



SP-11 Rev. 01/08

STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
CONTRACTS & PURCHASING DIVISION
101 EAST RIVER DRIVE, 4th Floor
EAST HARTFORD, CT 06108-3274
www.ct.gov/doit

BID NUMBER

08ITZ0065

Purchasing Contact:
Elizabeth Basso, AFAO

E-mail Address:
elizabeth.basso@ct.gov

Invitation To Bid

Specifications & Bid Documents Attached

Bid Number: **08ITZ0065**

Bid Opening Date & Time: **Thursday, August 14, 2008 @ 2:00 p.m. EST**

Bid Class/Sub-Class & Description: **5022 – Data Imaging of CT Income Tax Return Forms**

Requesting Agency: **Dept. of Revenue Services**

SPECIAL INSTRUCTIONS - PLEASE TAKE NOTE OF THE FOLLOWING:

- *This will be a three year contract award.*
- *Question Deadline Date: July 31, 2008 @ 5:00 pm ET*
- *PLEASE READ CAREFULLY. This document contains requirements that vendors must adhere to.*
- This replaces the following contract award in part or in total: **None**

Note:

When returning the **ORIGINAL, TWO COPIES & ONE ELECTRONIC COPY (CD) IN .PDF FORMAT** of your bid response, use the mailing label format below on all sealed bid envelopes. (It has been perforated for your convenience)

Ensure that YOUR mailing address is in the upper left corner of the sealed bid envelope.

NOTICE TO VENDORS:

Logon to:

<http://www.ct.gov/doit/cwp/view.asp?a=1306&Q=254998&doitNav=1>

Click on the link **Register for Bidder Notification** complete the form to automatically receive a summary of new Bids & RFP's via e-mail.

Return Bid To:

STATE OF CONNECTICUT

DEPARTMENT OF INFORMATION TECHNOLOGY
IT CONTRACTS & PURCHASING DIVISION, 4th Flr.

101 EAST RIVER DRIVE
EAST HARTFORD, CT. 06108-3274

Attn: Elizabeth Basso

SEALED BID NO.: 08ITZ0065

NOT TO BE OPENED UNTIL:

Thursday, August 14, 2008 @ 2:00 p.m. EST

Check at the Security Desk for the Bid Opening Room:

- ▶ You must sign in and provide a picture ID at the Security Desk, DOIT, 101 East River Dr.
- ▶ If you are hand delivering your bid to the opening, allow enough time for minor delays.
- ▶ Ensure that your bid is TIME STAMPED by the mailroom on the bid opening date before 2:00 p.m.



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BID NUMBER

08ITZ0065

Purchasing Contact:
Elizabeth Basso, AFAO

E-mail Address:
elizabeth.basso@ct.gov

SP-26 Rev. 01/08

BID PROPOSAL

BID NUMBER	BID OPENING DATE	BID OPENING TIME	BID SURETY	DATE ISSUED
08ITZ0065	August 14, 2008	2:00 PM (ET)	NONE	July 10, 2008

DESCRIPTION: **Data Imaging of CT Income Tax Return Forms**

COMMODITY CLASS /SUBCLASS: **5022**

Agency Requisition Number(s): **DRS00000240**

FOR: **Department of Revenue Services**
25 Sigourney Street
Hartford, CT 06106-5032

TERM OF CONTRACT / DELIVERY DATE REQ'D:
Three Years
January 1, 2009 - December 31, 2011

INVITATION TO BID: Pursuant to the provisions of Section 4a-57 of the General Statutes of Connecticut as amended, sealed bids will be received by Contracts & Purchasing Division for the State of Connecticut, at the address above for furnishing the commodities and/or services herein listed to state agencies.

AFFIRMATION OF BIDDER: The undersigned bidder affirms and declares:

1. That this BID is executed and signed by said bidder with full knowledge and acceptance of the provisions in Form SP-7A, entitled Standard Bid and Contract Terms and Conditions, of current issue and in effect on the date of bid issue.
2. That should any part of this BID be accepted in writing by Director within thirty (30) calendar days from the date of bid opening (*unless an earlier date for acceptance is specified by bidder in BID Schedule*), said bidder will furnish and deliver the commodities and/or services for which this BID is made, in the quantities and at the prices bid, and in compliance with the provisions of the Standard Bid & Contract Terms & Conditions, Commodity Specifications, Bid Schedule, and *Special Bid & Contract Terms & Conditions*. Should award of any part of this BID be delayed beyond the time indicated, such award shall be conditioned upon bidder's acceptance.
3. Acceptance of the conditions set forth herein, agreement in strict accordance therewith, and will furnish and deliver the commodities and/or services to the state agency or agencies named in the Bid Schedule at the prices bid therein.

BIDDER INFORMATION SECTION

COMPLETE BIDDER NAME (Trade Name, Doing Business As)		SSN OR FEIN NUMBER	
BIDDER STREET ADDRESS	CITY	STATE	ZIP CODE
CONTACT NAME (TYPED OR PRINTED)	TELEPHONE # TOLL-FREE #	FAX #	
Written Signature of Person Authorized to sign Bids on behalf of the Above Named Bidder		DATE EXECUTED	
TYPE OR PRINT NAME OF AUTHORIZED PERSON	TITLE OF AUTHORIZED PERSON		
BIDDER E-MAIL ADDRESS	BIDDER WEBSITE		
BUSINESS TYPE: <input type="checkbox"/> PROPRIETORSHIP (Individual) <input type="checkbox"/> PARTNERSHIP (<i>you must attach the names and titles of all partners</i>) <input type="checkbox"/> CORPORATION Type of Corporation: _____ State Incorporated in: _____			
STATE EMPLOYEES <u>must</u> indicate your Position, Agency & Agency Address:			
Current DAS <i>certified</i> CT Set-Aside business: <input type="checkbox"/> YES (<i>copy of certificate included with bid</i>) <input type="checkbox"/> NO			
Has your business received funding from the Small Business Association? <input type="checkbox"/> YES <input type="checkbox"/> NO			
Is your business reportable to the IRS? <input type="checkbox"/> YES (<i>1099/W2 will be mailed to you at year end</i>) <input type="checkbox"/> NO			
REMITTANCE INFORMATION: (if <u>different</u> from above address)			

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SCOPE:

- 1.1 This invitation to bid requests imaging at 300 DPI, indexing, data capture via 2D barcode and archiving services for Income Tax Return Forms CT-1040 and CT-1040NRPY for a three year contract period 01/01/09 – 12/31/11 for Connecticut income tax returns, which the Department of Revenue Services (DRS) elects to outsource.
- 1.2 The vendor must have the ability to perform manual data entry for any returns with an unreadable 2D barcode. Returns must be double captured using a methodology approved by the Department of Revenue Services. For the purposes of this bid, data entry is defined as manual keying. Any other means of data capture will only be considered after an award and must be approved by the Agency prior to implementation.
- 1.3 The vendor must comply with the data capture, imaging and indexing instructions as specified by the Agency. The Agency reserves the right to change the instructions as necessary.
- 1.4 Vendor questions regarding this bid must be e-mailed to: Elizabeth.Basso@po.state.ct.us by **July 31, 2008 at 5:00 pm ET**. All questions received in writing by the Question Deadline Date/Time will be answered via a bid addendum. No additional questions will be answered after that date.
- 1.5 The State reserves the right to add new forms or schedules on an as needed basis.
- 1.6 Time Line:
July 10, 2008 = Bid posted
July 24, 2008 = Deadline to request sample forms and instructions. See section 2.21
July 31, 2008 = Deadline on questions. See section 1.4
August 5, 2008 (Estimated Date) = Answers to all questions will be posted via a bid addendum
August 14, 2008 = Bid due date

BID REQUIREMENTS:

- 2.1 All prices quoted shall include secure pickup and delivery of tax returns, network startup costs, programming costs, ongoing network costs, electronic file transfer of image, index and data files, transportation charges, communication expenses, overtime or other expenses incurred in connection with any work done for the Department of Revenue Services.
- 2.2 Data files, images and corresponding index will be transmitted to DRS or other designated location, in a format and directory structure to be provided by DRS via a secure VPN connection provided by the Department of Information Technology for datafile, image and index transmissions to DRS. The images must be indexed to correlate to the taxpayer identification number in a format provided by DRS. A back-up copy of the index and image files will be created by the vendor on CD, DVD or other media as determined by DRS after the images have been deemed acceptable. Data, image and index files must be archived for a 45-day period on a secured server. Back-ups created by the vendor must be maintained by the vendor in a secure location.
- 2.3 The designated method of data/image/index delivery is electronic. The vendor must have a high speed internet connection, T-1 or better, in place and working at time of inspection, capable of transmitting the data, image and index files multiple times a day in a reasonable amount of time and with good reliability. A secure VPN connection will be provided to the vendor for the purpose of delivering image files to our network.
- 2.4 Files must be delivered to our network with a naming convention designated by the Agency. Image and index files must be compressed using WinZip version 8 or greater or a similar product subject to

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approval by DRS. It is expected the image and index files will contain no more than 5 boxes of tax returns.

- 2.5 All work must be indexed to the tax return level as indicated in the document titled "Exhibit A - Image Retrieval – Image and Index File Specifications."
- 2.6 The contractor must provide a detailed document outlining quality control measures that are in place to ensure image quality, return reconciliation, image indexing prior to the start of this contract and maintained throughout the contract. This plan must be approved by DRS and maintained by the vendor.
- 2.7 All data capture, imaging, indexing and archiving must take place in a secure location within a 150 mile radius of the Department of Revenue Services, Hartford Connecticut.
- 2.8 Insurance - Vendor shall not commence work under this contract until it has provided evidence of all insurance required under this section to DRS, nor shall the vendor allow any approved subcontractor to commence work on its subcontract until all similar insurance required of the subcontractor has been obtained.

A) Commercial General Liability

\$1,000,000 Combined Single Limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Board Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply either separately to the project or the general aggregate limit shall be twice the occurrence amount.

B) Workers' Compensation and Employers Liability

Statutory coverage in compliance with the Compensation laws of the State of Connecticut. Coverage shall include Employer's Liability with minimum limits of \$100,000 each accident, \$500,000 disease-policy limit, \$100,000 each employee.

C) Automobile Liability

\$1,000,000 Combined Single Limit Automobile Liability insurance shall be maintained against claims for damages resulting from bodily injury, including wrongful death, and property damage which may arise from the operations of any owned, hired or non-owned automobiles used by or for the vendor in any capacity in connection with carrying out this contract.

D) Minimum Scope of Insurance

All Liability insurance policies shall be written on an "occurrence" basis only. All insurance coverage is to be placed with insurers authorized to do business in the State of Connecticut and must be placed with an insurer that has an A.M. Best's Rating of no less than A-, VII. All certificates of insurance shall be filed with the Department of Revenue Services on the standard Accord Certificate of Insurance form showing the specified insurance and limits within 30 days of the contract award. The State of Connecticut Department of Revenue Services shall be named as an Additional Insured. The vendor's insurer shall have no right of recovery of subrogation against the State and the vendor's insurance shall be primary coverage.

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- 2.9 The contractor will pay for losses that are sustained as a result of acts committed by the contractor, the contractors' staff or its subcontractors. The contractor will pay for losses resulting from dishonesty acts committed by the contractor, the contractors' staff or its subcontractors. It is the contractors' responsibility to safeguard DRS information while it is in the contractors' possession. If there is a security breach that affects DRS information while that information is in the possession of the contractor, the contractor will pay for all costs incurred with that security breach. This will include but not be limited to credit protection for all affected taxpayers for a minimum of 2 years and all expenses incurred by the State of Connecticut in connection with the security breach. It is the contractor's responsibility to immediately notify the Department of Information Technology @ (860) 622-2300, the Department of Revenue Services @ (860) 297-4900 and James Norton (860) 297-5608 as soon as a loss or breach of DRS information is suspected.
- 2.10 The vendor must have the capability to image, index, data capture with exceptions and archive at least 60,000 tax returns per week. Past history shows peak volumes are reached during a 4 to 6 consecutive week period. See the attached file named "Exhibit B – Outsourcing History Document." Failure to meet this quota will be considered as a basis for contract termination and monetary penalties as outlined in section 7.3. The vendor will be allowed to reduce the weekly quota by 20% production for weeks with a federal holiday.
- 2.11 The vendor must currently be in the data capture, imaging, indexing and archiving business for a minimum of three (3) years. Vendor must demonstrate experience in processing comparable volumes, form complexity and time constraints outlined herein. Failure to provide this information may result in bid rejection.
- 2.12 The vendor is to supply the company names and addresses of no less than three (3) major data capture, imaging, indexing, and archiving accounts with which they are currently doing business. These accounts must be of comparable volumes, form complexity and time constraints. Failure to provide this information may result in bid rejection.
- 2.13 The vendor must be in good standing with the State of Connecticut and DRS throughout the contract period.
- 2.14 All vendor and subcontractor employees, on-site or off-site, who perform functions that put them in contact with State of Connecticut tax returns or tax return information, must sign a Department of Revenue Services confidentiality statement. In addition, a background check must be performed on anyone who has access to the tax returns or tax return information. The background checks are the responsibility of the vendor and the subcontractor including all costs associated there with. If the vendor's process is determined by DRS to be sufficient to protect the identity and confidentiality of the taxpayer the vendor may request that some of the background check requirements be waived. This must be approved in writing by DRS. DRS has the right to inspect the personnel files and any aspect of the background check. Notwithstanding the aforementioned provisions of this paragraph, any vendor, subcontractor or employee of the vendor or subcontractor who has been convicted of a tax crime, embezzlement, forgery or other financial crimes or offences that pertain to or involve a fiduciary trust or responsibility is prohibited or ineligible from working with any part of this contract.
- 2.15 The vendor will comply with the "Contractor Policies" that pertain to the safeguarding of tax information published by the DRS and DRS Policy Compliance Officer. Copies of these policies are attached. See Exhibit C.
- 2.16 The vendor shall submit monthly reports concerning the readability of the 2D barcodes on the tax returns processed. The report requirements will at a minimum identify the number of successful 2D barcode returns processed, the total number of returns filed with a 2D barcode, the exceptions and type of exception by software vendor code.

