

## Anonymous Ethics and Compliance Hotline Services RFP

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The University of Connecticut is seeking proposals from qualified firms offering Anonymous Ethics and Compliance Hotline Services.

<b>Open</b>	9/27/2019 2:00 PM EDT	Type	Purchasing- Request for Proposal
<b>Close</b>	10/11/2019 2:00 PM EDT	Number	MF092619
		Currency	US Dollar
<b>Sealed Until</b>	10/11/2019 2:00 PM EDT		

### Contacts

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### Commodity Codes

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*None Added*

### Description

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#### **Intent to Bid Directions:**

Suppliers intending to bid must read and follow the Proposal Submittal Instructions provided below.

#### **Questions Due: October 4, 2019 @ 5:00 PM**

Answers to questions will be provided by: **October 8, 2019 @ 5:00 PM.**

#### **About UConn - General:**

The University is a Land, Sea, and Space Grant consortium institution, which occupies over 4302 acres, enrolling over 30,000 students for the academic year of 2016-2017. The total construction-related budget for fiscal year 2014 was \$2.1 billion dollars and on-going initiatives include UCONN 2000 & 21st Century UConn, Next Generation Connecticut, and Bioscience Connecticut. The main campus is located in Storrs, Connecticut and regional campuses located throughout Connecticut. Regional campuses include Avery Point in Groton, Stamford, Waterbury, and Hartford. Its academic health center, UConn Health, is located in Farmington, Connecticut. The UConn School of Law is located in West Hartford, Connecticut. Detailed University demographics are available via the following link:

[2019 Fact Sheet](#)

#### **Scope of Work (brief):**

The University of Connecticut is seeking proposals from qualified firms offering **Anonymous Ethics and Compliance Hotline Services** to enter into a University-wide contract(s) to provide the described services to the University.

#### **RFP Definitions:**

"Request for Proposals (RFP)" means all documents, whether attached or incorporated by reference, utilized for soliciting proposals. Awards made as a result of an RFP shall be based upon "Competitive negotiations".

"Sourcing Event" means an electronic bid document in the form of a request for quotation, request for proposal, etc. for goods and services that is solicited through the University's branded HuskyBuy self-service online portal.

"Competitive negotiation" means a procedure for contracting for supplies, materials, equipment or contractual services, in which proposals are solicited from qualified suppliers by a request for proposals, and changes may be negotiated in proposals and prices after being submitted.

"Addenda" means written and/or graphic instructions issued by the University subsequent to the receipt of proposals that modify or interpret the Request for Proposal documents by addition, deletions, clarification, or corrections.

"Proposer" means a person, firm or corporation submitting a proposal in response to a Request for Proposal.

"Contractor" means any business that is awarded, or is a subcontractor under, a contract or an amendment to a contract with a state contracting agency under statutes and regulations concerning procurement, including, but not limited to, a small contractor, minority business enterprise, an individual with a disability, as defined in section 4a-60, or an organization providing products and services by persons with disabilities.

"Informal communications" means any communication method other than written emails to the Point of Contact Person identified for this RFP.

"Non-Acceptance of Proposal" means another proposal was deemed more advantageous to the University or that all proposals were rejected.

"Offer" or "Proposal" means the Proposer's response to this Request for Proposal.

"Services" shall mean all services described within the scope of this RFP.

"Agreement" shall mean the contract issued as a result of this Request for Proposal.

"CT-based Businesses" shall be a firm that is: (i) a business entity organized, headquartered and operating in the State of Connecticut for at least one year prior to the date of bid submission; or (ii) a business entity that is authorized to do business in Connecticut, maintains an operating location in Connecticut, and has generated over 50% of its annual gross revenues each year, over the past five (5) years prior to the date of bid submission, from work on projects located in Connecticut.

"Joint Venture" in this sourcing context refers to firms that may have familiarity within particular areas but may not be subject matter experts in all necessary areas; therefore, the University welcomes joint venture proposals.

"SBE/MBE Firm" shall refer to a certified Small Business Enterprise/Minority Business Enterprise firm that meets the qualifications as determined by legislation, Connecticut General Statute 4a-60g (Supplier Diversity Statute) as amended by Public Act 11-229.

"University" or "UConn" or a pronoun used in its place shall mean the University of Connecticut main campus at Storrs, Connecticut as well as its five regional campuses and the Cooperative Extension Offices.

"UConn Health" or "UCH" shall mean University of Connecticut Health and its affiliates.

**Proposal Selection Evaluation Criteria:**

All proposals will be evaluated by a selection committee, using the specific evaluation criteria listed in the table below. Each criterion has been assigned a point value. The evaluation committee will conduct a comprehensive review and analysis of the received proposals and recommend which proposals are the most advantageous to the needs of the University.

**Evaluation Criteria Descriptions and Weights:**

I. Competitiveness of Program Cost Structure/Pricing - 80 Points

II. Quality of Service Team - 15 Points

III. References - 5 Points

TOTAL POINTS AVAILABLE 100 Points

**Submittal Instructions:**

There are a number of sections within this bid that requires your attention.

1. Prerequisites- If there are any forms or questions within this section they are required fields.
2. Buyer Attachments- These will be attachments related to the bid.
3. Supplier Attachments- This section is available to suppliers to upload any necessary attachments.
4. Questions- This section is a point by point response to a number of content including Scope of Work, References, Terms and Conditions, Contract Requirements and Required Submittals.
5. Additional Item Field- Not Applicable
6. Items- If applicable please provide any required pricing information.\*

[\*If pricing is to be submitted in a separate document (outside of the Items page), the following should be requested:

Pricing: Proposals must show stated quantity, unit price, extended amount and grand total with packing and delivery cost to destination included.]

**No Substitute:**

Unless qualified by the provision "NO SUBSTITUTE", the use of the name of a manufacturer, brand, make or catalog designation in specifying an item does not restrict proposers to the manufacturer, brand, make or catalog designation identification. This is used simply to indicate the character, quality and/or performance equivalence of the commodity desired, but the commodity on which proposals are submitted must be of the same or better character, quality and/or performance equivalence that it will serve the purpose for which it is to be used equally as well as that specified. In submitting a proposal on a commodity other than as specified, proposer shall furnish complete data and identification with respect to the alternate commodity bidder proposes to furnish. Consideration will be given to proposals submitted on alternate commodities to the extent that such action is deemed to serve best the interests of the State. If the

proposer does not indicate that the commodity he/she proposes to furnish is other than specified, it will be construed to mean that the proposer proposes to furnish the exact commodity described. Any substitutions must meet or exceed all specification requirements and must receive approval in writing from the appropriate party at the University prior to any order being filled.

### **Point of Contact & Communication:**

Upon formal issuance of a Sourcing Event, the University and Proposer(s) will cease all informal communications relevant to the Sourcing Event. All communications and/or inquiries regarding this Sourcing Event must be directed to the contact person identified within. All questions must be submitted through this portal. Upon Sourcing Event status change with the selected Proposer(s), all other Proposers will be notified as to their Sourcing Event status, or when the University formally rejects all proposals and cancels the Sourcing Event process. Failure to adhere this provision may result in a Proposer being declared ineligible, proposal rejection, or Sourcing Event cancellation. The University will not respond to any request for clarification received after the Deadline for Proposer Questions has expired.

Under no circumstances, may any proposer or its representative contact any employee or representative of the University regarding this Sourcing Event prior to the closing date. Strict adherence to this important procedural safeguard is required and appreciated. Any violation of this condition may result in proposer being considered as non-compliant and ineligible for award.

