firemard
- u. Yale
- v. Bommer
- w. Keane Monroe
- x. Horton
- y. LCN
- z. National Guard
- aa. Sargent
- bb. Stealcraft

#### 1.2 Contractor shall provide the below listed services:

- a. Furnish, install and repair both rated and unrated doors and frames.
- b. Furnish, install and repair automatic door operators and their accessories, including required signage.
- c. Furnish, install and repair panic hardware, door closers, hinges, etc.
- d. Furnish, install and repair or replace a variety of door accessories such as thresholds, astragals, weather brushes, pulls and kick plates.
- e. Maintenance of entryways to include inspection, lubrication and adjustment of single door and double door entryways.

2. Contractor shall maintain all Federal and State licenses required for the services being provided. Licenses shall be available for review by the University for all personnel while the services are performed.

3. University Contractor Policy: Contractors must comply with all local, state, federal and University safety requirements (e.g., OSHA, National Electric Code), and assure that all of their employees performing work on UConn campuses have been suitably trained and licensed.

4. Supervision: University staff will provide direction, but not supervision relating to all services provided, including plans and specifications, if required. Contractor's technicians shall have all requisite experience, training, tools, and equipment needed to complete even the most complex projects. Contractor must check in and out with the University representative, either by phone or in person, to communicate job status every time they are on campus to ensure that the University has up-to-date information.

5. Exclusions: University infrastructure components may have existing asbestos containing material (ACM). The requested services shall not include the abatement of any asbestos containing material encountered by the Contractor in the performance of its services. If the Contractor does encounter material that may contain asbestos or other harmful materials, the Contractor shall stop work immediately and promptly notify the University.

6. The Contractor shall maintain all appropriate licensing for vehicles and personnel, insurance, permits, vehicle markings, coding and approvals as may be required to haul equipment over the road in the State of Connecticut.

7. Contractor Availability and Response Times:

7.1 Contractors are required to respond within two (2) business days after notification of an emergency or for routine maintenance requirements.

7.2 Contractors estimating staff are required to respond to the University representative within two (2) business days after notification of a quotation request.

7.3 Contractor shall be authorized sales and service providers for the majority of the manufacturers required and provided.



**EXHIBIT B**

**SERVICE LOCATIONS**

Service Locations shall mean and include all University locations, including the Storrs campus, branch campuses in Waterbury, Avery Point, Stamford, the UConn School of Law in Hartford, Downtown Hartford Campus, UConn Health in Farmington and any additional locations as designated by University.

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**EXHIBIT C**  
**KEY PERSONNEL**

**DRAFT**

**EXHIBIT D  
COMPENSATION**

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## EXHIBIT E

### Confidentiality Agreement

This Confidentiality Agreement (hereinafter the "Agreement") between the University of Connecticut (hereinafter "UConn" or "University") and \_\_\_\_\_ (hereinafter "Contractor") serves to document agreed upon requirements regarding the duty to safeguard Data and Intellectual Property (defined below) that is or may become available to Contractor in the course of providing services to and/or on behalf of UConn. These specifications serve to document agreed upon requirements regarding the duty to safeguard Data and Intellectual Property that is or may become available to Contractor in the course of providing services to and/or on behalf of the University.

Contractor shall comply with the following requirements unless otherwise directed by law or judicial and/or administrative order or prohibited from complying by law or judicial and/or administrative order:

1. **PERSONALLY IDENTIFIABLE DATA NOT OTHERWISE COVERED BY FERPA.**

- a.) **CONFIDENTIAL DATA.** The data available to Contractor in the course of providing technical support to or on behalf of the University shall be considered Confidential Information, unless the University indicates otherwise in writing. Such Confidential Information may contain data associated with students, faculty, staff, customers, clients, members of the public, or other individuals affiliated with the University. Information related to such individuals may be protected by federal and/or state laws and regulations, and/or established industry standards. In particular, the contents of such data or information stored and maintained by Contractor may be protected by, Gramm-Leach Bliley Act ("GLBA"), Electronic Communications Privacy Act (ECPA), federal Red Flags Rule regulations, Federal Trade Commission regulations, Internal Revenue Service regulations and/or other state or federal laws as amended from time to time, and/or by the Payment Card Industry Data Security Standards (PCIDSS), as amended or updated from time to time.
- b.) Data or information to which Contractor may become privy in conducting its work for or on behalf of the University shall not be disclosed or shared with any third party by Contractor, except as permitted by the terms of this Agreement or to subcontractors whose services are necessary for Contractor to carry out its services and only then to subcontractors who have agreed to maintain the confidentiality of the data to the same extent required of Contractor under this Agreement.
- c.) In the event any person(s) seek to access protected and confidential data or information, such access shall be through the University, and Contractor shall only retrieve such data or information as identified by the University or as otherwise required by federal and/or state law. Contractor shall not provide direct access to such data or information or respond to individual requests.
- d.) Should Contractor receive a court order or lawfully issued subpoena seeking the release of such data or information, Contractor shall promptly inform the University of its receipt of such court order or lawfully issued subpoena prior to releasing the requested data or information.

2. **BREACH OF CONFIDENTIALITY.**

The parties agree that any breach of the confidentiality obligations set forth in this Agreement may result in cancellation of this Agreement and/or the ability of Contractor to perform work for or on behalf of the University.

For purposes of this Agreement, "Unauthorized Access," means unauthorized access to or acquisition of electronic files, media, databases or computerized data containing personal information when access to the personal information has not been secured by encryption or by any other method or technology that renders the personal information unreadable or unusable.

In the event that a security breach occurs, Contractor agrees to the following:

- (1) Contractor shall immediately notify University in the event Contractor has knowledge that Unauthorized Access to Confidential Information has been, or may have been, obtained, and Contractor shall immediately take such measures as are reasonably necessary, or requested by University, to identify the cause, impact and contain such Unauthorized Access (the "Mitigation Measures").
- (2) To the extent the Unauthorized Access was not related to the negligent acts or omissions, gross negligence and/or willful misconduct of Contractor and its subcontractors and employees and to Contractor's failure to comply with the terms of this Agreement, Contractor shall, by amendment to this Agreement, be compensated for the Mitigation Measures as an additional service.
- (3) To the extent the Unauthorized Access resulted from the negligent acts or omissions, gross negligence and/or willful misconduct of Contractor or its subcontractors or employees, or from Contractor's failure to comply with the terms of this Agreement, Contractor shall (a) be responsible for the costs of the Mitigation Measures; (b) shall take such actions, and be responsible for the costs thereof, as are necessary to mitigate any damage caused, or that may be caused, by such Unauthorized Access, including, but not limited to, providing identity theft protection for a period of not less than two (2) years to those affected or potentially affected by the Unauthorized Access; and (c) shall indemnify and hold harmless the State of Connecticut, including any agency or official of the State of Connecticut, from and against all costs, claims, damages, or expenses, including reasonable attorney's fees, arising from such Unauthorized Access.

3. **NOTIFICATION.** For the purpose of notification to the University of an actual or potential security breach, the following individuals, or their successors, should be contacted, by phone or fax, and also in writing:
  - Chief Information System and Security Officer, University Information Technology Services, University of Connecticut, Math Sciences Building, 196 Auditorium Road, Unit 3138, Storrs, CT 06269-3138, Phone: (860) 486-3743, Fax: (860) 486-5744
  - Associate Vice President / Chief Privacy Officer, Office of Privacy Protection & Management, University of Connecticut, 28 Professional Park Road, U5084, Storrs, CT 06268, Phone: (860) 486-5256 Fax: (860) 486-4527
4. **RETURN/DESTRUCTION OF DATA.** Upon expiration or termination of the Agreement, Contractor shall return and/or destroy all data or information received from the University in a manner as may be determined between the parties in accordance with agreed upon standards and procedures. Contractor shall not retain copies of any data or information received from the University once the University has directed Contractor as to how such information shall be returned to the University and/or destroyed. Furthermore, Contractor shall ensure that it disposes of any and all data or information received from the

University in the agreed upon manner that the confidentiality of the contents of such records has been maintained. If Contractor destroys the information, Contractor shall provide the University with written confirmation of the method and date of destruction of the data.