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- 2.17 The vendor will submit a completed monthly "Security Measures Checklist" to the DRS Policy Compliance Officer. The checklist will be developed by DRS once the company's facility is inspected and process for completing the contract is approved.
- 2.18 The vendor must submit the original bid along with two copies and one electronic copy in a PDF format on CD.
- 2.19 The vendor must submit a price quote for imaging at 300 DPI, indexing, data capture via 2D barcode and archiving services. Estimated annual quantity is 475,000.
- 2.20 A back-up copy of the index and image files will be created by the vendor on CD, DVD or other media as determined by DRS after the images have been deemed acceptable. Upon creation, back-up copies are to be delivered to DRS.
- 2.21 The contractor must comply with the data capture instructions and sample forms, which can be obtained by submitting an e-mail request to: Don.Knybel@po.state.ct.us Include bid number, your name, company name, mailing address and telephone number. **IMPORTANT:** You must request the sample forms and keypunch instructions. Your bid will be disqualified if you did not request the sample forms and keypunch instructions.
- 2.22 The Department of Revenue Services will require a performance bond equal to one-third (1/3) of the total dollar value of the contract award. Performance bond shall hereby be defined as a performance surety binding the contractor faithfully to fulfill the obligations of their bid as accepted. Such surety may be submitted in the form of a performance bond of a licensed surety company, certified check or irrevocable letter of credit from a Connecticut banking institution naming the Department of Revenue Services as the primary beneficiary. The performance bond must be received within 30 days of contract award. Failure to do so will be grounds for contract termination.

ERRORS:

- 3.1 Errors and/or unreadable images created by the vendor shall be corrected by the vendor at no cost to the State. Identified errors must be researched immediately, and a written explanation supplied to the Agency within 24 hours along with steps undertaken by the vendor to prevent such errors in the future.

DOCUMENT PICKUP & DELIVERY:

- 4.1 All new work (tax returns / correspondence), as well as all completed work, must be transported in a manner as to insure against damage, theft or loss.

Minimum Criteria for Transportation of information:

- 1. Secure locking mechanism for holding area during transport.
- 2. Limited view of contents of vehicle
- 3. Number of drivers required is dependent upon length of trip. Travel time of more than 2 hours requires 2 drivers.
- 4. Communication devices that work on route to be taken – testing will be done daily.
- 5. Established written procedures for vehicle breakdown or accident – approval must be obtained from DRS.
- 6. Bonded Courier (if subcontracted)
- 7. Insurance to replace the contents – that includes all lost DRS time and required resources.
- 8. Sign-off's from DRS to Vendor to Carrier to Vendor for receipt of information each will contain the signature and printed name.

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9. Sign-off's from Vendor to Carrier to Vendor to DRS for return of information each will contain the signature and printed name.

- 4.2 Document pickup and delivery schedules will be supplied by the Agency.

Maximum delivery/pick-up requirement of physical tax returns / correspondence will be three (3) days per week.

Minimum delivery/pick-up requirement of physical tax returns / correspondence will be one (1) day per week.

The Department of Revenue Services reserves the right to prioritize work.

All materials are handled on pallets. The contractor must have a vehicle capable of transporting pallets of boxes. Each wrapped pallet will hold no more than 48 boxes. Work being returned should be on wrapped pallets.

INSPECTION/PERFORMANCE:

- 5.1 The Department requires that all materials in the possession of the vendor be maintained in a secure manner that is approved by the Department of Revenue Services.
- 5.2 The State reserves the right to inspect the facility of the vendor and/or subcontractor(s) approved by DRS before an award is made and anytime during the contract period. The vendor must have appropriate equipment and personnel to meet the contract requirements. If it is found that the vendor is not qualified to perform the work as specified, the State has the right to seek reimbursement from the vendor for the inspection. This includes ALL costs, such as airfare, car rental, hotel, meals and the salary of the individuals(s) performing the site inspection. The right is also reserved to inspect work in progress at any time. Part of the inspection will require the vendor to show its ability to maintain security of all materials in a manner satisfactory to the Department of Revenue Services.
- 5.3 The vendor and any subcontractor(s) approved by DRS must have working fire suppressant and security systems on-site, which must meet the approval of the Agency at the time of the initial inspection, and be maintained throughout the contract period. The vendor must submit proof, such as inspection certificates, in regards to working fire and security systems.
- 5.4 The State requires a performance test of data capture via 2D barcode, imaging, indexing and electronic transmission before making an award. Test to be completed within ten business days of DRS request.
- 5.5 The vendor must complete all required testing to the satisfaction of the Agency and be ready for live production within 15 business days of the contract award date.

In the event of format changes, the vendor must complete all required programming and testing to the satisfaction of the Agency within ten business days of such changes.

SOURCE DATA:

- 6.1 The vendor agrees that all tax returns, data, correspondence and/or reproduction thereof are the property of the State.

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- 6.2 The vendor agrees that should tax returns, data or correspondence be destroyed, inaccessible or damaged while in the possession of the vendor, the vendor will be required to pay the cost for the re-creation of such material and any interest and expenses incurred by the State.

DEFAULTING CONTRACTOR:

- 7.1 Should the vendor default on the accepted schedule, the State shall recover all tax returns and/or correspondence and be given immediate possession of any image and index files or archived images that have been accomplished as of the date of recovery. Regular contract price will be paid (subject to Section 7.3) for completed work recovered, provided such work is acceptable to the Department of Revenue Services.
- 7.2 In the event that a vendor defaults, the defaulting vendor will be required to pay the additional cost, if any, of having the work completed elsewhere.
- 7.3 The State reserves the right to reduce the invoice percentage of material not processed as stated in section 2.10 of this bid; i.e., 60,000 per week required, and only 40,000 per week delivered means that 33% has not been delivered. Therefore, the State would reduce the invoice and payment by 33%. In the event that the State is unable to deliver 60,000 tax returns for imaging, indexing and archiving, the amount available will be considered as the base and the deduction, if necessary, will be made accordingly. For instance, if 25,000 tax returns are made available to the vendor and 18,000 tax returns are imaged, indexed and archived, the invoice will be reduced by 28%.
- 7.4 Failure of a vendor to maintain the pickup and delivery schedules of tax returns and/or correspondence or file transmissions acceptable to the Department of Revenue Services or maintain a reasonable degree of accuracy will result in the cancellation of the contract.
- 7.5 Should the vendor fail to electronically transmit the data, the State reserves the right to invoice the vendor for time and expenses incurred to achieve the required result.
- 7.6 The State reserves the right to bill the vendor for travel expenses related to on-site problem resolution. The State reserves the right to bill the vendor for all time and expenses associated with the correction of unacceptable images, indexes and incomplete data capture images.
- 7.7 The Department of Information Technology, IT Contracts & Purchasing Division, or their duly authorized representative, reserves the right to remove from the mailing list for future bids for an undetermined period the name of any vendor for unsatisfactory performance of the contract.
- 7.8 The State may cancel the contract with thirty- (30) days' prior written notice at any time. The State may also cancel the contract with five- (5) days' prior written notice due to non-compliance per the terms of the contract.
- 7.9 The vendor will be required to notify the Department of Information Technology and the Department of Revenue Services immediately in the event of a change in ownership. Failure to do so is cause for cancellation of the contract.

SUBCONTRACT:

- 8.1 While subcontracting may be permitted, it is understood and agreed that the vendor shall not assign, transfer, convey, sublet or otherwise dispose of their contract or their right of title, or portion thereof, to any person, firm or corporation without previous written consent of the Department of Information Technology, IT Contracts & Purchasing Division, 101 East River Drive, East Hartford, CT 06108-3274. Failure to do so is cause for cancellation of the contract.

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INVOICING:

- 9.1 Invoices must be itemized, referencing file name, box numbers, form type, return count, image count and cost per box. In addition, an electronic breakdown (spreadsheet) must be submitted to correspond with each invoice submitted.
- 9.2 The vendor must submit invoices on a bi-weekly basis, in arrears, to the Business Office of the Department of Revenue Services. The vendor must also provide a corrected invoice if there are any changes, additions and/or deletions.
- 9.3 All invoices must be sent to the Department of Revenue Services, Attn: Business Office, 25 Sigourney Street, Hartford, CT 06106-5032.

VENDOR PERFORMANCE REQUIREMENTS:

- 10.1 Images must meet or exceed the State Library requirements and the vendor must receive certification of compliance for digital imaging standards for public records.
<http://www.cslib.org/publicrecords/optical.htm>
- 10.2 The vendor is responsible to image the entire tax return, including all attachments and envelopes when provided (approximately 5% have envelopes.) Tax returns are batched and released to the vendor in the same condition as received from taxpayers. Most tax returns have one or more staples to be removed. It is the responsibility of the vendor to prepare these tax returns for imaging (removal of staple(s)). Original tax returns will then be returned to the Department of Revenue Services in the original batch in tax return sequence number order. Tax returns do not have to be re-assembled but may be clipped or banded together. Colored separator sheets must remain between tax returns.
- 10.3 Perform data capture of tax returns containing 2D barcode. The vendor is also responsible for the manual data capture of tax returns with a 2D barcode that is not readable.
- 10.4 Unreadable tax returns shall be returned to the Agency for clarification, correction or recreation, whichever is deemed necessary by the Agency.
- 10.5 The required degree of accuracy is defined as 99.9% for imaging, indexing and data capture to the tax return level. Should the vendor fail to meet the stated degree of accuracy, the State reserves the right to invoice the vendor for time and expenses incurred to investigate and correct the data.

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Index File Layout

Field Name	Type	Max Length	Comments
AcctNum	varchar	13	<ul style="list-style-type: none"> Format dependant on Tax Type SSN or FID = 999-99-9999 TID = 9999999999 (10 or 11 numerics) 000-00-0000 and 0000000000 will always be used to indicate a batch header index record.
ImageName	varchar	75	<ul style="list-style-type: none"> Name of the Actual Image File. This can be whatever name standard is chosen by the vendor. It must have the .tif extension (ImageName.tif)
CDVol	char	8	<ul style="list-style-type: none"> Format dependant on Tax Type and assigned Vendor Code (see Current Assigned Vendor Codes Table) Must be right justified and Zero Filled Value = 11X99999 The first two digits of the CD Volume will be defined by DRS, based on the tax type contained in the data – see Tax Type appendix and notation for batches with mixed tax types. Mixed tax types will use SP for the first two digits of the CD Volume number. The third Alpha character will be a Vendor code issued by DRS to each Vendor (see Current Assigned Vendor Codes Table). Remaining five numerics can be designated by the Vendor. Sequential numbering works best Duplicate CDVol numbers are not allowed
FormType	varchar	20	<ul style="list-style-type: none"> Defined by DRS See the Tax Type Appendix
TaxYear	int	4	<ul style="list-style-type: none"> Defined by DRS See the Tax Type Appendix
BatchSeqNo	varchar	20	<ul style="list-style-type: none"> Defined by DRS Value = Batch Number + “-“ + Sequence Number Example: 07R0207384-00001 Batch Number is a minimum length of 6 and maximum length of 10. Sequence number is always five characters, zero-filled
Box	varchar	10	<ul style="list-style-type: none"> DRS assigned Box Number See attached Vendor Outsourcing Box Ranges
DocLocNumber	varchar	20	<ul style="list-style-type: none"> DRS Document Locator Number (Same as the Batch Number in the BatchSeqNo field, no “-“ or sequence number)
TaxType	varchar	10	<ul style="list-style-type: none"> Defined by DRS Left Justified See Tax Type Appendix

Current Assigned Vendor Codes

Vendor	Assigned Code
Vendor 1	A
Vendor 2	B
Vendor 3	C
Vendor 4	D

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Index Layout Samples

The following is a sample showing the layout for the Index file. This file is a comma delimited text file. The file name must always be INDEX.TXT.

INDEX SAMPLE – SSN, Vendor Code = C

AcctNum	ImageName	CDVol	FormType	TaxYear	BatchSeqNo	Box	DocLocNumber	TaxType
000-00-0000	,08R0200001-0001.TIF	,02C00001	,HEADER	,2006	,08R0200001-00000	,SIND000020	,08R0200001	,IND
123-45-6789	,08R0200001-0003.TIF	,02C00001	,CT-1040	,2006	,08R0200001-00001	,SIND000020	,08R0200001	,IND
987-65-4321	,08R0200001-0018.TIF	,02C00001	,CT-1040	,2006	,08R0200001-00002	,SIND000020	,08R0200001	,IND
234-56-7890	,08R0200001-0019.TIF	,02C00001	,CT-1040	,2006	,08R0200001-00003	,SIND000020	,08R0200001	,IND
876-54-3210	,08R0200001-0022.TIF	,02C00001	,CT-1040	,2006	,08R0200001-00004	,SIND000020	,08R0200001	,IND
345-67-8901	,08R0200001-0037.TIF	,02C00001	,CT-1040	,2006	,08R0200001-00005	,SIND000020	,08R0200001	,IND

INDEX SAMPLE – FID#, Vendor Code = A

AcctNum	ImageName	CDVol	FormType	TaxYear	BatchSeqNo	Box	DocLocNumber	TaxType
000-00-0000	,08R0300001-0001.TIF	,03A00004	,HEADER	,2006	,08R0300001-00000	,SFID000002	,08R0300001	,FID
123-45-6789	,08R0300001-0003.TIF	,03A00004	,CT-1041	,2006	,08R0300001-00001	,SFID000002	,08R0300001	,FID
987-65-4321	,08R0300001-0018.TIF	,03A00004	,CT-1041	,2006	,08R0300001-00002	,SFID000002	,08R0300001	,FID
234-56-7890	,08R0300001-0019.TIF	,03A00004	,CT-1041	,2006	,08R0300001-00003	,SFID000002	,08R0300001	,FID
876-54-3210	,08R0300001-0022.TIF	,03A00004	,CT-1041	,2006	,08R0300001-00004	,SFID000002	,08R0300001	,FID
345-67-8901	,08R0300001-0037.TIF	,03A00004	,CT-1041	,2006	,08R0300001-00005	,SFID000002	,08R0300001	,FID

INDEX SAMPLE – TID#, Vendor Code = B

AcctNum	ImageName	CDVol	FormType	TaxYear	BatchSeqNo	Box	DocLocNumber	TaxType
0000000000	,07R1100001-0001.TIF	,11B00003	,HEADER	,1106	,07R1100001-00000	,SSUT000001	,07R1100001	,SUT
1234567000	,07R1100001-0003.TIF	,11B00003	,OS-114	,1106	,07R1100001-00001	,SSUT000001	,07R1100001	,SUT
2345678000	,07R1100001-0018.TIF	,11B00003	,OS-114	,1106	,07R1100001-00002	,SSUT000001	,07R1100001	,SUT
3456789000	,07R1100001-0019.TIF	,11B00003	,OS-114	,1106	,07R1100001-00003	,SSUT000001	,07R1100001	,SUT
4567891000	,07R1100001-0022.TIF	,11B00003	,OS-114	,1106	,07R1100001-00004	,SSUT000001	,07R1100001	,SUT
5678901000	,07R1100001-0037.TIF	,11B00003	,OS-114	,1106	,07R1100001-00005	,SSUT000001	,07R1100001	,SUT