### **Questions and Answers:**

Please submit all questions through this portal . All Questions and answers will be managed through this portal. Question and answers are incorporated into the Sourcing Event and may be incorporated along with the Sourcing Event into any resulting contract. Failure of a Proposer to not acknowledge the Questions and Answers shall not relieve the Proposer of any responsibility for complying with the terms thereof.

### **Campus Visitor Parking:**

At all Campuses parking is strictly regulated and violations are subject to monetary fines. Visitors must park only in areas specifically designated for general public parking (signed, paved, and lined parking areas and/or parking garage). Detailed parking information is available at the following links:  
[UCONN Parking Services \(Main and Regional Campuses\)](#)

### **Supplier Diversity:**

The University of Connecticut is committed to providing a professionally inclusive environment within which small and minority businesses are encouraged to participate in the procurement experience, as they are afforded equal access to the bid process that transfers goods and services to the campus communities. As such, we encourage participation by Small (SBE), Minority-Owned (MBE), Woman-Owned (WBE) businesses, and businesses owned by persons with a disability (DisBE), certified as such by the State of Connecticut's Department of Administrative Services (DAS) Supplier Diversity Division, pursuant to Connecticut General Statute 32-9e. Additionally, the University encourages Connecticut-based businesses to participate within this public bid process.


To become a DAS-Certified S/M/W/DisBE, your company must meet the qualifications as determined by legislation, under §4a-60g of the Connecticut General Statutes (CGS). For further information, please visit this website: <https://portal.ct.gov/DAS/Services/Licensing-Certification-Permitting-and-Codes/Small-Minority-Business-Center> or contact the DAS Supplier Diversity Division (Set-Aside Program) at (860) 713-5057. To learn about the University of Connecticut's Supplier Diversity Program (USDP), please

visit <http://supplierdiversity.uconn.edu>, or contact the USDP by e-mail at [supplierdiversity@uconn.edu](mailto:supplierdiversity@uconn.edu) or by phone at (860) 486-2614.

### **Contract Term:**

The contract will be an anticipated term of five (5) years with two additional one (1) year options. The contract will commence in early 2020.

Evaluation

 Required to View Event

### **Prerequisites**

★ Required to Enter Bid

There are no Prerequisites added to this event.

### **Buyer Attachments**

1. [Terms and Conditions for Confidential Data](#)
2. [Purchasing Agreement Sample](#)
3. [Pricing Matrix - MF092619](#)

### **Questions**

★ Required Questions

#### **Group 1.1:**

#### **Executive Summary**

1.1.1

#### **Group 1.2:**

#### **Form of Proposal**

1.2.1

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

1.2.2

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

1.2.3

Proposer agrees that the response to this proposal is a legal and binding offer and the authority to make the offer is vested in the signer. Minor differences and informalities will be resolved by negotiation prior to acceptance of the offer. ★

1.2.4

Is proposer currently a State of Connecticut Small Business Enterprise and certified with the State of CT Department of Administrative Services? ★

1.2.5

Please acknowledge by entering "Agree" for payment terms of 2% 15 days, Net 45 days or provide alternate payment terms. ★

1.2.6

Sales Representative Contact Information - please include name, telephone #, email address and attach resume. ★

1.2.7

Confidential Information: The University treats Proposals as confidential until after the award is issued. At that time they become subject to disclosure under the Freedom of Information Act. If a bidder wishes to supply any information, which it believes is exempt from disclosure under the act, said bidder should summarize such information in a separate file, upload here and mark as Confidential. However, any such information is provided entirely at the bidder's own risk and the University assumes no liability for any loss or damage which may result from the University's disclosure at any time of any information provided by the bidder in connection with its proposal. ★

- Freedom of Information: The University is subject to the CT Freedom of Information Act, found in Chapter 14 of the CT General Statutes. Two exceptions may apply are as follows: (1) Conn. Gen. Stat. sec. 1-210(b)(24) permits the University to withhold records related to the procurement process while bidding and contract negotiations are underway (this moratorium is temporary and lasts only until the contract has been executed or negotiations are abandoned); and Conn. Gen. Stat. sec. 1-20(b)(5) permits the University to withhold records in its possession in the event they contain trade secrets (or really any intellectual property). In the event that the University determines that Conn. Gen. Stat. sec. 1-210(b)(5) may apply to a given request for the records in questions, the responsibility to substantiate claims that said would reveal trade secrets and meet the exemption requirements would need to be borne by the owner of said trade secrets, not the University.
- 1.2.8 ★
- Conflict of Interest: The bidder shall disclose and identify to the University, with its proposal, any relationships, which may constitute a potential conflict of interest with the University of Connecticut Procurement Services Department, or any other University organizations or departments for the purpose of determining whether a conflict of interest exists. All such disclosures require acceptance/approval action on the part of the University, who shall determine, in its sole discretion, whether an impermissible conflict exists.
- 1.2.9 ★
- Ethics and Compliance Reporting/Whistleblower Protection: The Office of University Compliance is responsible for handling anonymous ethics and compliance reporting. As a provider of goods and/or services to the University, you are hereby required to notify your employees, as well as any subcontractors, who are involved in the implementation of this contract, of this reporting mechanism. 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 using the information provided on their website at <https://compliance.uconn.edu>
- 1.2.10 ★
- Communications: All formal communications in regards to this solicitation must be in writing in the portal. Until the time when the University posts notification of intent to award; all communications in regards to this solicitation must be sent to the Procurement representative via email. Failure to adhere to this provision may result in a proposer being declared ineligible, proposal rejection, or solicitation cancellation.
- 1.2.11 ★
- Unless specifically authorized in writing by the University's Communications Department on a case by case basis, the Contractor shall have no right to use, and shall not use, the name of the University of Connecticut, its officials or employees, or the Seal of the University, a) in any advertising, publicity, promotion; nor b) to express or imply any endorsement of Contractor's products or services; nor c) to use the name of the state, its officials or employees or the University seal in any manner (whether or not similar to uses prohibited by subparagraphs (a) and (b) above) except only to manufacture and deliver in accordance with this agreement such items as are hereby contracted by the University.
- 1.2.12 ★
- The proposing vendor must certify that no elected or appointed official or employee or student of the University has benefited, or will benefit financially or materially from the proposed services. The University may terminate any contract resulting from this bid, if it is determined that gratuities of any kind were either offered to, or received by, any University officer or employee contract to this policy. The authorized signatory of a submitted proposal automatically attests this to be true. (See also Attachment of Governor Rell's Memo to Vendors Conducting Business with the State of Connecticut). The laws of the State of Connecticut provide it is a felony to offer, promise or give anything of value or benefit to a State employee with intent to influence that employee's acts, opinion, judgment or exercise of discretion with respect to that employee's duty. Evidence of violation of this statute will be turned over to the proper prosecuting attorney. See Code of Ethics in CT
- 1.2.13 ★

**Group 1.3:**

**Standard Contract Terms and Conditions**

- The following terms and conditions will govern in the submission and evaluation of proposals and the award of a contract. Bidders are requested to carefully review the terms and conditions, as they will become part of any subsequent agreement and award process.
- 1.3.1 ★
- Contract Status: The response to this solicitation will be considered an offer to contract. Final negotiations on the highest evaluated offer will be conducted to resolve any differences and informalities. After final negotiations, the University will issue an acceptance of the proposal offer.
- 1.3.2 ★
- Contract Modification: All changes to the contract must be agreed to, in writing, by both parties prior to executing any change.
- 1.3.3 ★
- Contract Assignment or Subcontract: The resulting contract shall not be assigned, transferred, or sublet in whole or in part without the prior written approval of the University.
- 1.3.4 ★
- Notification of Selected Firm: All Proposers will receive written notification of the selected firm after the evaluation committee has approved their selection.
- 1.3.5 ★
- Contract Commencement: The contract will commence upon execution and final approval by the Office of the Attorney General. The Project covered under the contract will be based on the specific University requirements or requests. The University can neither project nor guarantee a specific volume of business over the term of any contract that may result from this solicitation.