5. **PROTECTION OF CONFIDENTIAL INFORMATION.** Contractor agrees that it shall not disclose, provide or otherwise make available proprietary or Confidential Information disclosed to Contractor by the University to any person other than authorized employees, and those employees or agents of Contractor whose use of or access to the Confidential Information is necessary in connection with the work being performed by Contractor for or on behalf of the University. Contractor further agrees that it shall not use Confidential Information for any purpose other than in the performance of the work being conducted for or on behalf of the University. Contractor shall use all commercially reasonable precautions to protect the confidentiality of the Confidential Information, and shall ensure that all employees, agents or contractors of Contractor having access to the Confidential Information understand the commercially reasonable precautions in place, and agree to abide by such precautions.
  
6. **IDENTITY THEFT PREVENTION.** In an effort to combat identity theft, the University maintains a comprehensive *Identity Theft Prevention Program* with a goal of protecting the personal information of students, employees, affiliates and customers. In the course of performing its duties under this Agreement and through its work for or on behalf of the University, Contractor may collect, access and/or receive personal information pertaining to University students, employees, affiliates and customers that can be linked to identifiable individuals (hereinafter "Personal Information"). Such Personal Information is Confidential Information of the University. It is the University's expectation that Contractor will assist the University in its identity theft prevention efforts under *the University's Identity Theft Prevention Program*. Contractor shall collect, access, receive and/or use such Personal Information solely for the purposes of conducting its work for or on behalf of the University and otherwise in compliance with any and all applicable federal and/or state laws. Additionally, Contractor shall safeguard such information in compliance with all applicable federal and state laws, including but not limited to the Fair Credit Transactions Act of 2003 and any regulations promulgated thereunder (e.g., Red Flags Rule regulations), including implementing appropriate policies or procedures for detecting and identifying possible identity theft and similar fraudulent or potentially fraudulent activities, and notify the University of any such suspicious activities. For the purpose of notification to the University, upon identification of a potential or actual issue of identity theft, Contractor shall immediately contact:
  - Associate Vice President / Chief Privacy Officer, Office of Privacy Protection & Management, University of Connecticut, 28 Professional Park Road, U5084, Storrs, CT 06268, Phone: (860) 486-5256 Fax: (860) 486-4527

**RFI Log**

**ITB SK102721 - Door & Door Hardware Installation, Maintenance & Repair Services**

RFI #	Question:	Response:
1	Please provide the approximate number of doors included in the contract.	The University has approximately 80+ buildings on the Storrs Campus plus the regional campuses. Each of these buildings has at the very minimum one entrance that could be included. There are over 2,000 doors just on the Storrs campus. The University does not have exact quantities for each campus.
2	Please provide the approximate number of service calls for Door Controllers in 2020 and 2021 YTD.	FY20 - Approximately 18 assignments; FY21 - Approximately 15 assignments. Determination cannot be made as to if these assignments were for new install, maintenance or repair.
3	Please provide the number of physical locations and addresses of the sites included in the contract.	Addresses of physical locations include but are not limited to the following: Storrs Main Campus, Storrs CT Avery Point Regional Campus, 1084 Shennecossett Rd, Groton, CT 06340 Brooklyn Regional Campus, 139 Wolf Den Road, Brooklyn CT 06234 Hartford Regional Campus, 10 Prospect Street, Hartford CT 06103 Haddam Regional Campus, 1066 Saybrook Rd, Haddam, CT 06438 Hartford Law School, 55 Elizabeth Street, Hartford CT 06105 Stamford Regional Campus, 1 University Place, Stamford CT 06901 Torrington Regional Campus, 855 University Drive. Torrington, CT 06790 Waterbury Regional Campus, 99 E Main St, Waterbury, CT 06702
4	Would UConn be willing to purchase the most common Door Controller/parts and store them at the UConn Storrs campus?	The University will reach out to its contracted suppliers in regards to a stock program.
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