INDEX SAMPLE – Split Batch Returns, Vendor Code = A

AcctNum	ImageName	CDVol	FormType	TaxYear	BatchSeqNo	Box	DocLocNumber	TaxType
0000000000	,07OSP00815-0001.TIF	,SPA00001	,HEADER	,9999	,07OSP00815-00000	,SOSP000001	,07OSP00815	,SPL
1234567000	,07OSP00815-0003.TIF	,SPA00001	,TOP	,1206	,07OSP00815-00001	,SOSP000001	,07OSP00815	,TOP
2345678000	,07OSP00815-0018.TIF	,SPA00001	,CDT	,0107	,07OSP00815-00002	,SOSP000001	,07OSP00815	,CDT

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

INDEX SAMPLE – Mixed Periods/Years Returns, Vendor Code = C

AcctNum	ImageName	CDVol	FormType	TaxYear	BatchSeqNo	Box	DocLocNumber	TaxType
0000000000	,08R1100002-0001.TIF	,11C00002	,HEADER	,9999	,08R1100002-00000	,SSUT000002	,08R1100002	,SUT
1234567000	,08R1100002-0003.TIF	,11C00002	,OS-114	,1206	,08R1100002-00001	,SSUT000002	,08R1100002	,SUT
7654321000	,08R1100002-0015.TIF	,11C00002	,OS-114	,0906	,08R1100002-00002	,SSUT000002	,08R1100002	,SUT
8765432000	,08R1100002-0023.TIF	,11C00002	,OS-114	,1105	,08R1100002-00003	,SSUT000002	,08R1100002	,SUT

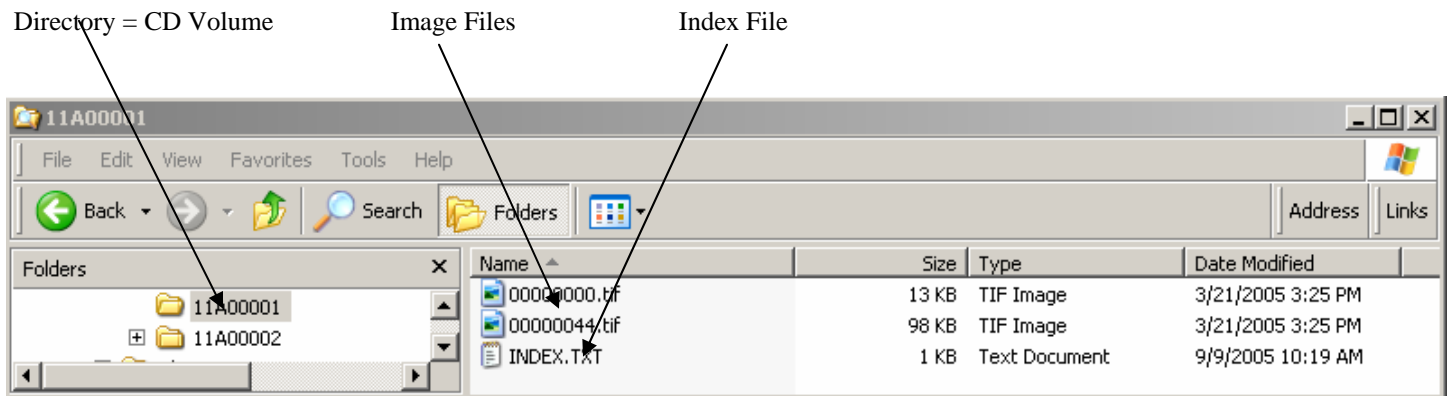
The records within the INDEX.TXT file must be sorted by **Box Number**, **Batch Number** and **Sequence Number**

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Image File Specifications

- Multi-page tif files will be stored in a directory folder named the CD Volume (see information above)
- All multi-page tif files will be zipped into a single zip file that must unzip/uncompress into the directory folder (CD Volume).
- This zip file will then be transferred to DRS FTP servers via a secure VPN connection. DRS will assist with setting this connection up. Vendor must have internet access at a speed capable of reasonably transmitting files up to 600 mb in size.
- An index file (index.txt) containing Return level indexing records must be included with each zip file.
 - Comma delimited text file containing all indexing information as defined above under Index File Layout
- Zipped file naming convention: IMAGES_Vendor_2D_FormType_CDVol_DATETIME.exe
 - (i.e. IMAGES_PO_2D_CT-1040_11A00036_11202005123322.exe)
 - IMAGES = constant
 - Vendor = first letter from each word in Vendor name. If there is only a single word in the vendor name, the first four characters will be used.
 - 2D = Indicates whether the 2D barcodes on the returns were used for Data Capture. Applies to current Year Personal Income Tax only.
 - If the 2D barcodes are used for data capture, the constant 2D will be present in the filename.
 - (i.e. IMAGES_PO_2D_CT-1040_11A00036_11202005123322.exe)
 - If the 2D barcodes are NOT used for data capture, the constant 2D will NOT be present in the filename.
 - (i.e. IMAGES_PO_CT-1040_11A00036_11202005123322.exe)
 - FormType = Form Type provided by DRS to Vendor, via the Box Transmittal Sheet
 - CDVol = CDVol number (see information above under Index File Layout)
 - DATETIME = mmddyyyyhhmmss

The following screen capture indicates the directory structure required once the zipped images are extracted.



The images should be transmitted in a compressed format in such a way as decompression of the file will re-create the directory structure described above. DRS uses WinZIP.

Image File Specifications

- Image format: Multipage TIFF
- Minimum Resolution: 300x300 dpi for 2D
- Minimum Resolution: 200x200 dpi for all others

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Transferring Files to DRS

Files must be transferred to DRS using secure File Transfer Protocol (FTP) services. It is expected that the Vendor will have access to a high-speed internet connection that can be used to send these files.

DRS will establish a secure FTP site specific to the Vendor that is transferring files. DRS will provide FTP site names, port numbers, logon accounts and passwords.

The files must be transferred over a secure VPN connection. DRS has two methods of accomplishing this:

- 1) DRS will provide the necessary software (Nortel Extranet), a Secure Key device that is used to establish each VPN session with the State of Connecticut, logon IDs, access codes and instructions.
- 2) Site to site VPN server communication is available via the Department of Information Technology (DOIT) over a Nortel 2700 series box. DRS will work with the vendor and DOIT to setup the connection.

Whenever files are transferred to DRS, an email notification must be sent prior to the file transfers taking place that list the exact file names and their file sizes that are being transferred. This is used to verify that all files were successfully received. This email must be sent to DRSImages@po.state.ct.us.

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Tax Type Appendix

Tax Type	Tax Type Code	Tax Type Number	Form Number	Tax Year	AcctNum Format SSN=999-99-9999 TID=9999999000 FID=999-99-9999
Admissions & Dues	ADC	30	O-372	MMYY	TID
Alcohol Floor	AFT	95	FT-AFT	YYYY	TID
Alcoholic Beverage	ALB	71	O-255	MMYY	TID
Business Entity	BET	25	OP-424	YYYY	TID
Business Use	BUS	12	SCT OS-114	MMYY	TID
Community Antenna	CCA	89	211 CATV 211 SATV	MMYY	TID
Certified Competitive Video Service	CCV	36	211 CCV	MMYY	TID
Cable Satellite Video Gross Earnings	CSV	37	211 CSV	MMYY	TID
Cigarette Distributor	CDT	61	CT-15, CT-30, O-252	MMYY	TID
Controlling Interest Transfer	CIT	66	AU-330	YYYY	FID
Corporation	COR	20	CT-1120, CT-1120CR CT-1120ESA CT-1120ESB CT-1120ESC CT-1120ESD CT-1120EXT CT-1120U CT-1120X	YYYY YYYY YYYY YYYY YYYY YYYY YYYY YYYY YYYY	TID if available, FID otherwise.
Dry Cleaning	DCT	17	OP-374	MMYY	TID
Domestic Insurance	DIN	83	207 207 ESA 207 ESB 207 ESC 207 ESD 207 EXT	YYYY YYYY YYYY YYYY YYYY YYYY	TID
Electric Distribution	EPC	79	UCT 212 EDC	MMYY	TID
Fuel Floor	FFT	95	FT-FFT	YYYY	TID
Trust and Estate	FID	03	CT-1041 CT-1040ES	YYYY	FID

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Tax Type	Tax Type Code	Tax Type Number	Form Number	Tax Year	AcctNum Format SSN=999-99-9999 TID=9999999000 FID=999-99-9999
			CT-1041EXT		
Foreign Insurance	FIN	76	207F 207F ESA 207F ESB 207F ESC 207F ESD 207F EXT	YYYY YYYY YYYY YYYY YYYY YYYY	TID
Foreign Insurance Prior	FIP	76	207 F-5	YYYY	TID
Gas and Electric Companies	GEC	81	UCT 212	MMYY	TID
Tax Paid Motor Vehicle Fuel	GDF	51	O-MF1	MMYY	TID
Gift Tax	GFT	33	CT-709 CT-709EXT	YYYY YYYY	SSN
Motor Vehicle Fuel	GMV	52	O-MF	MMYY	TID
Health Care Center	HCC	84	207 HCC 207 HCC EXT 207 HCC ESA 207 HCC ESB 207 HCC ESC 207 HCC ESD	YYYY YYYY YYYY YYYY YYYY YYYY	TID
Income Tax	IND	02	CT-1040 CT-1040ES CT-1040EXT CT-1040EZ CT-1040NRPY CT-1040X CT-1120SI CT-G CT-G ES CT-G EXT	YYYY YYYY YYYY YYYY YYYY YYYY YYYY YYYY YYYY YYYY	SSN
Individual Use	INV	77	OP-186	YYYY	SSN
Individual Use Refund	IUR	77	CERT-106	YYYY	SSN
Motor Fuel Refund	MFR	53	AU-724	YYYY	SSN or FID
Motor Carrier	MOC	40	REG-3-MC	YYYY	TID
Non Taxpaying	NON	99	REG-1	YYYY	TID
Occupational	OCC	74	472	YYYY	TID
Petroleum Gross Earnings	PGE	55	OP-161	MMYY	TID
Nursing Home Provider	PNH	18	OP-336	MMYY	TID

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Tax Type	Tax Type Code	Tax Type Number	Form Number	Tax Year	AcctNum Format SSN=999-99-9999 TID=9999999000 FID=999-99-9999
Real Estate Conveyance	REC	92	OP-236	YYYY	SSN or FID
Rental Surcharge	REN	15	OP-383	YYYY	TID
Room Occupancy	ROC	13	OP-210	MMYY	TID
Special Fuel	SFT	50	OP-216	MMYY	TID
Partnership / SI Corporation	PSC	04	CT-1065/CT-1120SI (CT-PSCRTN) CT-1065/CT-1120SI ES (CT-PSCES) CT-1065/CT-1120SI EXT (CT-PSCEXT)	YYYY YYYY YYYY	FID
Split	SPL	SP	MUST key from EACH return USE TAX TYPE APPENDIX	MUST key from EACH return USE TAX TYPE APPENDIX	MUST key from EACH return USE TAX TYPE APPENDIX
Railroad	SRR	85	RR-210	MMYY	TID
Sales	SUT	11	OS-114 OS-114 NY / CT	MMYY MMYY	TID
Resource Recovery	SWR	68	OP-330	YYYY	TID
Solid Waste	SWT	69	OP-271	YYYY	TID
Cigarette Floor	TFT	63	FT-TFT	YYYY	TID
Tobacco Products	TOP	64	OP-300	MMYY	TID
Tourism	TRC	14	OP-337	MMYY	TID
Unified Estate and Gift	UGE	70	CT-706 / 709 CT-706 / 709 EXT	YYYY YYYY	SSN
Unauthorized Insurance	UIN	73	115A	YYYY	TID
Unrelated Business Income	URB	21	CT-990 T CT-990T EXT CT-990T ESA CT-990T ESB CT-990T ESC CT-990T ESD	YYYY YYYY YYYY YYYY YYYY YYYY	TID
Withholding	WTH	01	CT-1096 CT-8109 CT-941 CT-941X CT-945 CT-W3 CT-WH	YYYY YYYY MMYY MMYY MMYY MMYY MMYY	TID

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

Vendor Outsourcing – Box Ranges

Data Capture, Index and Image

RIND000000 – Income Tax Refund
TIND000000 – Income Tax Other (payments, no remit, no tax, etc.)
RFID000000 – 1041 Refund
TFID000000 – 1041 Other (payments, no remit, no tax, etc.)
RPSC000000 – 1065/1120SI Refund
TPSC000000 – 1065/1120SI Other (payment, no remit, no tax, etc.)
TINDX00000 – Income Tax Extension
ESTINC00000 – Income Tax Estimates
FIDEST00000 – 1041 Estimates
SUT0000000 – Sales and Use Tax
BET0000000 – Business Entity
CCOR000000 – Corporation
CRCOR00000 – Corporation Combined
REC0000000 – Real Estate
ARWTH00000 – Withholding Annual Rec.
QRWTH00000 – Withholding Quarterly Rec.