- 1.3.6 Ownership of Subsequent Samples: Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the University unless otherwise stated in the contract. ★
- 1.3.7 Samples: The quality of accepted samples does not supersede the specifications for quality in the RFP unless the sample is superior in quality. All deliveries shall have at least the same quality as the accepted sample. ★
- 1.3.8 Samples: Samples shall be furnished free of charge. Bidders must indicate if return of any sample is desired. The University shall comply with such request provided samples are returned at bidder's sole cost and expense, FOB Bidder's destination, and that they have not been made useless by testing. If they are useless by testing, the State may dispose of the samples as it deems to be appropriate. Samples may be held for comparison with deliveries. ★
- 1.3.9 If the vendor fails to deliver or has delivered nonconforming goods, the University shall provide a cure notice as soon as discrepancy is identified. The vendor shall have up to ten (10) business days to correct the deficiency. If the vendor continues to be in default, Procurement will have the right to procure the correct goods from another source and charge the difference between the contracted price and the market price to the defaulting vendor. ★
- 1.3.10 Unless otherwise noted, prices shall include delivery and transportation charges fully prepaid F.O.B. DESTINATION. No extra charges for packing or packages will be allowed. ★
- 1.3.11 The University of Connecticut has, in this Request for Proposal and otherwise, provided proposers with information relating to the University, its current operations and initiative described herein. The University assumes no responsibility or liability for the adequacy or accuracy of any information provided by the University, its agents, employees or representatives. The proposer agrees to waive any claim or defense to any claim relating to the adequacy or sufficiency of any information provided prior to the execution of the anticipated contract. Subject to these limitations, this Request for Proposal contains information describing University communities, operations and planned programs. ★
- 1.3.12 If the University and selected Proposer(s) are unable to reach a mutually agreeable contract, the University reserves the right to abandon negotiations and commence negotiations with the second highest ranked Proposer. The University will be the sole judge of the suitability of the proposed Agreement(s). ★
- 1.3.13 Notwithstanding any other provision of this RFP or any ensuing contract, if funds anticipated for the continued fulfillment of the contract are at any time not forthcoming or insufficient, either through the failure of the Connecticut Legislature to provide funds or alteration of the program under which funds were provided, then the University shall have the right to terminate the contract without penalty by giving not less than thirty (30) days advance written notice documenting the lack of funding. Unless otherwise agreed to, the contract shall become null and void on the last day of the fiscal year for which appropriations were received; except that if an appropriation to cover the costs of this contract becomes available within sixty (60) days subsequent to termination under this clause, the University agrees to re-establish a contract with the firm whose contract was terminated under the same provisions, terms and conditions of the original contract. ★
- 1.3.14 Any Agreement resulting from this RFP will not grant the Proposer a license or other right to duplicate or use any image or intellectual property of the University in any manner other than as may be expressly approved in writing in connection with the performance of the contract. ★
- 1.3.15 The Proposer shall pay all royalties, license fees, and patent to invention rights, or copyrights or trade and service marks and defend all suits or claims for the infringement of any patent or invention right or copyrights or trade and service marks involved in the items furnished in any contract resulting from this RFP. ★
- 1.3.16 The Proposer will hold and save the University and its officers, agents, servants, and employees harmless from liability of any nature or kind, including cost and expenses for, or on account of any patented or unpatented invention, process, article, or appliance furnished in the performance of any contract resulting from this RFP including its use by the owner, unless otherwise specifically stipulated. ★
- 1.3.17 Copyrights for any item specified shall be the property of the University and inure to its benefit and Proposer shall execute such documents, as University may require, for the perfection thereof. ★
- 1.3.18 The University shall retain all rights, title and interest in all its usage, user and biographical data and Proposer shall only use such data to the extent necessary for complying with its obligations to the University unless it otherwise receives express written approval from the University's designee for any other use. ★

The Proposer shall be responsible for the acts and omissions of all the Proposer's employees and all sub-proposer's employees, if applicable, as well as all other persons involved in performing any tasks associated with the provision of the goods and/or services outlined in this RFP by the Proposer.

- 1.3.19 The Proposer shall at all times enforce strict discipline and good order among the Proposer's employees and shall not employ any unfit person or anyone not skilled in the task assigned. The contract awardee, when so determined by the University, shall dismiss incompetent or incorrigible employees from the project, and such persons shall be prohibited from returning to the project without written consent of the University. ★

- 1.3.20 In furtherance of its longstanding commitment to fundamental human rights, to the dignity of all people, and to the environment, the University requires all Vendors to adhere to the "Vendor Code of Conduct" policy (<http://policy.uconn.edu/?p=2718>). Please acknowledge the University policy and, if applicable, provide any additional pertinent information in the Supplier Attachments.

- 1.3.21 The University has recently developed an Access Management Plan for the Storrs campus. The plan will help create a safer pedestrian campus, protecting both the landscape and hardscape by giving service and delivery vehicles safer, more appropriate access to campus buildings. Additional details related to the University's Access Management Plan can be found at <http://www.park.uconn.edu/amplan.html>. Awarded parties will be required to adhere to the requirements of the Access Management plan; therefore bidders shall make themselves familiar with its requirements and agree to adhere to the same. ★

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

**Group 1.4: State of Connecticut Terms and Conditions**

- 1.4.1 Please indicate that your firm agrees to all the State of Connecticut terms and conditions found at this website: <http://contracting.uconn.edu/terms-and-conditions>. If your firm disagrees to any, please choose disagree and provide explanation and/or alternate language in the next line. ★

- 1.4.2 Please provide your exceptions to the State of CT terms and conditions as well as explanation and/or alternate language (if applicable).

**Group 1.5: Delivery Requirements**

- 1.5.1 Delivery Requirements: The University is in the midst of an ambitious, campus-wide building campaign which has resulted in the closing and/or relocation of roads and driveways through the Storrs campus, often times resulting in traffic congestion and making access to buildings and parking at the University difficult. To safeguard the students, faculty and staff, as well as the aesthetic beauty of the University, all bidders are reminded that the following rules and considerations will be required when making deliveries to any University of Connecticut campus: Driving speeds on campus must be kept at a maximum of 25 mph to ensure maximum safety. Pedestrians have the right of way at all times. ★

- 1.5.2 All traffic signs, lights or other indicators are to be obeyed. This is of utmost importance given the amount of construction and pedestrians on campus. ★

- 1.5.3 It is required that deliveries to any dining facility loading dock be made utilizing a maximum sized 24', 6 wheel truck. To facilitate other deliveries, it is imperative delivery trucks have the capability to off load large quantities (pallets) in short periods of time. No trailers are allowed. ★

- 1.5.4 Driving on sidewalks, unless otherwise posted, is forbidden. Violators will be tickets and chronic violators may be barred from doing business with the University. In those areas where sidewalk driving is permitted and required, drivers must employ adequate skills so as to avoid driving on adjacent green spaces. ★

- 1.5.5 Queuing up on sidewalks or in traffic lanes to await load zone access is not permitted as this poses a safety hazard to pedestrians and other vehicular traffic. ★

- 1.5.6 Drivers are required to shut off engines while making deliveries to loading zones. ★

- 1.5.7 Pallets will be picked up a daily basis. ★

**Group 2.1: Scope of Work**



The University of Connecticut is soliciting this Request for Proposal (RFP) to identify a supplier(s) to provide Anonymous Ethics and Compliance Hotline Services to the University of Connecticut based on the specifications provided herein and is open to any alternate solutions that will meet or exceed these specifications.