Index and Image Only

CORRES00000 – Correspondence
SADC000000 – Admission and Dues
SALB000000 – Alcoholic Beverage
SBET000000 – Business Entity
SBUS000000 – Business Use
SCDT000000 – Cigarette Distributor
SCGM000000 – Cigarette Manufacturer
SCIG000000 – Cigarette Dealer
SCOR000000 – Corporation (1120 – Corporation, Amended or Unified)
SCORA00000 – Corporation Estimates (ESA)
SCORB00000 – Corporation Estimates (ESB)
SCORC00000 – Corporation Estimates (ESC)
SCORD00000 – Corporation Estimates (ESD)
SCORXT00000 – Corporation Extensions
SCRCOR00000 – Corporation Combined
SDCT000000 – Dry Cleaning
SDIN000000 – Domestic Insurance
SFET000000 – Fiduciary Estate
SFID000000 – 1041
SFIDES00000 – 1041 Estimates
SFIN000000 – Foreign Insurance
SGDF000000 – Tax Paid Motor Vehicle Fuel
SGFT000000 – Gift Tax
SGMF000000 – Gasoline (Motor Fuel) Floor
SGMV000000 – Motor Vehicle Fuel
SIND000000 – Income Tax

EXHIBIT A – IMAGE RETRIEVAL – IMAGE AND INDEX FILE SPECIFICATIONS

SINDES00000 – 1040 Estimates
SOCC0000000 – Occupational
SOSP0000000 – Split
SPGE0000000 – Petroleum Gross Earnings
SPSC0000000 – 1065/1120SI
SREC0000000 – Real Estate
SREN0000000 – Rental Surcharge
SROC0000000 – Room Occupancy
SSFT0000000 – Special Fuel
SSUT0000000 – Sales
STOP0000000 – Tobacco Products
STRC0000000 – Tourism
SUIN0000000 – Unauthorized Insurance
SURB0000000 – Unrelated Business
SWTH0000000 – Withholding (941, 941X, 945, WH, W3, 1096, 8109)

Exhibit B - Outsourcing History Document
Returns Outsourced - Calendar Years 2007 and 2008
(figures are bi-weekly)

Calendar Year 2007

	CT-1040		CT-1040NRPY		Total	
	Batch Count	Return Count	Batch Count	Return Count	Batch Count	Return Count
01/01/07 - 01/05/07	0	0	0	0	0	0
01/08/07 - 01/12/07	0	0	0	0	0	0
01/15/07 - 01/19/07	0	0	0	0	0	0
01/22/07 - 01/26/07	0	0	0	0	0	0
01/29/07 - 02/02/07	0	0	1	5	1	5
02/05/07 - 02/09/07	0	0	0	0	0	0
02/12/07 - 02/16/07	0	0	5	290	5	290
02/19/07 - 02/23/07	0	0	0	0	0	0
02/26/07 - 03/02/07	0	0	0	0	0	0
03/05/07 - 03/09/07	215	13,495	60	2,357	275	15,852
03/12/07 - 03/16/07	251	15,226	92	4,130	343	19,356
03/19/07 - 03/23/07	279	16,222	81	3,363	360	19,585
03/26/07 - 03/30/07	343	20,491	86	3,674	429	24,165
04/02/07 - 04/06/07	292	16,525	77	3,302	369	19,827
04/09/07 - 04/13/07	511	26,612	172	8,009	683	34,621
04/16/07 - 04/20/07	408	18,267	55	2,525	463	20,792
04/23/07 - 04/27/07	605	32,539	160	8,141	765	40,680
04/30/07 - 05/04/07	923	56,682	366	19,392	1,289	76,074
05/07/07 - 05/11/07	562	37,530	161	8,039	723	45,569
05/14/07 - 05/18/07	123	5,253	59	1,700	182	6,953
05/21/07 - 05/25/07	38	1,968	22	432	60	2,400
05/28/07 - 06/01/07	49	1,241	26	428	75	1,669
06/04/07 - 06/08/07	24	584	15	265	39	849
06/11/07 - 06/15/07	26	865	14	284	40	1,149
06/18/07 - 06/22/07	29	922	13	396	42	1,318
06/25/07 - 06/29/07	34	888	17	390	51	1,278
07/02/07 - 07/06/07	27	746	12	241	39	987
07/09/07 - 07/13/07	32	824	15	352	47	1,176
07/16/07 - 07/20/07	26	750	12	270	38	1,020
07/23/07 - 07/27/07	11	235	17	361	28	596
07/30/07 - 08/03/07	24	699	9	189	33	888
08/06/07 - 08/10/07	21	559	16	410	37	969
08/13/07 - 08/17/07	46	1,213	23	482	69	1,695
08/20/07 - 08/24/07	24	651	13	312	37	963
08/27/07 - 08/31/07	11	263	9	227	20	490
09/03/07 - 09/07/07	0	0	0	0	0	0
09/10/07 - 09/14/07	25	736	17	401	42	1,137
09/17/07 - 09/21/07	19	520	8	207	27	727
09/24/07 - 09/28/07	16	374	29	473	45	847
10/01/07 - 10/05/07	14	282	10	235	24	517
10/08/07 - 10/12/07	67	1,425	36	678	103	2,103
10/15/07 - 10/19/07	61	1,004	49	773	110	1,777
10/22/07 - 10/26/07	129	2,511	98	1,508	227	4,019
10/29/07 - 11/02/07	277	7,224	232	5,204	509	12,428
11/05/07 - 11/09/07	341	8,463	168	3,879	509	12,342
11/12/07 - 11/16/07	18	492	39	1,028	57	1,520
11/19/07 - 11/23/07	8	248	6	369	14	617
11/26/07 - 11/30/07	12	377	6	115	18	492
12/03/07 - 12/07/07	0	0	0	0	0	0
12/10/07 - 12/14/07	0	0	0	0	0	0
12/17/07 - 12/21/07	0	0	0	0	0	0
12/24/07 - 12/28/07	0	0	0	0	0	0
Total	5,921	294,906	2,306	84,836	8,227	379,742

Exhibit B - Outsourcing History Document
Returns Outsourced - Calendar Years 2007 and 2008
(figures are bi-weekly)

Calendar Year 2008

	CT-1040		CT-1040NRPY		Total	
	Batch Count	Return Count	Batch Count	Return Count	Batch Count	Return Count
12/31/07 - 01/04/08	0	0	0	0	0	0
01/07/08 - 01/11/08	0	0	0	0	0	0
01/14/08 - 01/18/08	0	0	0	0	0	0
01/21/08 - 01/25/08	0	0	0	0	0	0
01/28/08 - 02/01/08	20	950	1	3	21	953
02/04/08 - 02/08/08	141	9,145	13	495	154	9,640
02/11/08 - 02/15/08	141	8,429	33	1,315	174	9,744
02/18/08 - 02/22/08	147	9,321	37	1,927	184	11,248
02/25/08 - 02/29/08	285	18,387	65	2,930	350	21,317
03/03/08 - 03/07/08	221	13,703	67	2,923	288	16,626
03/10/08 - 03/14/08	269	16,332	82	3,421	351	19,753
03/17/08 - 03/21/08	148	8,965	42	2,193	190	11,158
03/24/08 - 03/28/08	346	19,766	77	4,131	423	23,897
03/31/08 - 04/04/08	332	19,590	88	4,397	420	23,987
04/07/08 - 04/11/08	386	27,297	94	5,236	480	32,533
04/14/08 - 04/18/08	408	20,950	62	3,203	470	24,153
04/21/08 - 04/25/08	529	26,525	85	4,060	614	30,585
04/28/08 - 05/02/08	948	52,612	248	13,305	1,196	65,917
05/05/08 - 05/09/08	600	32,704	282	12,951	882	45,655
05/12/08 - 05/16/08	104	3,515	64	1,647	168	5,162
05/19/08 - 05/23/08	21	1,079	15	352	36	1,431
05/26/08 - 05/30/08	36	1,164	13	324	49	1,488
06/02/08 - 06/06/08	32	1,122	14	335	46	1,457
06/09/08 - 06/13/08	21	715	10	219	31	934
06/16/08 - 06/20/08	0	0	0	0	0	0
06/23/08 - 06/27/08	0	0	0	0	0	0
06/30/08 - 07/04/08	0	0	0	0	0	0
07/07/08 - 07/11/08	0	0	0	0	0	0
07/14/08 - 07/18/08	0	0	0	0	0	0
07/21/08 - 07/25/08	0	0	0	0	0	0
07/28/08 - 08/01/08	0	0	0	0	0	0
08/04/08 - 08/08/08	0	0	0	0	0	0
08/11/08 - 08/15/08	0	0	0	0	0	0
08/18/08 - 08/22/08	0	0	0	0	0	0
08/25/08 - 08/29/08	0	0	0	0	0	0
09/01/08 - 09/05/08	0	0	0	0	0	0
09/08/08 - 09/12/08	0	0	0	0	0	0
09/15/08 - 09/19/08	0	0	0	0	0	0
09/22/08 - 09/26/08	0	0	0	0	0	0
09/29/08 - 10/03/08	0	0	0	0	0	0
10/06/08 - 10/10/08	0	0	0	0	0	0
10/13/08 - 10/17/08	0	0	0	0	0	0
10/20/08 - 10/24/08	0	0	0	0	0	0
10/27/08 - 10/31/08	0	0	0	0	0	0
11/03/08 - 11/07/08	0	0	0	0	0	0
11/10/08 - 11/14/08	0	0	0	0	0	0
11/17/08 - 11/21/08	0	0	0	0	0	0
11/24/08 - 11/28/08	0	0	0	0	0	0
12/01/08 - 12/05/08	0	0	0	0	0	0
12/08/08 - 12/12/08	0	0	0	0	0	0
12/15/08 - 12/19/08	0	0	0	0	0	0
12/22/08 - 12/26/08	0	0	0	0	0	0
Total	5,135	292,271	1,392	65,367	6,527	357,638

Imaging/Indexing Frequently Asked Questions

#1) Will DRS allow a vendor to set up a location at DRS and scan on-site?

DRS will not allow vendors to set up a scanning location on-site.

#2) Will we require vendor to reassemble (staple) the documents back together after they have completed scanning the documents?

As stated in section 10.2, vendors will not be required to reassemble the documents but will be required to return the documents in the order they were received.

#3) DRS to specify the indexing requirements for multi tier...sample of batch #.

Refer to the document titled "Exhibit A - Image Retrieval – Image and Index File Specifications"

#4) DRS to provide minimum requirements for retrieval.

Refer to the document titled "Exhibit A - Image Retrieval – Image and Index File Specifications"

#5) Vendor's questioned section 7.2...."defaulting vendor will be required to pay additional cost, if any, of having the work completed elsewhere."

This is standard language in all State of Connecticut contracts and in this particular DOIT (Department of Information Technology) contract which we are using to obtain bids. This language will remain.

#6) DRS to supply a return count.

Please refer to the document titled "Exhibit B - Outsourcing History Document."

#7) Scan resolution:

This bid is requesting quotes for scanning at 300 dpi.

#8) Use the following language for vendors to bid:

For the purposes of this bid, it is understood that an image equals one (1) side of a page. Vendors to quote on a price PER IMAGE.

Exhibit C
Department of Revenue Services
Contractor Policies

The following policies must be adhered to by the successful vendor(s).

- **Disclosure and inspection rules and procedures for state and federal tax return information**
- **Policy for Access to and Safeguarding of DRS Confidential or Restricted Data by Contractors**
- **Viewing of Contractors Safeguards Video**

DEPARTMENT OF REVENUE SERVICES
Internal Audit Division
MEMORANDUM

DATE: April 29, 2008

TO: All DRS Contractors & Subcontractors

FROM: James E. Norton
Policy Compliance Officer

TELEPHONE: (860) 297-5608

SUBJECT: Disclosure and inspection rules and procedures for state and federal tax return information

As Contractors or Subcontractors of the Department of Revenue Services, you may come in contact with information that is among the most sensitive in government. Therefore, it is critical that you maintain the confidentiality of tax return and tax return information, as well as confidential information received from other state and federal agencies you may come in contact with. The purpose of this memorandum is to remind you of the need for strict adherence to the following guidelines. Failure to comply with the confidentiality standards discussed below will result in actions by the Department of Revenue Services. Should the particular facts and circumstances warrant it, a violation may result in termination of the contract, potential criminal prosecution and civil monetary damages.

- Confidential tax information that you access must relate directly to your individual responsibilities as a Contractor or Subcontractor.
- Confidential information should never be in open view when you are transporting confidential documents and records outside of your work area.
- Confidential tax information may be discussed only with authorized individuals and shared with employees who have a specific business need for such information.
- All confidential tax information must be properly shredded, paper documents must be shredded to 5/16 – inch strips or cross shredded inserted in a perpendicular direction. Microfilm and Microfiche must be shredded to 1/35 –inch by 3/8 inch strips. After shredding has occurred it may be used for pulp and recycled.
- Confidential taxpayer information must not be stored on a mobile computing device or mobile storage device. The term "mobile computing device" refers to portable or mobile computing and telecommunications devices that can execute programs. This definition includes, but is not limited to notebooks, palmtops, BlackBerry devices, PDAs, iPods and cell phones with internet browsing capability. The term "mobile storage devices" includes but is not limited to, mobile computing devices, diskettes, magnetic tapes, external/removable hard drives, flash cards (e.g., SD, Compact Flash), thumb drives (USB keys), jump drives, compact disks, digital video disks, etc.

- “Inspection” (e.g. “browsing”) or “Disclosure” of tax returns and tax return information by Contractors or Subcontractors of any Connecticut or federal agency, including former Contractors or Subcontractors who has or had access to returns or return information or any current or former officer or employee of any contractor or subcontractor, whether the contractor or subcontractor was involved in the processing, storage, transmission, or reproduction of returns or return information, the programming, maintenance, repair, testing, or procurement of equipment, or the providing of any other service to DRS is subject to the penalties stated in Conn. Gen Stat. §12-15.
- If you access an account belonging to a person that is known to you while performing a business-related function, during the course of your regularly assigned job duties, provide immediate notification of the review to your supervisor.

In addition to complying with the general guidelines above, you are required to understand and adhere to the federal and state laws relative to the confidentiality of tax information listed below.

Penalties for Unlawful Disclosure or Inspection of State and Federal Tax Return Information

1. State Penalties

C.G.S. §12-15

(f) Returns and return information shall, without written request, be open to inspection by or disclosure to: (1) Officers and employees of the Department of Revenue Services whose official duties require such inspection or disclosure for tax administration purposes; (2) officers or employees of an agency or office in accordance with subdivision (1) or (13) of subsection (b) of this section whose official duties require such inspection; and (3) officers or employees of any person in accordance with subdivision (12) of subsection (b) of this section, whose duties require such inspection or disclosure.

(g) Any person who violates any provision of this section shall be fined not more than one thousand dollars or imprisoned not more than one year, or both.

2. Federal Penalties

In 1997, the U.S. Congress passed and the President signed into law H.R. 1226 known as the “Taxpayer Browsing Protection Act.” The major impact of this bill was to include “inspection,” i.e., “browsing,” as subject to the kind of penalties that previously applied only to “disclosure.” Within this bill inspection is defined as, “any examination of a return or return information.” The second impact of this Bill is that a taxpayer shall be notified of any unauthorized disclosure or inspection of their return. Anyone making an unlawful disclosure or inspection of federal tax return information could be subject to the following penalties:

I. R. C. § 6103: Prohibits unauthorized disclosure of federal tax returns or return information by employees and former employees of state and IV-D agencies.

I. R. C. § 7213: Makes any unauthorized disclosure of federal tax returns or return information a felony punishable by a fine of up to \$5,000 and/or imprisonment for not more than five years, together with the costs of prosecution.

I. R. C. § 7213A: Prohibits the unauthorized willful inspection (“browsing”) of federal tax returns or return information and makes such inspection punishable by a fine of up to \$1,000 and/or imprisonment for not more than one year, together with the costs of prosecution.

I. R. C. § 7431: Permits a taxpayer to bring a civil action for damages in a federal district court. Damages that can be brought would be the greater of \$1,000 for each unauthorized disclosure or inspection or the actual damages sustained by the taxpayer, plus punitive damages.

Information obtained from other State Agencies

Any and all information received from other state agencies is regarded as Confidential Information and may not be redisclosed.

If you should have any questions regarding the use, disclosure, or inspection of the tax information, I can be reached at (860) 297-5608 or by email @ james.norton@po.state.ct.us .

You should retain a copy of this memorandum either in electric or paper format for future reference. Attached is a form for you to sign as an acknowledgment that you have received, read and understand the standards governing the access to, and disclosure of, confidential information.

If you are aware of any potential violations of the confidentiality statutes or the Department's policy governing unauthorized access, please refer this information immediately to the Department of Revenue Services Policy Compliance Officer listed above.

Policy for Access to and Safeguarding of DRS Confidential or Restricted Data by Contractors

Policy Number: P-4001

Version: 1.0

Date Issued (revised): December 20, 2007

Date Effective: immediately

Purpose

This Policy outlines the confidentiality and security requirements for Contractors of the State of Connecticut or an agency thereof that, as part of their contractual relationship, are authorized to access and view DRS confidential or restricted data.

Scope

This policy covers all DRS contractors, who as part of their contractual relationship, are authorized to have access to DRS confidential or restricted data or DRS technology systems.

Should a conflict exist between this policy and a State-wide policy, the more restrictive policy would take precedence.

Authority

The Policy Compliance Officer is responsible for developing, implementing and enforcing policies that regulate the storage, access to, and use of confidential and restricted data.

Policy Statements

1. Before accessing, in any manner, any DRS confidential or restricted data, each contractor will confirm that it has reviewed, read and understands the DRS/IRS confidentiality requirements material. The Contractor will be provided with a copy of the Contractor Safeguards Program. Each of the Contractor's employees who may come in contact with DRS confidential or restricted data must confirm that he or she has viewed and understands the confidentiality requirements.
2. Except as provided herein, contractors who are working on site at a DRS location, will be required to utilize only DRS supplied equipment to connect to DRS technology systems. If DRS determines that access to its technology systems is necessary to fulfill the contractor's obligations under the contract and the contract provides for such access, the Policy Compliance Officer, in consultation with the Information Services Division (ISD) Director, shall determine in what manner and under what conditions will such access be provided. The Policy Compliance Officer will also determine what, if any, non-DRS equipment will be allowed to access or store DRS confidential or restricted data. The Contractor will provide the designated equipment for inspection before connection to the DRS technology systems. Additionally, such equipment will be subject to additional inspections as deemed necessary by the Policy Compliance Officer. The following conditions must be met in order for Contractor's equipment to be allowed access to the DRS technology systems:
 - a. Contractor's computer equipment must be virus free and loaded with the most current version of anti-virus software
 - b. Contractor will sign the DRS Acceptable Use statement

- c. Contractor will agree to install software and configure software and hardware on its equipment as is required by the Policy Compliance Officer.
 - d. Contractor will agree to restrictions on the removal of its equipment from DRS premises as determined by the Policy Compliance Officer.
 - e. Contractor will agree to requirements for locking and/or securing of its equipment as determined by the Policy Compliance Officer.
3. For contractors whose contract provides for remote access to the DRS technology systems, the DRS Policy Compliance Officer, in consultation with the ISD Director, shall determine in what manner and under what conditions such access will be allowed. The Policy Compliance Officer will determine what equipment of the Contractor will be allowed to access or store DRS confidential or restricted data. Such equipment will be made available for inspection by the Policy Compliance Officer prior to connection to the DRS technology systems and will be subject to additional inspections as deemed necessary by the Policy Compliance Office. The following conditions must be met in order for Contractor's equipment to be allowed access to the DRS technology systems:
 - a. Contractor's computer equipment must be virus free and loaded with the most current version of anti-virus software
 - b. Contractor will sign the DRS Acceptable Use statement
 - c. Contractor will agree to install software and configure software and hardware on its equipment as is required by the Policy Compliance Officer.
 - d. Contractor will agree to requirements for locking and/or securing of its equipment as determined by the Policy Compliance Officer.
4. On DRS supplied equipment, the DRS may install software that will be required to remain on such equipment until the project has been completed and a final inspection of such equipment has been conducted.
5. DRS may disable all USB ports, storage saving and transfer devices from the DRS supplied equipment provided to Contractor. Should there be a need to transfer information the Contractor shall follow procedures established by the Policy Compliance Officer.
6. The use of Flash Drives and other media used by Contractors to store or transfer DRS confidential or restricted data is prohibited.
7. All requirements pertaining to the access of DRS confidential or restricted data, including, but not limited to, the method and location of storage, safeguarding and destruction will be determined solely by the Policy Compliance Officer.
8. Contractors will provide DRS with their policies regarding:
 - a. Replacing/recycling personal computers
 - b. Restrictions or prohibitions on the storing or transfer of client information
 - c. Employee termination procedures (including exit checklists)
 - d. Procedures for violation of Contractor's policies
 - e. Process used to conduct any required background checks.

When applicable, the Contractor, or individual employees thereof, will provide the Compliance Officer with a written inventory of all DRS confidential or restricted information currently in its possession. The

Contractor, or its individual employees, will be required to sign the inventory document attesting to its accuracy.

9. Lost or stolen keys, fobs , access codes, badges or any other item that are used in connection with any DRS assignment will be immediately reported using the protocol provided .
10. For Contractors who are working on site at a DRS location, the Contractor will inform the Policy Compliance Officer at least 5 business days prior to a Contractor's employee leaving the DRS assignment. In no case shall such employee leave DRS without the Contractor's equipment being inspected as determined by the Policy Compliance Officer. Once the review has been completed, such employee will not be allowed to connect to any DRS technology systems or store any DRS confidential or restricted data on the previously inspected equipment.
11. Any Contractor who has access to or is in possession of DRS confidential or restricted data must comply with all provisions of the State of Connecticut Security for Mobile Computing and Storage Devices Policy.
12. DRS reserves the right to inspect any of the Contractors' facilities used at anytime throughout the contract period.
13. Prior to working on site at a DRS location, a Contractor must disable all wireless internet and communication capabilities on its equipment.. Additionally, throughout the period of its contract, the Contractor must be prepared to demonstrate to the Policy Compliance Officer that such capabilities remain disabled..

Definitions

Contractor

Any individual or company that enters into any agreement either with the State of Connecticut or an Agency thereof to perform services. This includes all of the employees of this individual or company and any subcontractors that they may contract with.

Contractor's Equipment

Any equipment that the contractor uses in connection with the performance of the contract.

Contractor Safeguard Program

A program that will guide and assist contractors in meeting their responsibilities to safeguard and protect DRS confidential and restricted information.

DRS Confidential or Restricted Data

Includes but is not limited to tax returns or tax return information that can be associated with a taxpayer either directly or indirectly, information on internal applications, processes and policies that are not public knowledge.

DRS/IRS Confidentiality Training Material

Shall include any material supplied to the contractor to guide them in the safeguarding of confidential taxpayer information.

DRS Location

Any facility or portion thereof, under the direct control of DRS, in which an agency function is performed. In certain cases, this definition can also include other State agencies and other DRS contracted vendors who, under the control of DRS, supply necessary support services.

DRS Supplied Equipment

Any equipment supplied by the State of Connecticut or any Agency thereof to any contractor performing services to DRS

DRS Technology Systems

Shall include computer hardware, software, firmware applications, information and communications pertaining to any State of Connecticut or an Agency thereof computer system or network.

Policy Compliance Officer

The DRS employee designated by the Commissioner to act as the single point of contact between DOIT and DRS for issues that relate to the State of Connecticut's policy on Security for Mobile Computing and Storage Devices.

DEPARTMENT OF REVENUE SERVICES
Internal Audit Division
MEMORANDUM

DATE: April 29, 2008

TO: All DRS Contractors & Subcontractors

FROM: James E. Norton **TELEPHONE:** (860) 297-5608
Policy Compliance Officer

SUBJECT: Viewing of Contractors Safeguards Video

Enclosed you will find a CD that contains an awareness video pertaining to confidential DRS/IRS tax return information and confidentiality, the DRS "Policy for Access to and Safeguarding of DRS Confidential or Restricted Data by Contractors" and the "Disclosure and inspection rules and procedures for state and federal tax return information" memorandum. The policy outlines security requirements as part of our contractual relationship that you should familiarize yourself with. The CD must be viewed by all individuals who are working with DRS information or at a DRS facility prior to commencing work. The memorandum must be read by and distributed to the same individuals. Contractors and Subcontractors whose employees are already working with or may come in contact with DRS/IRS information must also view this video and must read and be provided with a copy of the memorandum. While the CD primarily pertains to Federal IRS information, the standards of confidentiality apply to State of Connecticut information as well. Attached is a form for staff to sign that acknowledges that they have viewed the video and have read and been provided a copy of the memorandum. Retain the original for you files and send copies to:

DRS Policy Compliance Office
c/o James Norton, Tax Division Chief
State of Connecticut Dept. of Revenue Services
25 Sigourney St
Hartford, CT 06106



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DEPARTMENT OF INFORMATION TECHNOLOGY
CONTRACTS & PURCHASING DIVISION
101 EAST RIVER DRIVE, 4th Floor
EAST HARTFORD, CT 06108-3274
www.ct.gov/doit

BID NUMBER 08ITZ0065
Purchasing Contact: Elizabeth Basso, AFAO
E-mail Address: elizabeth.basso@ct.gov

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BID SCHEDULE

BID OPENING DATE Thursday, August 14, 2008	DELIVERY TIME _____A.R.O	PAYMENT TERMS Net 45 Days	CASH DISCOUNT % Days
Page 1 OF 3	BIDDER NAME		SSN or FEIN#
Payment terms are net 45 days. Pricing includes all transportation charges FOB state agency.			

Department of Information Technology is soliciting bids for
Data Imaging of CT Income Tax Return Forms
On behalf of
the Department of Revenue Services

All prices quoted must include secure pickup and delivery of tax returns, network startup costs, programming costs, ongoing network costs, electronic file transfer of image, index and data files, transportation charges, communication expenses, overtime or other expenses incurred in connection with any work done for the Department of Revenue Services per Agency Specifications attached.

Please **list any deviations** from the bid specifications along with a **Specification Sheet** of your Bid.

ITEM #	DESCRIPTION OF COMMODITY AND/OR SERVICE	ESTIMATED ANNUAL QTY	UNIT OF MEASURE	UNIT PRICE	ESTIMATED ANNUAL COST	ESTIMATED TOTAL COST (3 YRS.)
1	Imaging at 300 DPI, indexing, data capture via 2D barcode and archiving services. Estimated ANNUAL quantity = 475,000	475000	Images	\$	\$	\$
2	A back-up copy of the index and image files will be created by the vendor on CD, DVD or other media as determined by DRS after the images have been deemed acceptable. Upon creation, back-up copies are to be delivered to DRS.		Back Up Media	\$	\$	\$



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BID NUMBER 08ITZ0065
Purchasing Contact: Elizabeth Basso, AFAO
E-mail Address: elizabeth.basso@ct.gov

	Responses to the following mandatory questions are required. Any bid response submitted without a “Vendor Response” on any of the following four questions will be rejected. Do not make reference to attachment(s).
	The designated method of data/image/index delivery is electronic. The vendor must have a high speed internet connection, T-1 or better, in place and working at time of inspection, capable of transmitting the data, image and index files multiple times a day in a reasonable amount of time and with good reliability. A secure VPN connection will be provided to the vendor for the purpose of delivering image files to our network. Vendor response:
	Vendor must have the ability to image and index files compressed using WinZip version 8.0 or greater or a similar product subject to approval by the Department of Revenue. What will you be utilizing? Vendor response:
	All data capture, imaging, indexing and archiving must take place in a secure location within a 150 mile radius of the Department of Revenue Services, Hartford, Connecticut. What location will you be utilizing? Vendor response:
	The contractor must comply with the data capture instructions and sample forms. You must request the sample forms and keypunch instructions per section 2.21 of the agency special bid and contract terms and conditions. Did you request the instructions and sample forms? Vendor response:

TOTAL BID \$ _____



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Submit your **Specification Sheet** with your Bid and please *list any deviations* from specifications here:

Bidder Contact: _____

Address: _____

Phone: _____ Fax: _____ E-mail: _____

Notes:

1. Ensure you have read and understand the terms and conditions of this contract. Bidders must comply with the attached Standard & Special Bid and Contract Terms and Conditions and Agency Specifications.
2. Ensure that you have attached your specification sheet that includes everything you are including in your bid and that you have listed any deviations of our specs.
3. Any corrections must be initialed.
4. Send an **original** and **two (2) copies and one CD** of your bid per instructions on SP-11 ITB.
We do not accept e-mailed or faxed bids. Bids must be SEALED and delivered by Thursday, August 14, 2008 @ 2:00 p.m. (ET).
5. Prices are inclusive of all services.

All correspondence regarding this Invitation to Bid must be in *writing* and submitted to:
elizabeth.basso@ct.gov

-or-

Attn.: Elizabeth Basso, Bid # **08ITZ0065**
DOIT - Contract & Purchasing Division
101 East River Drive
East Hartford, CT 06108



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BIDDER'S STATEMENT OF QUALIFICATIONS

This form will be used in assessing a Bidder's qualifications and to determine if the bid submitted is from a responsible, qualified bidder. State law mandates that contracts be awarded to the lowest responsible, qualified bidder. Factors such as past performance, financial stability, integrity of the bidder, conformity to the specifications, etc. will be used in evaluating bids. Attach additional sheets, if necessary.

BIDDER NAME: _____
(Trade Name, Doing Business As)

Number of years doing business under this name: _____ YEARS

Other/Previous business name(s): _____

Company Value: Equipment Assets _____ Total Assets _____

Is your company registered with the Office of the Connecticut Secretary of State? ☐ YES ☐ NO
Registration Date: _____

If no, upon request, your company must provide a "Certificate of Legal Existence" issued by the Connecticut Secretary of State's Office. Website: www.sots.state.ct.us

List up to three (3) any contract awards of **similar size and scope** to **your** company by the State of Connecticut within the last three (3) years. **Do not list subcontractor awards.** Indicate the contract number, commodity, the State Agency, and provide the name & telephone number of the purchasing agent responsible for the contract.

<u>AWARD #</u>	<u>COMMODITY</u>	<u>STATE AGENCY</u>	<u>PURCHASING CONTACT</u>	<u>TELEPHONE #</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

References:

List at least **three completed projects similar** in nature to this Invitation to Bid that demonstrates **your** business's ability to perform the requirements of this bid. **Do not list subcontractor projects**

Contact Name, Company, and Address	Telephone #	Dollar Value
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

List any relevant certifications, licenses, registration, etc. that qualify your business to meet the requirements of this bid. _____

(Attach additional sheets if necessary)



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E-mail Address:
elizabeth.basso@ct.gov

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List of equipment to be used for this service, ***if applicable:***

<u>MODEL</u>	<u>YEAR</u>	<u>MANUFACTURER</u>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

(Attach additional sheets if necessary)

Political Sub-Divisions Section

Bidder will indicate below whether he will agree to furnish the awarded items at contract prices to Connecticut Political Sub-Divisions, as defined in the Connecticut General Statutes, that are interested in using the State's contract if the bidder is the awarded contractor for this bid invitation. If the bidder is agreeable, but wants to subject purchases from Political Sub-Divisions to certain requirements or conditions, the bidder may stipulate such requirements or conditions in the bid.