2.1.1 The University of Connecticut launched a confidential REPORTLINE in June of 2006. The REPORTLINE allows employees an opportunity to report unethical or illegal activity and concerns any time of the day or night by calling a toll-free number or filing a report using a secure web form. The Office of University Compliance markets the Reportline (with a detailed explanation) on their website and in the University's Code of Conduct. During annual compliance training the availability of the Reportline is stressed and employees are encouraged to utilize this asset. ★

The current Reportline receives approximately 12 calls monthly (200 annually). The Reportline is available for students (including study abroad), employees and any concerned party that questions an issue or policy at the University. The Reportline is also available to contractors doing business with the University.

2.1.2 The University seeks proposals from qualified firms to provide continuous service of the confidential REPORTLINE system to members of the University community. The proposed system should be able to support the University's requirements as noted in this Request for Proposal. Services will encompass the main campus in Storrs as well as its Regional Campuses, including Hartford, Waterbury, Stamford, Avery Point, UConn Health and the UConn Law School (Current number of employees: 9,900). ★

Initial screening and technical evaluation of bids will be based upon the ability of the respondent to meet the mandatory requirements and provide the services as specified.

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

While it is the University's intent to make a single award as a result of this RFP, the University reserves the right to make multiple awards if it is deemed to be in the best interests of the University.

**Group 2.2: Vendor Overview**

2.2.1 Please provide the following background information for your firm below: ★

2.2.2 A brief general description of your company and its location. If your company is a subsidiary of another corporation, provide all pertinent information about the parent company. Include the firm's legal name, full address, and telephone number. ★

2.2.3 Provide a brief history of your company, including the total number of years the company has been in business and the number of year the company has been providing an employee hotline. Please provide an executive summary highlighting the company's key elements. ★

2.2.4 If your response indicates a joint effort between your firm and others, describe the relationship between the firms and other vendors involved, including vendor's overview information as requested above. ★

2.2.5 Please describe in detail the capabilities of your case management software solution. ★

**Group 2.3: Solution Requirements**

2.3.1 The following specifications will allow the bidder to identify its ability to service system requirements for the proposed solution: ★

**Group 2.4: Availability**

2.4.1 Respondent's primary intake mechanism must operate 7 days a week, 24 hours per day, and 365 days per year. Please provide a detailed backup plan that would address any potential outages (website, etc.). ★

2.4.2 Detail the average waiting time when a caller is put into a queue if all operators are busy, the number of abandoned calls and the number of busy signals on an average thirty day period for each shift. ★

**Group 2.5: Intake Mechanisms**

2.5.1 Respondent's solution must address the following requirements for intake methods as described below: ★

	Bidder should have an independent and secure complaint intake solution that operates 7 days a week, 24 hours a day. 365 days a year. Vendor should support multiple intake methods, including a non-outsourced call center, web interface, and SMS text messaging (if capable).	★
2.5.2	In addition, describe the following procedures: Web interface for report intake and follow-up - Web intake forms in regards to escalation procedures - Any web customization available to the University.	★
2.5.3	Describe how web intake forms are treated in regard to escalation procedures. Are they reviewed before dispatch? If so, what is the average dispatch time for web forms?	★
2.5.4	Vendor must be able to receive and address complaints in multiple languages. Respondent must identify any firms or subcontractors, if any, that provide the service and how confidentiality is maintained.	★
<b>Group 2.6:</b>	<b>Staffing and Experience</b>	
2.6.1	Respondent must possess a qualified, competent, staff capable of, at a minimum, meeting the required expectations described below:  Experienced, college-graduate, trained individuals. to handle complaints. In addition to these basic requirements, supervisors must have work experience of at least two or more years in a related field. Describe the following in regards to hotline staff: Employee selection strategy	★
2.6.2	- Training Program - Educational Requirements - Compensation strategy - Performance management - Retention strategy - Total number of personnel employed - Breakdown of functional areas	★
2.6.3	Respondent must detail the number of operators answering phones on each shift and number of supervisors on each shift by providing a schedule that contains such information for weekdays, weekends and holidays. All languages should be available via telephone.	★
2.6.4	Describe when and how qualifications for each person hired by your company will be verified and any on-going screening of company employees.	★
2.6.5	Furnish information on the senior person who will be the University's contact. Include a description of the individual's experiences in providing these services including contact information. This should be the person who can respond to additional questions about the bid response, if necessary.	★
2.6.6	Please provide the staffing plan your company proposes for the University account.	★
2.6.7	Provide a detailed description of similar engagements performed during the past five years that highlight the bidder's experience in meeting this type of requirement. The University is especially interested in services performed for other large public research universities with academic medical centers similar in size and scope.	★
<b>Group 2.7:</b>	<b>Metrics and Performance Tracking</b>	
	Respondent must provide the following statistics regarding service levels. These will be submitted for review in regards to this RFP and thereafter to the University on a monthly basis: Call responsiveness - Average handling time - Average speed of answer - Abandonment rate - Downtime.	
2.7.1	What internal standards have been set and how is respondent's performance measured against those standards?  The solution should have the ability to perform trend analysis on incoming reports in real-time	★
<b>Group 2.8:</b>	<b>Technology, Confidentiality and Data Security</b>	
2.8.1	Respondent's solution must provide information regarding technology and systems listed below. In addition, address the following requirements for confidentiality as described below:	★
2.8.2	Identify who develops and maintains the specific application for the University	★
2.8.3	Identify where the application is hosted	★
2.8.4	Identify where the data is stored	★
2.8.5	Describe how information is isolated from one client to the other	★
2.8.6	Describe how users are authentication process and how access is controlled	★
2.8.7	Identify if an external party performs intrusion testing. If so, describe the frequency of the testing	★

2.8.8	Describe processes and techniques for management of user IDs and passwords	★
2.8.9	Identify any systems used to protect the external perimeter (firewalls, IDs, etc.)	★
2.8.10	Describe the physical access controls to the area where the hotline phones are located within your agency	★
2.8.11	The company must have a confidentiality policy which covers information received relating to the University and agreed to by the University and the company	★
2.8.12	All the company's employees and contractors must sign a confidentiality statement and provide a copy for the University's records	★
2.8.13	All calls related to the University will not be forwarded outside the hotline secured area unless authorized in writing by the University	★
2.8.14	Caller's conversations will not be taped or recorded on any device which retains the voice portion of the call	★
2.8.15	The company must not allow the caller's telephone number to be traced or identified in any manner.	★
2.8.16	Services should support privacy requirements for HIPAA, FERPA, GLBA, and other regulatory concerns that may arise	★
2.8.17	Describe any training provided to employees or subcontractors regarding data security and privacy	★
2.8.18	Describe how confidentiality of information is protected during transmission (i.e., encryption). Be specific	★
2.8.19	Describe the procedure for disposal of sensitive data should the contract not be renewed or is terminated for whatever reason	★
2.8.20	All confidentiality terms agreed to in relation to this contract and provided services will continue to be in effect even if the contract is not renewed or terminated for whatever reason	★
2.8.21	Describe incident response processes, if any	★
2.8.22	How do you protect confidentiality of the information (encryption, etc.) during transmission. Be specific	★
2.8.23	Describe what information is retained by your company, in what format the information is retained, how the information is secured and what your destruction policies are regarding this information. Also, describe the process to ensure all such information including computer back up files is destroyed once so approved by the University	★
<b>Group 2.9:</b>	<b>Technique and Process</b>	
2.9.1	Respondent's must provide the following information regarding technique and process in handling calls:	★
2.9.2	Describe how operators handle non-English language correspondence including identifying the appropriate interpreter and the wait time to get the interpreter on the line	★
2.9.3	Describe the report dissemination route to the hotline administrator	★
2.9.4	Describe the backup system or process should the system go down or if business is interrupted on any one day. In addition, describe your disaster recovery plan including recovery plan.	★
2.9.5	Describe the interview technique with an example provided	★
<b>Group 2.10:</b>	<b>Other Requirements</b>	
2.10.1	The hotline number must remain the toll free number unique to the University and the number will be retained by, or transferred to, the University should this contract not be renewed or is terminated for any reason.	★
2.10.2	All emergency calls should be reported to identified University personnel immediately. The selected vendor will escalate urgent reports by calling University personnel immediately after receiving the report, 24 hours a day. An emergency involves a threat of harm-to employees, customers or operations or any report that indicates a significant incident within the next 24 hours. The University of Connecticut will supply the vendor with a list of up to five contacts with telephone numbers (work, cell phones and home) where the contacts can be reached during business hours, after business hours, holidays and weekends. The escalated report is also emailed to the designated contacts immediately as a PDF file.	★
	Reports must be accurate and free of any significant typographical errors and/or misspellings.	
	All non-emergency calls will be reported to the University within 24 hours of receipt.	
2.10.3	The University requires 5 users with access to update, enter and report data.	★