☐ YES

☐ NO

☐ YES – subject to requirements listed below

REQUIREMENTS: _____

OSHA COMPLIANCE SECTION

(Connecticut General Statute Section 31 - 57b)

The _____ ☐ **HAS** ☐ **HAS NOT**
Name of Bidder's Business, Firm, Organization or Corporation

BEEN CITED FOR THREE (3) OR MORE WILLFUL OR SERIOUS VIOLATIONS OF ANY OCCUPATIONAL SAFETY AND HEALTH ACT (OSHA) OR OF ANY STANDARD, ORDER OR REGULATION PROMULGATED PURSUANT TO SUCH ACT, DURING THE THREE YEAR PERIOD PRECEDING THE BID, PROVIDED SUCH VIOLATIONS WERE CITED IN ACCORDANCE WITH THE PROVISIONS OF ANY STATE OCCUPATIONAL SAFETY AND HEALTH ACT OF 1970, AND NOT ABATED WITHIN THE TIME FIXED BY THE CITATION AND SUCH CITATION HAS NOT BEEN SET ASIDE FOLLOWING APPEAL TO THE APPROPRIATE AGENCY OF COURT HAVING JURISDICTION OR RECEIVED ONE OR MORE CRIMINAL CONVICTIONS RELATED TO THE INJURY OR DEATH OF ANY EMPLOYEE IN THE 3-YEAR PERIOD PRECEDING THE BID.

☐ Copies of violations are attached

☐ None Received

ANY PERSON WHO KNOWINGLY PROVIDES FALSE INFORMATION CONCERNING THE INFORMATION REQUIRED PURSUANT TO THIS SECTION SHALL BE ASSESSED A CIVIL PENALTY AND SHALL BE DISQUALIFIED FROM BIDDING ON OR PARTICIPATING IN A CONTRACT WITH THE STATE OR ANY OF ITS POLITICAL SUBDIVISIONS FOR FIVE YEARS FROM THE DATE OF THE FINAL DETERMINATION THAT THE INFORMATION PROVIDED ABOVE IS FALSE.



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Bidder Debarment and/or Suspension Section

The undersigned bidder affirms and declares that a copy of any and all notices of debarment and/or suspension from contracting with *the State of Connecticut or the Federal Government* that have been received by the bidder, company official, and/or any subcontractor has been submitted with this bid:

☐ YES – number of notices attached _____ ☐ NONE RECEIVED

The undersigned bidder affirms and declares that a copy of any and all notices of debarment and/or suspension from contracting with *other states within the United States* that have been received by the bidder, company official, and/or any subcontractor has been submitted with this bid:

☐ YES – number of notices attached _____ ☐ NONE RECEIVED

The undersigned bidder affirms and declares that a copy of any and all administrative actions either pending review by the State or determinations that the State has made regarding your business for the last three (3) years. This would include court judgments and suits pending by a State or Federal Court. Also, include copies of any actions or orders pending or resolved with any State Agency (i.e. Consumer Protection, Environmental Protection).

☐ YES – number of notices attached _____ ☐ NONE RECEIVED

=====

I hereby certify that all the information supplied herein (on pages 1-3) have been examined by me and is complete, true, and correct:

Bidder: _____
Name (typed or printed)

Title: _____
Title of above Bidder

Signature: _____
Hand Written Signature

Dated: _____ (Corporation Seal)
Date Signed optional

Note: If it is determined by the contracting authority of the State of Connecticut that *any information requested was not referenced and submitted* with this bid, then such determination will be *just cause for disqualification* of the bid. A duly authorized representative of the company must sign this form.



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COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS

NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following **BIDDER CONTRACT COMPLIANCE MONITORING REPORT** must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidders A good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.



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

MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists.

ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.

BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..

INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.



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BID NUMBER 08ITZ0065
Purchasing Contact: Elizabeth Basso, AFAO
E-mail Address: elizabeth.basso@ct.gov

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3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

<u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East. <u>Black</u> (not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa. <u>Hispanic</u> - All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.	<u>Asian or Pacific Islander</u> - All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa. <u>American Indian or Alaskan Native</u> - All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - BIDDER INFORMATION

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__
Bidder Parent Company (If any)	- Bidder is certified as above by State of CT Yes__ No__
Other Locations in Ct. (If any)	- DAS Certification Number _____

PART II - BIDDER NONDISCRIMINATION POLICIES AND PROCEDURES

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes__ No__	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes__ No__	9. Does your company have a mandatory retirement age for all employees? Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes__ No__ NA__
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes__ No__ NA__



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PART V - BIDDER HIRING AND RECRUITMENT PRACTICES

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

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
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STANDARD BID/CONTRACT TERMS AND CONDITIONS

SPECIAL TERMS AND CONDITIONS

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SPECIAL TERMS AND CONDITIONS

1. The state reserves the right to award to one or more vendors
2. Bidders must include all ancillary costs associated with the acquisition of a product or service in their bid. Failure to include specific reference to an applicable cost will be interpreted as that cost being included in the product or service price.
3. Bidders must be able, at the State's option, to demonstrate any/all proposed hardware/software products. Any required benchmark demonstration must be provided at a site approved by the State and without cost to the State.
4. Bidders must certify that their bid is good for the term of the contract award.
5. The State reserves the right to request complete documentation for any item proposed. Failure to provide said documentation upon request might result in disqualification from an award.

6. TANGIBLE PERSONAL PROPERTY PROVISION

For the entire term of the Agreement and any and all of its extensions, the Contractor, on its own behalf and on behalf of all of its Affiliates, shall comply fully with the provisions of Conn. Gen. Stat. §12-411b, including, but not limited to, the following:

(1) The Contractor and its Affiliates shall collect and remit to the State of Connecticut, Department of Revenue Services, on behalf of its customers any Connecticut use tax due under the provisions of Chapter 219 of the Connecticut General Statutes for items of tangible personal property sold by the Contractor or by any of its Affiliates in the same manner as if the Contractor and such Affiliates were engaged in the business of selling tangible personal property for use in Connecticut and had sufficient nexus under the provisions of Chapter 219 to be required to collect Connecticut use tax; (2) A customer's payment of a use tax to the Contractor or its Affiliates relieves the customer of liability for the use tax; (3) The Contractor and its Affiliates shall remit all use taxes they collect from customers no later than the last day of the month of the calendar quarter that follows the effective date of this Agreement or the last day of the tax collection period during which the tax was collected, whichever is later. Notwithstanding the previous sentence, if the Agreement provides for an earlier date, then that earlier date shall control; (4) The Contractor and its Affiliates are not liable for use tax billed by them but not paid to them by a customer; and (5) If the Contractor or its Affiliates fail to remit use taxes collected on behalf of their customers by the date required above, then they shall be subject to the interest and penalties provided for persons required to collect sales tax under Chapter 219 of the Connecticut General Statutes. For purposes of this section of the Agreement, the word "Affiliate" means any person, as defined in Conn. Gen. Stat. §12-1, that controls, is controlled by, or is under common control with another person. A person controls another person if the person owns, directly or indirectly, more than ten per cent of the voting securities of the other person.

The word "voting security" means a security that confers upon the holder the right to vote for the election of members of the board of directors or similar governing body of the business, or that is convertible into, or entitles the holder to receive, upon its exercise, a security that confers such a right to vote. "Voting security" includes a general partnership interest. The Contractor represents and warrants that each of its Affiliates has vested in the Contractor plenary authority to so bind the Affiliates in any agreement with the



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State of Connecticut. The Contractor on its own behalf and on behalf of its Affiliates shall also provide, no later than 30 days after receiving a request by the State's contracting authority, such information as the State may require to ensure, in the State's sole determination, compliance with the provisions of Chapter 219 of the Connecticut General Statutes, including, but not limited to, §12-411b.

6. Bidder awards normally are made utilizing the Purchasing Division STANDARD BID AND CONTRACT TERMS AND CONDITIONS (SP-7A) or as specifically amended by the Special Bid and Contract Terms and Conditions contained herein. The State reserves the right to reject any bid that does not comply with the State's contractual requirements.

7. PERFORMANCE

In performance of this contract, the contractor agrees to comply with and assume responsibility for compliance by his or her employees with the following requirements:

- (1) All work will be done under the supervision of the contractor or the contractor's employees.
- (2) Any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material will be treated as confidential and will not be divulged or made known in any manner to any person except as may be necessary in the performance of this contract. Disclosure to anyone other than an officer or employee of the contractor will be prohibited.
- (3) All returns and return information will be accounted for upon receipt and properly stored before, during, and after processing. In addition, all related output will be given the same level of protection as required for the source material.
- (4) The contractor certifies that the data processed during the performance of this contract will be completely purged from all data storage components of his or her computer facility, and no output will be retained by the contractor at the time the work is completed. If immediate purging of all data storage components is not possible, the contractor certifies that any IRS data remaining in any storage component will be safeguarded to prevent unauthorized disclosures.
- (5) Any spoilage or any intermediate hard copy printout that may result during the processing of IRS data will be given to the agency or his or her designee. When this is not possible, the contractor will be responsible for the destruction of the spoilage or any intermediate hard copy printouts, and will provide the agency or his or her designee with a statement containing the date of destruction, description of material destroyed, and the method used.
- (6) All computer systems processing, storing, or transmitting Federal tax information must meet the requirements defined in IRS Publication 1075. To meet functional and assurance requirements, the security features of the environment must provide for the managerial, operational, and technical controls. All security features must be available and activated to protect against unauthorized use of and access to Federal tax information.
- (7) No work involving Federal tax information furnished under this contract will be subcontracted without prior written approval of the IRS.
- (8) The contractor will maintain a list of employees authorized access. Such list will be provided to the agency and, upon request, to the IRS reviewing office.
- (9) The agency will have the right to void the contract if the contractor fails to provide the safeguards described above.



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8. CRIMINAL/CIVIL SANCTIONS:

(1) Each officer or employee of any person to whom returns or return information is or may be disclosed will be notified in writing by such person that returns or return information disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such returns or return information for a purpose or to an extent unauthorized herein constitutes a felony punishable upon conviction by a fine of as much as \$5,000 or imprisonment for as long as 5 years, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized further disclosure of returns or return information may also result in an award of civil damages against the officer or employee in an amount not less than \$1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC sections 7213 and 7431 and set forth at 26 CFR 301.6103(n)-1.

(2) Each officer or employee of any person to whom returns or return information is or may be disclosed shall be notified in writing by such person that any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material shall be treated as confidential and shall not be divulged or made known in any manner to any person except as may be necessary in the performance of the contract. Inspection by or disclosure to anyone without an official need to know constitutes a criminal misdemeanor punishable upon conviction by a fine of as much as \$1,000 or imprisonment for as long as 1 year, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized inspection or disclosure of returns or return information may also result in an award of civil damages against the officer or employee [United States for Federal employees] in an amount equal to the sum of the greater of \$1,000 for each act of unauthorized inspection or disclosure with respect to which such defendant is found liable or the sum of the actual damages sustained by the plaintiff as a result of such unauthorized inspection or disclosure plus in the case of a willful inspection or disclosure which is the result of gross negligence, punitive damages, plus the costs of the action. These penalties are prescribed by IRC section 7213A and 7431.

(3) Additionally, it is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a(i)(1), which is made applicable to contractors by 5 U.S.C. 552a(m)(1), provides that any officer or employee of a contractor, who by virtue of his/her employment or official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

9. INSPECTION:

The IRS and the Agency shall have the right to send its officers and employees into the offices and plants of the contractor for inspection of the facilities and operations provided for the performance of any work under this contract. On the basis of such inspection, specific measures may be required in cases where the contractor is found to be noncompliant with contract safeguards.

10. The Department of Revenue Services aggressively supports the State of Connecticut's Minority and Small Contractors' Set-Aside Program according to the contract compliance requirements specified in Sections 4a-60 and 4a-60a of the Connecticut General Statutes. Further, the Department will not knowingly do business with any contractor, subcontractor, or supplier of materials who discriminates against any member of a protected class as specified in Section 329n of the Connecticut General Statutes. The Department will review the qualifications of any bidder based on:



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- their success in implementing an affirmative action plan;
- their success in developing apprenticeship programs;
- their promise to develop and implement a successful affirmative action plan;
- the submission of data indicating that their work force is at or near parity with the relevant labor market area;
- their promise to set aside a portion of the contract for legitimate Minority Business Enterprises.

The Department also aggressively solicits and welcomes the participation of legitimate Minority Business Enterprises (MBE) as bidders, contractors, subcontractors and suppliers of materials. To further these efforts, the Department encourages you to contact the Department of Administrative Services, Business Connections / Set-Aside Unit, 165 Capitol Avenue, Room G-8A, Hartford, CT 06106, Meg Yetishefsky, Program Director @ (860) 713-5228 regarding participation in the Minority and Small Business Set-Aside Programs.



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In consideration of these presents, the Invitation to Bid and the Contract, and for other good and valuable consideration, the receipt and sufficiency of which are acknowledged, the parties agree to these Standard Bid and Contract Terms and Conditions (the "Terms and Conditions"), the terms of the Invitation to Bid and the Contract.

ALL INVITATIONS TO BID ISSUED BY THE DEPARTMENT OF INFORMATION TECHNOLOGY ("DOIT") WILL BIND BIDDERS TO THESE TERMS AND CONDITIONS, WHICH, UNLESS OTHERWISE SPECIFICALLY NOTED, MAY BE ABROGATED, MODIFIED OR SUPPLEMENTED IN WHOLE OR IN PART BY THE SPECIAL BID AND CONTRACT TERMS AND CONDITIONS (THE "SPECIFICATIONS") ISSUED IN CONNECTION WITH ANY INDIVIDUAL INVITATION TO BID. BY SUBMITTING A BID, THE BIDDER REPRESENTS AND WARRANTS THAT IT IS AGREEING TO ALL OF THE PROVISIONS IN THE INVITATION TO BID, INCLUDING THESE TERMS AND CONDITIONS.

1. Definitions. Unless otherwise indicated, the following definitions shall apply to all Specifications, Invitations to Bid, awards, Contracts, etc., issued by DOIT:

- (a) **Agency:** Any office, department, board, council, commission, institution or other agency of the State.
- (b) **Alternate Bids:** Bids submitted in addition to the bidder's primary response to the invitation to bid. Such bids are intended to act as an alternative to the primary bid or be exchanged for, take the place of, replace or substitute for the primary bid should such primary bid be rejected.
- (c) **Bid:** An offer submitted in response to an Invitation to Bid.
- (d) **Bidder:** As defined in Section 4a-50, Chapter 58 of the Connecticut General Statutes, and as it may be modified, a person, firm or corporation submitting a competitive bid in response to a solicitation.
- (e) **Bidder Parties:** A Bidder's members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the Bidder is in privity of oral or written contract and the Bidder intends for such other person or entity to perform under the Contract in any capacity.
- (f) **Cancellation:** An end to the Contract effected pursuant to a right which the Contract creates due to a breach.
- (g) **Claims:** 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.
- (h) **Conditional Bid:** Bid that substantially limits or modifies any of the terms and conditions, specifications or requirements of the invitation to bid.
- (i) **Contract:** The agreement, as of its effective date, between the Bidder and DOIT for any, or all, Systems, Systems Properties or ALL IP Rights, and any associated services, at the Bid price. The Contract shall include the Invitation to Bid and the Bid.
- (j) **Contractor:** A Bidder who accepts or who is deemed to have accepted a Contract.
- (k) **Contractor Parties:** A Contractor's members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the Contractor is in privity of oral or written contract and the

Contractor intends for such other person or entity to perform under the Contract in any capacity.

- (l) **Business Day:** Unless otherwise specifically noted, all calendar days other than Saturdays, Sundays and days designated as national or State of Connecticut holidays.
- (m) **Expiration:** An end to the Contract due to the completion in full of the mutual performances of the parties or due to the Contract's term being completed.
- (n) **Information Systems:** As defined in Title 4d, Chapter 61 of the Connecticut General Statutes, and as it may be modified, the combination of data processing hardware and software in the collection, processing and distribution of data to and from interactive computer-based systems to meet informational needs.
- (o) **Invitation to Bid:** The document through which DOIT solicits sealed competitive Bids for any, or all, Systems and associated services through particular Specifications. The Invitation to Bid shall include these Terms and Conditions, the Specifications and all such other documents that DOIT deems it to be appropriate to include in the solicitation.
- (p) **Lowest Responsible Qualified Bidder:** As defined in Title 4a, Chapter 58 of the Connecticut General Statutes, and as it may be modified, the Bidder whose Bid is the lowest of those Bidders possessing the skill, ability and integrity necessary to faithful performance of the work based on objective criteria set forth in the Invitation to Bid and considering past performance and financial responsibility.
- (q) **Multiple Bids:** More than one Bid submitted in response to the same invitation to bid by the same bidder, whether on a separate bid form or attached to the initial bid form. Such bids are intended to be separate and distinct from each other and are meant to be evaluated as individual bids without reference to any other bid.
- (r) **Records:** All working papers and such other information and materials as may have been accumulated by the Contractor in performing the Contract, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.
- (s) **State:** The State of Connecticut.
- (t) **Systems:** Information Systems and Telecommunication Systems, or separately as the context may require.
- (u) **Systems Properties:** Records, source and object programs, documentation, specifications, modifications, designs, models, intellectual property rights, all ideas, concepts, know-how, expressions, and methodologies developed or initially conceived jointly or individually by the parties and the right to obtain and hold patents, copyrights, registrations and other similar protections.
- (v) **Telecommunication Systems:** As defined in Title 4d, Chapter 61 of the Connecticut General Statutes, and as it may be modified, the telephone equipment and transmission facilities, either alone or in combination with Information Systems, for the electronic distribution of all forms of information, including voice, data and images.
- (w) **Termination:** An end to the Contract effected pursuant to a right which the Contract creates, other than for a breach.

2. Bid Submission Process. Bidders must submit Bids on and in accordance with DOIT forms. DOIT will not accept Telephone or facsimile Bids under any circumstances. The Invitation to Bid sets forth the time and date that DOIT will open Bids. DOIT will not consider Bids arriving after the specified time and date. Bidders must submit Bids in a sealed package to DOIT at such address as the Invitation to Bid specifies. The outside of sealed Bid package must clearly indicate the Invitation to Bid number as well as the date and time of the opening of the Bids. The name and address of the Bidder should appear in the upper left-hand corner of the Bid



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package. Bids may be submitted for all or any part of total quantities or for any or all agency requirements listed in the Invitation to Bid, unless otherwise specifically indicated.

3. Bid Preparation, Content, Execution and Copies. Bids must include all information required in the Invitation to Bid in order for the Bid to be accepted and not rejected. Failure to provide such information will result in the rejection of the Bid. Bidders must verify the contents of their Bids before submission, as DOIT will not consider amendments to any Bids after the time specified for the opening of Bids. Bidders must submit one original and one copy of the Bid to DOIT. Bids shall be handwritten in ink, typewritten, or computer prepared. DOIT will reject all Bids prepared in pencil. A person duly authorized to sign Bids on behalf of the Bidder shall sign all Bids. **DOIT shall reject all unsigned Bids. All signatures shall be original signatures,** unless there is specific authorization from DOIT for the use of non-manual forms of signature. The person signing the Bid or his authorized designee shall initial and date all erasures, alterations or corrections on both the original and copy of any documentation submitted to DOIT. Failure to do so may result in rejection of the Bid for those items erased, altered or corrected and not initialed

4. Addenda to Invitation to Bid. If DOIT issues any addendum to the Invitation to Bid, the Bidder should sign it and return it with the Bid or before the Bid opening. In the event that it is not, vendors will still be held to the obligation of whatever change/modification is set forth in the Addendum

5. Conditional Bids. Conditional Bids may be rejected in whole or in part.

6. Alternate and Multiple Bids. Alternate Bids or Multiple Bids may be rejected in whole or in part.

7. No Substitute Specification. Unless limited by the term "no substitute," the use of the name of a manufacturer or of any particular make, model, or brand in describing a System, does not restrict Bidders to that manufacturer or specific System or System Properties. Such use simply and only indicates the character or quality of the System in which the State is interested. The System offered must be of similar character and quality and include any applicable options, accessories, etc. and serve the purpose for which it is to be used equally as well as the one specified. By submitting the Bid, the Bidder so warrants the System. Bids on comparable Systems must clearly state the exact System offered including any and all applicable options, accessories, etc., and the Bidder shall furnish such other information concerning the System as will be helpful in evaluating its acceptability for the purposes intended. If the Bidder does not indicate that the System offered is other than as specified, it will be understood that the Bidder is offering the System exactly as specified.

8. Pricing. Prices must be in decimals, not fractions, net, and shall include transportation and delivery charges fully prepaid by the Contractor, FOB, to the destination specified in the Invitation to Bid. In the event of a discrepancy between the unit price and the extension price, the unit price shall govern. Any discrepancy between the original and the copy of the Bid may result in rejection of the Bids for the System items so affected, except in the event of Bids awarded on a total basis, in which case DOIT shall consider the lower total price in making the award.

9. Tax Exemption. In accordance with section 12-412 of the Connecticut General Statutes, the State is exempt from the payment of excise, transportation and sales taxes imposed by the Federal Government and/or the State. Such taxes must not be included in Bid prices.

10. Bid Opening. DOIT will open and read all Bids publicly, unless otherwise provided by law. Bidders may be present or be represented

at all openings. After DOIT makes the award, Bids are subject to public inspection by appointment during DOIT's normal business hours. DOIT will not prepare, discuss or communicate summaries of Bids in any way.

11. Right to Cancel or Amend. DOIT may amend an Invitation to Bid at any time prior to the date and time of Bid opening. DOIT may cancel an Invitation to Bid at any time prior to the date and time of Contract award. Such cancellation shall not be deemed to be a breach of contract by DOIT.

12. Samples. If the Invitation to Bid requires that Bidders submit samples of Systems, the samples must meet at a minimum all Specifications. Bidders must submit samples when required and strictly in accordance with instructions, or DOIT may reject the Bid. If DOIT accepts a sample that does not meet the Specifications, this does not indicate or mean that DOIT has lowered or modified the Specifications. However, if any Bid sample is superior in quality to the Specifications, all deliveries shall have the same identity and quality as the Bid sample. If DOIT requests samples subsequent to the opening of Bids, the Bidder shall deliver them as specified in the Bid, free of any charges or fees and be accompanied by a descriptive memorandum indicating the Bidder desires for their return. The State shall return any samples in accordance with such memorandum, provided that they have not been used or made useless by testing. The State may hold samples for comparison with deliveries.

13. Rejected Items; Abandonment. If DOIT notifies Bidders that they must retrieve samples, or any other Systems, goods or equipment (collectively, the "Rejected Items") belonging to the Bidder, wherever located, the Bidder must do so within forty-eight (48) hours after notification unless public health and safety require immediate destruction or other disposal of the Rejected Items. The Bidder agrees and acknowledges that its failure to retrieve and remove from any State premises the Rejected Items within such time shall be deemed to be an abandonment of the Rejected Items and, without more required of any party, shall vest authority in DOIT or any Agency to use or dispose of the Rejected Items as if they were the State's own property, as they deem it to be appropriate and in accordance with the law without incurring any liability or obligation to the Bidder or any other party. To the extent that DOIT and/or any Agency incurs any costs or expenses in connection with the Rejected Items, including, but not limited to, disposing of the Rejected Items, the Bidder shall reimburse the appropriate State entity no later than thirty (30) days after the date of invoice for such costs and expenses. All samples will be set up at DOIT unless DOIT indicates another location.

14. Award Criteria. DOIT shall award Contracts to the Lowest Responsible Qualified Bidder, in accordance with the factors set forth in 4a-59 of the Connecticut General Statutes, in the corresponding regulations and in the Invitation to Bid. Past performance, financial responsibility, the quality of the Systems to be supplied, their conformity with Specifications, their suitability to the requirements of the State, the delivery terms and administrative costs to the State shall always be factors in making contract awards.

15. Right to Manage Award. DOIT may award by System item, or part thereof, groups of Systems, or all Systems in the Invitation to Bid;

reject any and all Bids in whole or in part; waive or correct minor irregularities and omissions if, in DOIT's judgment, the best interest of the State will be served; or correct inaccurate awards, as it deems to be appropriate, resulting from clerical or administrative errors. If in the case of an irregularity, omission or mistake, the intended correct Bid is clearly evident on the face of the Bid, the Bidder shall be given an opportunity to correct the Bid to reflect the correct intent. Examples of mistakes that are clearly evident on the face of the Bid include but are not limited to, typographical errors, errors in extending unit prices, transposition errors, and arithmetical errors.

16. Effective Date. The Contract shall be deemed to exist and be effective from the time that the Bidder accepts DOIT's Contract award notice to the Bidder. Bidder acceptance shall occur the earlier of the date of Bidder's written acceptance to DOIT in response to the Contract award



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notice or, absent such written acceptance, ten (10) days from the date of the Contract award notice. If any Bidder refuses or fails to accept DOIT's Contract award within ten (10) days from the date of the Contract award notice, DOIT may award the Contract to the next Lowest Responsible Qualified Bidder, and so on until the Contract is awarded and accepted. Refusal to accept a Contract after the ten (10) day period shall be deemed to be a breach of Contract and the Contractor shall be subject to the section in these terms and conditions concerning Open Market Purchases.

17. Bidder Obligations Concerning the Bid. A Bidder, if requested, must present evidence of experience, ability, service facilities, factory authorization and financial standing necessary to meet satisfactorily the requirements set forth or implied in the Invitation to Bid.

18. Discounts. Bidders may offer a discount for prompt payment, but such discount will not be taken into consideration in determining lowest price, except in the case of a price tie.

19. Rejection of Bids for Malfeasance. DOIT may, in its sole discretion, reject the Bid of any Bidder if at the time of Bid submittal the Bidder or Bidder Parties is in breach of any of the applicable representations and warranties listed in the Representations and Warranties section of these Terms and Conditions

20. Order and Delivery. The Contract shall bind the Bidder to furnish and deliver the Systems and/or services at the prices set forth in the Bid and in accordance with the Invitation to Bid, including these Terms and Conditions. Subject to the sections in these terms and conditions concerning Force Majeure, Termination, Cancellation and Expiration and Open Market Purchases, the Contract shall bind the State to order the Systems and any associated services from the Contractor, and to pay for the accepted Systems and any associated services at the Contract prices. The State may order and the Contractor shall deliver accordingly up to ten (10) percent more or less than the quantity listed in the Invitation to Bid. Subject to Contractor acceptance, Agencies not originally or specifically mentioned in the Invitation to Bid may purchase Systems and associated services from the Contractor. Agencies mentioned in the Invitation to Bid may transfer Systems and any associated services that they would have ordered to one or more other Agencies and the Contractor shall perform accordingly, subject to an adjustment in transportation costs, if applicable, resulting from any possible change in delivery sites. Provided further that such transportation costs are based on separately determined delivery costs to individual Agencies.

21. Contract Amendments. No alterations or variations of the Contract shall be valid or binding upon the State unless made in writing and signed by both parties.

22. Term. Contracts will remain in force for the full period specified in the Invitation to Bid or until;

- Terminated or Cancelled in accordance with these Terms and Conditions; or
- Extended in accordance with section 4a-59a of the Connecticut General Statutes, upon written authorization of the CIO and acceptance by the contractor, to permit ordering of unordered balances or additional quantities at the contract price and in accordance with the contract terms.
- Expired.

23. Assignment. The Contractor shall not assign any of its rights or obligations under the Contract, voluntarily or otherwise, in any manner without the prior written consent of DOIT. DOIT may void any purported assignment in violation of this section and to declare the Contractor in breach of Contract. If the Contractor assigns its rights or obligations under the Contract without the consent of DOIT, DOIT may Cancel the Contract in accordance with the Termination, Cancellation and Expiration section of these Terms and Conditions, effective as of

the assignment's occurrence or such other time as DOIT specifies in the Cancellation notice. Any Cancellation is without prejudice to DOIT's rights or possible Claims.