2.10.4	Please describe how your online system supports the management of case review by University staff.	★
2.10.5	The current Reportline receives approximately 12 calls monthly (200 annually). Please define how rates would be affected if this annual number is exceeded.	★
2.10.6	If applicable, please describe any additional components your firm offers that include policy management.	
<b>Group 2.11:</b>	<b>Implementation</b>	
	Propose a plan of action for implementation of this service for the University, addressing the following:	
2.11.1	Timeline (optimum is 58 days from award or sooner) - Staff requirements from the University (name specific departments and individual time required) - Does your firm provide end-users with any assistance in training? - Does your firm provide assistance in communication planning? - How will your firm handle the transition of responsibilities from the incumbent provider (if applicable) to insure continuity of services?	★
<b>Group 3.1:</b>	<b>Affidavits and Certifications</b>	
3.1.1	Form 1 Gift and Campaign Contribution Certification, please download, complete and attach <a href="http://www.ct.gov/opm/lib/opm/OPM_Form_1_Gift_and_Campaign_Contribution_Certification_3-28-14.pdf">http://www.ct.gov/opm/lib/opm/OPM_Form_1_Gift_and_Campaign_Contribution_Certification_3-28-14.pdf</a>	★
3.1.2	Form 5 Consulting Agreement, please download, complete and attach <a href="http://www.ct.gov/opm/lib/opm/OPM_Form_5_Consulting_Agreement_Affidavit_3-28-14.pdf">http://www.ct.gov/opm/lib/opm/OPM_Form_5_Consulting_Agreement_Affidavit_3-28-14.pdf</a>	★
3.1.3	Form 6 Affirmation of Receipt of State Ethics Law Summary <a href="http://www.ct.gov/opm/lib/opm/finance/psa/opm_ethicsform6_final_9-15-11_pdf.pdf">http://www.ct.gov/opm/lib/opm/finance/psa/opm_ethicsform6_final_9-15-11_pdf.pdf</a>	★
3.1.4	Form 7 Iran Certification <a href="http://www.ct.gov/opm/lib/opm/OPM_Form_7_Iran_Certification_3-28-14.pdf">http://www.ct.gov/opm/lib/opm/OPM_Form_7_Iran_Certification_3-28-14.pdf</a>	★
3.1.5	Non-Discrimination Certification <a href="http://www.ct.gov/opm/cwp/view.asp?a=2982&amp;Q=390928">http://www.ct.gov/opm/cwp/view.asp?a=2982&amp;Q=390928</a>	★
<b>Group 3.2:</b>	<b>Additional Required Forms and Acknowledgements</b>	
3.2.1	Bidder Contract Compliance Monitoring Report <a href="http://www.ct.gov/chro/lib/chro/pdf/notificationtobidders.pdf">http://www.ct.gov/chro/lib/chro/pdf/notificationtobidders.pdf</a>	★
3.2.2	SEEC Form 10 Acknowledgement of Receipt <a href="http://www.ct.gov/seec/lib/seec/forms/contractor_reporting_/seec_form_10_final.pdf">http://www.ct.gov/seec/lib/seec/forms/contractor_reporting_/seec_form_10_final.pdf</a>	★
3.2.3	Please acknowledge you have read and will comply with the University's Vendor Code of Conduct located at: <a href="http://policy.uconn.edu/2013/02/12/vendor-code-of-conduct/">http://policy.uconn.edu/2013/02/12/vendor-code-of-conduct/</a>	★
3.2.4	CT Economic Impact Form <a href="http://www.biznet.ct.gov/SCP_Documents/Groups/1/Connecticut_Economic_Impact_Form_(DAS-46).pdf">http://www.biznet.ct.gov/SCP_Documents/Groups/1/Connecticut Economic Impact Form (DAS-46).pdf</a>	★
3.2.5	Non-Collusion Affidavit: Please download and sign, then upload the signed copy.	★
3.2.6	State Ethics Policy - Vendors Conducting Business with the State of Connecticut. Please review this policy.	★
<b>Group 4.1:</b>	<b>References</b>	
4.1.1	Provide references - these references should be of comparable size and scope to the University's requirements in this solicitation. Reference #1 Customer Name	★
4.1.2	Reference #1 Street Address, City, State, Zip	★
4.1.3	Reference #1 Contact Name	★
4.1.4	Reference #1 Email Address for Contact	★
4.1.5	Reference #1 Phone Number for Contact	★
4.1.6	Reference #1 Contract Dates	★
4.1.7	Reference #1 Contract Summary - Please describe reference project emphasizing similarities to the University requirements.	★
4.1.8	Reference #2 Customer Name	★
4.1.9	Reference #2 Street Address, City, State, Zip	★
4.1.10	Reference #2 Contact Name	★
4.1.11	Reference #2 Email Address for Contact	★
4.1.12	Reference #2 Phone Number for Contact	★
4.1.13	Reference #2 Contract Dates	★
4.1.14	Reference #2 Contract Summary - Please describe reference project emphasizing similarities to the University requirements.	★

- 4.1.15 Reference #3 Customer Name ★
- 4.1.16 Reference #3 Street Address, City, State, Zip ★
- 4.1.17 Reference #3 Contact Name ★
- 4.1.18 Reference #3 Email Address for Contact ★
- 4.1.19 Reference #3 Phone Number for Contact ★
- 4.1.20 Reference #3 Contract Dates ★
- 4.1.21 Reference #3 Contract Summary - Please describe reference project emphasizing similarities to the University requirements. ★
- 4.1.22 Reference #4 Customer Name ★
- 4.1.23 Reference #4 Street Address, City, State, Zip ★
- 4.1.24 Reference #4 Contact Name ★
- 4.1.25 Reference #4 Email Address for Contact ★
- 4.1.26 Reference #4 Phone Number for Contact ★
- 4.1.27 Reference #4 Contract Dates ★
- 4.1.28 Reference #4 Contract Summary - Please describe reference project emphasizing similarities to the University requirements. ★
- 4.1.29 Reference #5 Customer Name ★
- 4.1.30 Reference #5 Street Address, City, State, Zip ★
- 4.1.31 Reference #5 Contact Name ★
- 4.1.32 Reference #5 Email Address for Contact ★
- 4.1.33 Reference #5 Phone Number for Contact ★
- 4.1.34 Reference #5 Contract Dates ★
- 4.1.35 Reference #5 Contract Summary - Please describe reference project emphasizing similarities to the University requirements. ★

**Group 5.1:**

**Pre-Bid/Proposal meeting, Presentations and Site Visits (if applicable)**

- 5.1.1 Pre-Bid/Proposal Meeting: A Pre-Bid/Proposal meeting is a scheduled meeting which may occur during a public solicitation process. The purpose of the meeting is to provide interested bidders/proposers with an opportunity to: pose questions related to the solicitation process, request Scope of Work information and/or clarification, and visit the business site (if applicable). If attendance at a Pre-Bid/Proposal meeting is deemed mandatory, failure to attend the meeting will lead to elimination from the solicitation process. (See the Description of this solicitation for specific schedule details and requirements.) ★
- 5.1.2 Presentations/Site Visits: The University selection committee may require presentations/site visits. If invited to present, the proposer/bidder will be responsible for making all the necessary arrangements and will bear all costs associated with the presentation. Presentations will be scheduled within the time allocated in the solicitation schedule. Presentation invitations will be issued only to those firms selected to participate in Stage/Phase 2 of this solicitation and will include the meeting date, time, location, length of on-site presentation and associated agenda/requirements outlining specific proposal areas for discussion, as outlined at the University's discretion. ★
- 5.1.3 Campus Visitor Parking: Campus parking is strictly regulated and violations are subject to monetary fines. Visitors must park only in areas specifically designated for general public parking (signed, paved, and lined parking areas and/or parking garage). Detailed parking information is available at the following link: <http://park.uconn.edu/> ★

**Group 6.1:**

**Evaluation Criteria**

- 6.1.1 All proposals will be evaluated by a selection committee, using the specific evaluation criteria provided in the description of this solicitation. Each criterion has been assigned a point value. The evaluation committee will conduct a comprehensive review and analysis of the received proposals and recommend which proposals are the most advantageous to the needs of the University. ★

**Group 7.1:**

**Connecticut Colleges Purchasing Group (CCPG)**

- 7.1.1 Although this contract is being established for the University of Connecticut, these services may be extended to the Connecticut College Purchasing Group (CCPG) member institutions. If the proposer chooses to offer the same proposal to all CCPG members, all spend by CCPG members under this contract shall be reported to the University on a quarterly basis. Volume and tiered discounts and rebates shall take into account the aggregate spend of all users of the resulting contract, including but not limited to CCPG members and/or other agencies. ★

**Group 8.1:**

**Staffing Plan**

- 8.1.1 Provide a complete listing of key personnel assigned to the University account:
- 8.1.2 1. Role/Position
- 8.1.3 Name
- 8.1.4 Years Experience
- 8.1.5 Skills/Competencies
- 8.1.6 Professional Designations/Certifications
- 8.1.7 Provide documentation of Professional Designations/Certifications (if applicable)
- 8.1.8 Accessibility (Method and Hours of Contact, etc.)
- 8.1.9 2. Role/Position
- 8.1.10 Name
- 8.1.11 Years Experience
- 8.1.12 Skills/Competencies
- 8.1.13 Professional Designations/Certifications
- 8.1.14 Provide documentation of Professional Designations/Certifications (if applicable)
- 8.1.15 3. Role/Position
- 8.1.16 Name
- 8.1.17 Years Experience
- 8.1.18 Skills/Competencies
- 8.1.19 Professional Designations/Certifications
- 8.1.20 Provide documentation of Professional Designations/Certifications (if applicable)
- 8.1.21 4. Role/Position
- 8.1.22 Name
- 8.1.23 Years Experience
- 8.1.24 Skills/Competencies
- 8.1.25 Professional Designations/Certifications
- 8.1.26 Provide documentation of Professional Designations/Certifications (if applicable)

**Group 9.1:**

**Financial Statements**

- After evaluation, proposers may be required to submit their most current, within the last three (3) years, 10-K financial statements package including: Balance Sheet, Cash Flow statements, Statement of Stockholders Equity, and Income Statements. If a current 10-K is unavailable, financial statements which have been audited and certified by an independent Certified Public Accountant (CPA) shall be deemed acceptable. If audited financial statements are unavailable, provide financial statements which have been reviewed by an independent Certified Public Accountant (CPA). The University reserves the right to request additional information to provide any assurances of financial surety it deems appropriate. ★
- 9.1.1
  - 9.1.2 Provide reason if your answer was Disagree above

**Group 10.1:**

**Federal Funds - Uniform Guidance**

- Recovered Materials Pursuant to Section 6002 of the Resource Conservation and Recovery Act of 1976 (RCRA) and its implementing guidance: 40 CFR 247 (Comprehensive Procurement Guideline for Products Containing Recovered Materials), the University, to the maximum extent practicable, operates an affirmative and preferential procurement program for acquiring items that contain recovered materials. Designated item categories are: (1) paper and paper products, (2) vehicular products, (3) construction products, (4) transportation products, (5) park and recreation products, (6) landscaping products, (7) non-paper office products, and (8) miscellaneous products. Examples of products within each category are set forth in 40 CFR 247. Accordingly, the University duly places a preeminent preference for those applicable suppliers who are able to provide and verify estimates and certifications of recovered materials content in the products they offer. ★
- 10.1.1
  - 10.1.2 Recovered Materials Only if you are proposing to use or supply any products that fall under the Item Designations set forth in 40 CFR 247 (Comprehensive Procurement Guideline for Products Containing Recovered Materials), please provide in an attachment verified / certified estimates of the recovered materials content within each product.

**Group 11.1:**

**Inclement Weather Information**

- 11.1.1 Inclement Weather: Be advised that in the event of an official University closing or early dismissal due to inclement weather or other reason this bid will be due and opened at 2:00 PM on the next business day. Please call the University Emergency Information Line at 860-486-3768 for up to date information on official cancellations or early closings. ★

**Group 12.1: General Insurance Requirements**

- 12.1.1 The proposer shall secure and pay the premium or premiums of the following policies of insurance with respect to which minimum limits are fixed in the schedule set forth below. The University of Connecticut shall be included as a named insured on all such policies. Each such policy shall be maintained in at least the limit fixed with respect thereto, and shall cover all of the proposer's operations hereunder, and shall be effective throughout the period of this contract or any extension thereof. It is not the intent of this schedule to limit the types of insurance required herein. ★

- 12.1.2 (a) Commercial General Liability 1. Each Occurrence \$1,000,000 2. Personal and Advertising Injury \$1,000,000 3. General Aggregate \$2,000,000 4. Fire Legal Liability \$100,000 The insurance shall provide for a retroactive date of placement prior to or coinciding with the effective date of this award. ★

- 12.1.3 (b) Business Automobile Liability: Minimum Limits for Owned, Scheduled, Non Owned, or Hired Automobiles with a combined single limit of not less than \$1,000,000 per occurrence. ★

- 12.1.4 (c) Workers' Compensation and Employer's Liability: As required under state law. ★

- 12.1.5 (d) Such other insurance in such amounts which from time to time may reasonably be required by the mutual consent of the University and awarded Proposer against other insurable hazards relating to performance. ★

- 12.1.6 (e) Cyber Liability Insurance (when providing services) 1. Each Occurrence \$1,000,000 2. General Aggregate \$2,000,000 ★

- 12.1.7 All policies of insurance provided for in this Section shall be issued by insurance companies with general policyholder's rating of not less than A- and a financial rating of not less than Class VIII as rated in the most current available A.M. Best Insurance Reports and be licensed to do business in the State of Connecticut. All such policies shall be issued in the name of the awarded Proposer, and shall name, as Additional Insured, The State of Connecticut, University of Connecticut. Policies shall waive the right of recovery against the University and shall be primary. ★

- 12.1.8 As to insurance required by this agreement, a certified copy of each of the policies or a certificate or certificates evidencing the existence thereof, or binders, shall be delivered to the University within fifteen (15) days after the tentative award of this agreement. In the event any binder is delivered, it shall be replaced within thirty (30) days by a certified copy of the policy or a certificate in lieu thereof. Each such copy or certificate shall contain a valid provision or endorsement that the policy may not be canceled, terminated, changed or modified without giving thirty (30) days written advance notice hereof to the University's representative and that the insurance reflected thereon meets the minimum requirements of the proposal. A renewal policy or certificate shall be delivered to the University at least thirty (30) days prior to the expiration date of each expiring policy. ★

- 12.1.9 If at any time, any of the policies shall be or become unsatisfactory to the University as to form or substance, or if any of the carriers issuing such policies shall be or become unsatisfactory to the University, the Proposer shall promptly obtain a new and satisfactory policy in replacement upon such written notice from the University. ★

**Group 12.2: Insurance Requirements with \$2,000,000.00 Limit**

- 12.2.1 Insurance: The Proposer agrees to provide adequate insurance coverage on a primary and comprehensive basis and to hold such insurance at all times during the Term of this Agreement. The Contractor accepts full responsibility for identifying and determining the type(s) and extent of insurance necessary to provide reasonable financial protection for the Contractor and the University under this Agreement. The Contractor shall maintain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance and commercial general liability insurance not less than the minimum limits as set forth below all at no cost to the University or the State of Connecticut. ★

- 12.2.2 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 ★

- 12.2.3 Commercial General Liability: Combined single limit: \$1,000,000 each occurrence \$2,000,000 annual aggregate ★

- 12.2.4 Comprehensive Automobile Liability: (to include owned, non-owned and hired vehicles): Combined single limit: \$1,000,000 each occurrence ★

- 12.2.5 Umbrella Liability: \$2,000,000 each occurrence ★

- Professional Services Liability Insurance: (If applicable) The Contractor will furnish evidence, by way of a certificate of insurance, that it has obtained a professional services liability insurance policy with \$1,000,000.00 minimum coverage for negligent errors and omissions. If any claims are made against its professional services liability insurance policy, the Contractor agrees to purchase additional insurance in order to maintain the minimum coverage of \$1,000,000.00. The insurance will remain in effect during the entire duration of this Contract and for eight (8) years after substantial completion of the Project. For policies written on a "Claims Made" basis, the Contractor agrees to maintain a retroactive date prior to or equal to the effective date of this Contract. ★
- 12.2.6
- The Contractor will contractually require any architectural or engineering firm it hires to maintain professional liability insurance in the same amount and with the same provisions indicated above. The Contractor's policy will provide coverage for the Contractor's obligation under this Contract to indemnify and hold harmless the University and the State, and their employees and agents, from claims, liabilities, demands, damages, costs or expenses (including all reasonable attorney's fees) to the extent caused by or resulting from any negligent act or omission of the Contractor or anyone for whom the Contractor is responsible in the performance of this Contract, and each policy held by a Contractor of the Contractor shall provide the same coverage to the extent of such Contractor's negligent acts or omissions. ★
- 12.2.7
- Each of the policies for the insurance mentioned above will be issued by an insurance company or companies satisfactory to the University and will contain a provision that coverages will not be changed, canceled, or non-renewed until at least thirty (30) calendar days prior written notice has been given to the University. Each insurance policy will state that the insurance company agrees to investigate and defend the insured against all claims for damages to the extent that all alleged damages might be covered by insurance. Such insurance policies will name the State of Connecticut, the University of Connecticut, their officers, officials, employees, agents, boards and commissions as additional insured, except that the University and the State will not be named as an additional insured with respect to the coverage for the statutory workers' compensation and employer's liability insurance. ★
- 12.2.8
- 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. ★
- 12.2.9
- Group 12.3: Insurance Requirements with \$5,000,000.00 Limit**
- Insurance: The Proposer agrees to provide adequate insurance coverage on a primary and comprehensive basis and to hold such insurance at all times during the Term of this Agreement. The Contractor accepts full responsibility for identifying and determining the type(s) and extent of insurance necessary to provide reasonable financial protection for the Contractor and the University under this Agreement. The Contractor shall maintain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance and commercial general liability insurance not less than the minimum limits as set forth below all at no cost to the University or the State of Connecticut. ★
- 12.3.1
- 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 ★
- 12.3.2
- Commercial General Liability: Combined single limit: \$1,000,000 each occurrence \$2,000,000 annual aggregate ★
- 12.3.3
- Comprehensive Automobile Liability: (to include owned, non-owned and hired vehicles): Combined single limit: \$1,000,000 each occurrence ★
- 12.3.4
- Umbrella Liability: \$5,000,000 each occurrence ★
- 12.3.5
- Professional Services Liability Insurance: (If applicable) The Contractor will furnish evidence, by way of a certificate of insurance, that it has obtained a professional services liability insurance policy with \$1,000,000.00 minimum coverage for negligent errors and omissions. If any claims are made against its professional services liability insurance policy, the Contractor agrees to purchase additional insurance in order to maintain the minimum coverage of \$1,000,000.00. The insurance will remain in effect during the entire duration of this Contract and for eight (8) years after substantial completion of the Project. For policies written on a "Claims Made" basis, the Contractor agrees to maintain a retroactive date prior to or equal to the effective date of this Contract. ★
- 12.3.6



- 12.3.7 The Contractor will contractually require any architectural or engineering firm it hires to maintain professional liability insurance in the same amount and with the same provisions indicated above. The Contractor's policy will provide coverage for the Contractor's obligation under this Contract to indemnify and hold harmless the University and the State, and their employees and agents, from claims, liabilities, demands, damages, costs or expenses (including all reasonable attorney's fees) to the extent caused by or resulting from any negligent act or omission of the Contractor or anyone for whom the Contractor is responsible in the performance of this Contract, and each policy held by a Contractor of the Contractor shall provide the same coverage to the extent of such Contractor's negligent acts or omissions. ★
- 12.3.8 Each of the policies for the insurance mentioned above will be issued by an insurance company or companies satisfactory to the University and will contain a provision that coverages will not be changed, canceled, or non-renewed until at least thirty (30) calendar days prior written notice has been given to the University. Each insurance policy will state that the insurance company agrees to investigate and defend the insured against all claims for damages to the extent that all alleged damages might be covered by insurance. Such insurance policies will name the State of Connecticut, the University of Connecticut, their officers, officials, employees, agents, boards and commissions as additional insured, except that the University and the State will not be named as an additional insured with respect to the coverage for the statutory workers' compensation and employer's liability insurance. ★
- 12.3.9 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. ★
- Group 12.4: Insurance Requirements with \$10,000,000.00 Limit**
- 12.4.1 Insurance: The Proposer agrees to provide adequate insurance coverage on a primary and comprehensive basis and to hold such insurance at all times during the Term of this Agreement. The Contractor accepts full responsibility for identifying and determining the type(s) and extent of insurance necessary to provide reasonable financial protection for the Contractor and the University under this Agreement. The Contractor shall maintain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance and commercial general liability insurance not less than the minimum limits as set forth below all at no cost to the University or the State of Connecticut. ★
- 12.4.2 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 ★
- 12.4.3 Commercial General Liability: Combined single limit: \$1,000,000 each occurrence \$2,000,000 annual aggregate ★
- 12.4.4 Comprehensive Automobile Liability: (to include owned, non-owned and hired vehicles): Combined single limit: \$1,000,000 each occurrence ★
- 12.4.5 Umbrella Liability: \$10,000,000 each occurrence ★
- 12.4.6 Professional Services Liability Insurance: (If applicable) The Contractor will furnish evidence, by way of a certificate of insurance, that it has obtained a professional services liability insurance policy with \$1,000,000.00 minimum coverage for negligent errors and omissions. If any claims are made against its professional services liability insurance policy, the Contractor agrees to purchase additional insurance in order to maintain the minimum coverage of \$1,000,000.00. The insurance will remain in effect during the entire duration of this Contract and for eight (8) years after substantial completion of the Project. For policies written on a "Claims Made" basis, the Contractor agrees to maintain a retroactive date prior to or equal to the effective date of this Contract. ★
- 12.4.7 The Contractor will contractually require any architectural or engineering firm it hires to maintain professional liability insurance in the same amount and with the same provisions indicated above. The Contractor's policy will provide coverage for the Contractor's obligation under this Contract to indemnify and hold harmless the University and the State, and their employees and agents, from claims, liabilities, demands, damages, costs or expenses (including all reasonable attorney's fees) to the extent caused by or resulting from any negligent act or omission of the Contractor or anyone for whom the Contractor is responsible in the performance of this Contract, and each policy held by a Contractor of the Contractor shall provide the same coverage to the extent of such Contractor's negligent acts or omissions. ★

- Each of the policies for the insurance mentioned above will be issued by an insurance company or companies satisfactory to the University and will contain a provision that coverages will not be changed, canceled, or non-renewed until at least thirty (30) calendar days prior written notice has been given to the University. Each insurance policy will state that the insurance company agrees to investigate and defend the insured against all claims for damages to the extent that all alleged damages might be covered by insurance. Such insurance policies will name the State of Connecticut, the University of Connecticut, their officers, officials, employees, agents, boards and commissions as additional insured, except that the University and the State will not be named as an additional insured with respect to the coverage for the statutory workers' compensation and employer's liability insurance.
- 12.4.8 ★
- 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.
- 12.4.9 ★
- Group 13.1: Advertising/Sponsorship Opportunities and Licensed Merchandise**
- In submitting a proposal, the Proposer agrees, unless specifically authorized in writing by the University on a case by case basis, that it shall have no right to use, and shall not use, the name of the University of Connecticut, its officials or employees, or the Seal of the University, a) in any advertising, publicity, promotion; nor b) to express or imply any endorsement of agency's services; nor c) to use the name of the state, its officials or employees or the University seal in any manner (whether or not similar to uses prohibited by subparagraphs (a) and (b) above) except only to manufacture and deliver in accordance with this agreement such services as are hereby contracted by the University. Should the Proposer be interested in pursuing a formalized sponsorship agreement with the University through its Division of Athletics, which may include advertising benefits and use of University marks, please contact the procurement official identified in this solicitation for details.
- 13.1.1 ★
- 13.1.2 Pre-authorization must be received from the University for the use of University's names, marks, and logos. ★
- Group 14.1: Corporate Partnership Agreement**
- As part of this agreement, it is the desire of the University to establish a formalized corporate partnership agreement with the awardee through the Office of Strategic Partnerships. This enhanced level of collaboration and association would provide the awardee with public designation as an official partner of the University, access to and visibility at University programming, including Athletic events, and the ability to use approved marks and logos of the University in marketing and company materials. Benefits to be offered and provided to the University as a part of this partnership could include, but not be limited to: Job Placement & Student Internships, More favorable terms & Improved Services, Scholarship/Research Opportunities, New Revenue streams, Event Funding ,etc.
- 14.1.1 ★
- Group 15.1: Physical Security**
- 15.1.1 Is there a documented physical security policy? ★
- 15.1.2 If your answer is Yes to the above question, please attach your physical security policy.
- 15.1.3 Is access to the datacenter restricted and logs kept of all access? ★
- 15.1.4 Are visitors permitted into the datacenter? ★
- 15.1.5 Are all entry and exit points to the datacenter alarmed? ★
- 15.1.6 Is there a documented procedure for the removal of equipment from the datacenter? ★
- 15.1.7 If your answer is Yes to the above question, please attach the procedure for the removal of equipment from the datacenter.
- Group 15.2: Network Security**
- 15.2.1 Does your company require the use of two-factor authentication for the administrative control of servers, routers, switches, and firewalls? ★
- 15.2.2 Does your company support Secure Sockets Layer (or other industry-standard transport security) with 128-bit or stronger encryption and two-factor authentication for connecting to the application? ★
- 15.2.3 Does your company provide redundancy and load balancing for firewalls, intrusion prevention and other critical security elements? ★
- 15.2.4 Does your company perform, or have a 3rd party perform, external penetration tests at least quarterly, and internal network security audits at least annually? ★
- 15.2.5 Does your company contract for, or provide protection against, denial-of-service attacks against its Internet presence? ★

<b>Group 15.3:</b>	<b>Platform</b>	
15.3.1	Can your company provide a documented policy for "hardening" the operating system under the web and other servers?	★
15.3.2	If your answer is Yes to the above question, please attach the policy.	
15.3.3	Can your company provide validated procedures for configuration management, patch installation, and malware prevention for all servers and PCs involved in SaaS delivery?	★
15.3.4	Optional: Please provide the validated procedures as mentioned above.	
15.3.5	Does your company have a documented set of controls that it uses to ensure the separation of data and security information between customer applications?	★
15.3.6	Optional: Please provide additional information regarding the above question.	
<b>Group 15.4:</b>	<b>Applications and Data</b>	
15.4.1	Can you provide how you review the security of applications (and any supporting code, such as Ajax, ActiveX controls and Java applets) that it develops and uses?	★
15.4.2	If so, please describe:	
15.4.3	Does your company use content monitoring and filtering or data leak prevention processes and controls to detect inappropriate data flows?	★
15.4.4	Does your company have documented procedures for configuration management, including installing security patches, for all applications?	★
15.4.5	If your answer is Yes to the above question, please attach the procedures.	
15.4.6	Is your company compliant with relevant regulations (i.e. PCI, HIPAA, FERPA)?	★
<b>Group 15.5:</b>	<b>Operations</b>	
15.5.1	Does your company perform background checks on personnel with administrative access to servers, applications and customer data?	★
15.5.2	Can your company show a documented process for evaluating and remediating security alerts from operating system and application vendors?	★
15.5.3	If your answer is Yes to the above question, please attach the documentation.	
15.5.4	Does your company use write-once technology for storing audit trails and security logs?	★
15.5.5	Can your company provide and demonstrate procedures for vulnerability management, intrusion prevention, incident response, and incident escalation and investigation?	★
15.5.6	If your answer is Yes to the above question, please attach the procedures.	
15.5.7	Can your company provide procedures for business continuity and disaster recovery that include your applications and data, as well as evidence that it has tested those procedures during the past 12 months?	★
15.5.8	If your answer is Yes to the above question, please attach the procedures and testing evidence.	
<b>Group 15.6:</b>	<b>End Services</b>	
15.6.1	Does your company security staff average more than four years' experience in information and network security?	★
15.6.2	Does more than 75% of your company's security staff have security industry certification, such as from the Certified Information Systems Security Professional (CISSP) certification program ( <a href="http://www.isc2.org">www.isc2.org</a> ) or Global Information Assurance Certification (GIAC; <a href="http://www.giac.org/">www.giac.org/</a> )?	★
15.6.3	Can your company provide and demonstrate documented identity management and help-desk procedures for authenticating callers and resetting access controls, as well as establishing and deleting accounts?	★
15.6.4	If your answer is Yes to the above question, please attach the procedures.	

**Product Line Items**★ Product Line Items

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There are no Items added to this event.

**Service Line Items**★ Service Line Items

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There are no Items added to this event.