24. Termination, Cancellation and Expiration.

- Notwithstanding any provisions in the Invitation to Bid, including these Terms and Conditions, DOIT's Chief Information Officer ("CIO"), or the CIO's designee, may Terminate or Cancel the Contract whenever the CIO makes a written determination that such Termination or Cancellation is in the best interests of the State. DOIT shall notify the Contractor in writing of Termination or Cancellation pursuant to this section, which notice shall specify the effective date of Termination or Cancellation and the extent to which the Contractor must complete performance under the Contract prior to such date.
- The CIO shall send the notice of Termination or Cancellation via registered mail, return receipt requested, to the Contractor at the most current address which the Contractor has furnished to the State for purposes of correspondence, or by hand delivery. Upon receiving such notice from the State, the Contractor shall immediately discontinue all services and take all actions affected in accordance with the notice, undertake all commercially reasonable efforts to mitigate any losses or damages, and deliver to the State all Records. The Records are deemed to be the property of the State and the Contractor shall deliver them to DOIT no later than thirty (30) days after the Termination, Cancellation or Expiration of the Contract or fifteen (15) days after the Contractor receives a written request from the State for the Records. The Contractor shall deliver those Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCEE or .TXT.
- Upon receipt of a written notice of Termination or Cancellation from the State, the Contractor shall cease operations as directed by the State in the notice, and take all actions that are necessary or appropriate, or that the State may reasonably direct, for the protection and preservation of the Systems, Systems Properties and any other property. Except for any work which DOIT directs the Bidder to perform in the notice prior to the effective date of Termination or Cancellation, and except as otherwise provided in the notice, the Contractor shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further subcontracts, purchase orders or commitments.
- In the case of any Termination or Cancellation, the State shall, within forty-five (45) days of the effective date of Termination or Cancellation, reimburse the Contractor for its performance rendered and accepted by the State in accordance with the compensation provisions of the Contract, in addition to all actual and reasonable costs incurred after Termination or Cancellation in completing those portions of the performance which the Contractor was required to complete by the notice. However, the Contractor is not entitled to receive and the State is not obligated to tender to the Contractor any payments for anticipated or lost profits. Upon request by the State, the Contractor shall assign to the State, or any replacement contractor which the State designates, all subcontracts, purchase orders and other commitments, deliver to the State all Records and other information pertaining to its performance, and remove from State premises, whether leased or owned, all such equipment, waste material and rubbish related to its performance as the State may request.
- For breach or violation of any of the provisions in the section of these Terms and Conditions concerning Representations and
- Warranties, the State may Cancel the Contract in accordance with its terms and revoke any consents to assignments given as if the assignments had never been requested or consented to, without liability to the Contractor or Contractor Parties or any third party.



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(g) Upon Termination, Cancellation or Expiration of the Contract, all rights and obligations shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive Termination, Cancellation or Expiration of the Contract. All representations, warranties, agreements and rights of the parties under the Contract shall survive such Termination, Cancellation or Expiration to the extent not otherwise limited in the Contract and without each one of them having to be specifically mentioned in the Contract.

(h) Termination or Cancellation of the Contract pursuant to this section shall not be deemed to be a breach of contract by the State.

25. Breach. If either party breaches the Contract in any respect, the non-breaching party shall provide written notice of such breach to the breaching party and afford the breaching party an opportunity to cure the breach within ten (10) days from the date that the breaching party receives such notice, or such other time as provided in the notice, the Invitation to Bid or these Terms and Conditions, whichever is latest. Such right to cure period shall be extended if the non-breaching party is satisfied that the breaching party is making a good faith effort to cure but the nature of the breach is such that it cannot be cured within the right to cure period. The notice may include an effective Contract cancellation date if the breach is not cured by the stated date and, unless otherwise modified by the non-breaching party in writing prior to the cancellation date, no further action shall be required of any party to effect the cancellation as of the stated date. If the notice does not set forth an effective Contract cancellation date, then the non-breaching party may Cancel the Contract by giving the breaching party no less than twenty four (24) hours' prior written notice. If the State believes that the Contractor has not performed according to the Contract, the State may withhold payment in whole or in part pending resolution of the performance issue, provided that DOIT notifies the Contractor in writing prior to the date that the payment would have been due in accordance with the Payment section of these Terms and Conditions. For notice purposes, a lesser payment period shall not apply. If a cash discount for prompt payment is invoiced, the withholding of payments as provided for in this section shall not deprive the State of the right to take such cash discount.

26. Waiver.

- (a) No waiver of any breach of the Contract shall be interpreted or deemed to be a waiver of any other or subsequent breach. All remedies afforded in the Contract shall be taken and construed as cumulative, that is, in addition to every other remedy provided in the Contract or at law or in equity.
- (b) A party's failure to insist on strict performance of any provision of the Contract shall only be deemed to be a waiver of rights and remedies concerning that specific instance of performance and shall not be deemed to be a waiver of any subsequent rights, remedies or breach.

27. Open Market Purchases. Except to the extent that the Contractor is performing within a right to cure period, failure of the Contractor to perform within the time specified in the Contract, or failure to replace rejected or substandard Systems or fulfill unperformed services when so requested and as the Contract provides or allows, constitutes a breach of the Contract and as a remedy for such breach, such failure shall constitute authority for DOIT, if it deems it to be necessary or appropriate in its sole discretion, to Cancel the Contract and/or to purchase on the open market, Systems and associated services to replace those which have been rejected, not delivered, or not performed. The State shall invoice the Contractor for all such purchases to the extent that they exceed the costs and expenses in Contractor's Bid and the Contractor shall pay the State's

invoice immediately after receiving the invoice. If DOIT does not Cancel the Contract, the State will deduct such open market purchases from the Contract quantities. However, if the CIO deems it to be in the best interest of the State, DOIT may accept and use the Systems delivered which are substandard in quality, subject to an adjustment in price to be determined by DOIT.

28. Purchase Orders. The Contract itself is not an authorization for the Contractor to ship any Systems or to begin performing in any way. The Contractor may begin performing only after it has received a duly issued purchase order against the Contract for performance. The Agency using the Contract will issue a purchase order against the Contract directly to the Contractor. All purchase orders must be in writing, bear the Contract number and comply with all other State requirements, particularly the Agency's requirements concerning procurement. A Contractor making delivery without a formal written purchase order does so at his own risk.

29. Nonresponsibility. If (a) a Bidder fails to accept a Contract within ten (10) days, as specified in the Effective Date section of these terms and conditions; (b) a Contractor suffers an unexcused material breach of the Contract and fails to cure that breach in accordance with the procedures set forth in the Breach section of these terms and conditions; or (c) a Contractor fails to reimburse the State for open market purchases as set forth in the Open Market Purchases section of these terms and conditions, then DOIT will take that into consideration in future Invitations to Bid when evaluating the Bidder's responsibility. The consideration of this factor may lead to a "not responsible" finding against the Bidder and make a Bidder ineligible to receive one or more future contract awards.

30. Indemnification.

- a. The Contractor shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims arising, directly or indirectly, in connection with the Contract, including the acts of commission or omission (collectively, the "Acts") of the Contractor or Contractor Parties; and (2) liabilities, damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Contract. The Contractor shall use counsel reasonably acceptable to the State and without charge to the State in carrying out its obligations under this section. The Contractor's obligations under this section to indemnify, defend and hold harmless against Claims includes Claims concerning any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance of the Contract.
- b. The Contractor shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the Contractor or any Contractor Parties. The State shall give the Contractor reasonable notice of any such Claims.
- c. The Contractor's duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of the Contract, without being lessened or compromised in any way, even where the Contractor is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
- d. The Contractor shall carry and maintain at all times during the term of the Contract, and during the time that any provisions survive the term of the Contract, sufficient general liability insurance to satisfy its obligations under this section. The Contractor shall name the State as an additional insured on the policy.



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- e. The rights provided in this section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.

This section shall survive the Termination, Cancellation or Expiration of the Contract, and shall not be limited by reason of any insurance coverage.

31. Forum and Choice of Law. The Contract shall be deemed to have been made in the City of Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

32. Contractor Guaranties. Contractor shall:

- Perform fully under the Contract, the Invitation to Bid and the Bid in accordance with their terms.
- Guarantee the Systems and, as applicable, Systems Properties, against defective material or workmanship and to repair any damage or marring occasioned in transit or, at the State's option, replace them;
- Furnish adequate protection from damage for all work and to repair damage of any kind, for which its workers are responsible, to the premises, equipment Systems or System Properties, to the Contractor's work or that of Contractor Parties;
- With respect to the provision of services, pay for all permits, licenses and fees and give all required or appropriate notices;
- adhere to all contractual provisions ensuring the confidentiality of Records that the Contractor has access to and are exempt from disclosure under the State's Freedom of Information Act or other applicable law; and
- Neither disclaim, exclude nor modify the implied warranties of fitness for a particular purpose or of merchantability.

The contractual provisions concerning the confidentiality provisions guarantee in this section shall include civil sanctions for the unauthorized disclosure of the Records. The Contractor and Contractor Parties shall be treated as State employees with respect to any civil or criminal statutes providing for civil or criminal sanctions for unauthorized disclosures.

33. Systems' Standards and Appurtenances. Any Systems delivered must be standard new Systems, latest model, except as otherwise specifically stated in the Invitation to Bid. Where the Invitation to Bid or Bid do not specifically list or describe any part or nominal appurtenances of equipment for the Systems, it shall be understood that the Contractor shall deliver such equipment and appurtenances as are usually provided with the manufacturer's stock model.

34. Delivery.

- (a) Any Systems delivered shall be standard new equipment, latest model, except as otherwise stated in the Invitation to Bid.

Remanufactured, refurbished or reconditioned equipment may be accepted but only to the extent allowed under the Invitation to Bid. Where any part or nominal appurtenances of equipment are not described, it shall be understood that all equipment and appurtenances, which are usually provided in the manufacturer's stock model, shall be furnished.

- (b) Delivery shall be made as ordered and in accordance with the Invitation to Bid. Unless otherwise specified in the Invitation to Bid, delivery shall be to a loading dock or receiving platform. The Contractor or Contractor's shipping designee shall be responsible for removal of Systems from the carrier and placement on the agency loading dock or receiving platform. State receiving personnel are not required to assist in this process. The decision of the CIO as to reasonable compliance with delivery terms shall be final and binding. The burden of proof of proper receipt of the order shall rest with the Contractor.
- (c) In order for the time of delivery to be extended, DOIT must first approve a request for extension from the time specified in the Contract, such extension applying only to the particular item or shipment.
- (d) Systems shall be securely and properly packed for shipment, according to accepted standard commercial practice, without extra charge for packing cases, baling or sacks. The containers shall remain the property of the State unless otherwise stated in the Bid.
- (e) All risk of loss and damage to the Systems and Systems Properties transfers to the State upon Title vesting in the State.

35. System Inspection. DOIT shall determine the manner and prescribe the inspection of all Systems and the tests of all samples submitted to determine whether they comply with all of the Specifications in the Invitation to Bid. If any System fails in any way to meet the Specifications in the Invitation to Bid, DOIT may, in its sole discretion, either reject it and owe nothing or accept it and pay for it on an adjusted price basis, depending on the degree to which the System meets the Specifications. Any decision pertaining to any such failure or rejection shall be final and binding.

36. Payment. Payment shall be made only after the Agency receives the Systems or services and after acceptance of the Systems or services and presentation of a properly completed invoice. Unless otherwise specified in the Invitation to Bid, payment for all accepted Systems and/or associated services shall be due within forty-five (45) days after acceptance of the Systems or services. Bids that require payment in less than forty-five (45) days shall be rejected, unless DOIT determines in its sole discretion that the Bid's requiring a lesser period is not material.

37. Invoicing. The Contractor shall send all invoices directly to the Agency at the address indicated on the purchase order and shall make all inquiries regarding the status of unpaid invoices also only to such ordering Agency.

38. Force Majeure. The State and the Contractor shall not be excused from their duty to perform in accordance with the Contract except in the case of Force Majeure events and as otherwise provided for in the Contract. In the case of any such exception, the nonperforming party shall give immediate written notice to the other, explaining the cause and probable duration of any such nonperformance.

39. Advertising. The Contractor shall not refer to sales to the State for advertising or promotional purposes without DOIT's prior written approval.

40. American with Disabilities Act. The Contractor shall be and remain in compliance with the Americans with Disabilities Act of 1990 ("Act"), to the extent applicable, during the term of the Contract. The State may Cancel the Contract if the Contractor fails to comply with the Act.

41. Representations and Warranties. The Contractor, and the Bidder, as appropriate, represent and warrant to the State for itself and Contractor Parties and Bidder Parties, as appropriate, that:



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- (a) if they are entities, they are duly and validly existing under the laws of its state of organization and authorized to conduct business in the State of Connecticut in the manner contemplated by the Contract. Further, as appropriate, they have taken all necessary action to authorize the execution, delivery and performance of the Bid and the Contract and have the power and authority to execute, deliver and perform their obligations under the Contract;
- (b) they will comply with all applicable State and Federal laws and municipal ordinances in satisfying their obligations to the State under and pursuant to the Contract, including, but not limited to (1) Connecticut General Statutes Title 1, Chapter 10, concerning the State's Codes of Ethics and (2) Titles 4a and 4d concerning State purchasing, including, but not limited to Sections 4a-60 and 4a-60a, concerning nondiscrimination, 22a-194a concerning the use of polystyrene foam, 4d-32 concerning subcontracts, 4d-34 concerning ownership rights and integrity of public records, 4d-35 concerning applicability of the Connecticut Freedom of Information Act, 4d-36 concerning nondisclosure of public records, 4d-37 concerning prohibition on selling, marketing or profiting from public records and 4d-38 concerning notice to DOIT for violation of certain laws.
- (c) the execution, delivery and performance of the Contract will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable: (1) any provision of law; (2) any order of any court or any Agencies; or (3) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
- (d) they are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal or state department or agency;
- (e) as applicable, they have not, within the three years preceding the Contract, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them or against any person who would perform under the Contract, for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract. 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;
- (f) they are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, state or local) with commission of any of the offenses listed above;
- (g) they have not within the three years preceding the Contract had one or more public transactions (Federal, state or local) cancelled for cause or breach;
- (h) they have not employed or retained any entity or person, other than a bona fide employee working solely for them, to solicit or secure the Contract and that they have not paid or agreed to pay any entity or person, other than a bona fide employee working solely for them, any fee, commission, percentage, brokerage fee, gifts, or any other consideration contingent upon or resulting from the award or making of the Contract or any assignments made in accordance with the terms of the Contract;
- (i) to the best of their knowledge, there are no Claims involving the Bidder, Bidder Parties, Contractor or Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Contract;
- (j) they shall disclose annually on the anniversary date of the effective date of the Contract, any and all Claims involving the Contractor or Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Contract;
- (k) its participation in the Invitation to Bid process is not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State code of ethics;
- (l) the Bid is not made in connection or concert with any other person, entity or Bidder, including any affiliate of the Bidder, submitting a Bid for the same Systems, and is in all respects fair and without collusion or fraud;
- (m) it has not participated in any communications concerning the Invitation to Bid with any person or entity who submits a Bid, including, but not limited to, any manufacturers and/or dealers;
- (n) it is able to perform under the Contract using its own resources or the resources of a party who is not a Bidder;
- (o) each Systems or each developed, modified or remediated Systems delivered under the Contract shall: (1) accurately assess, present or process date and time data (including, but not limited to, management, manipulation, processing, comparing, sequencing and other use of date data, including single and multi-century formulae and leap years) from, into and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap year calculations; (2) properly exchange date and time data when used in combination with other Systems; and (3) perform as a System, if so stipulated in the Contract;
- (p) it shall obtain in a written contract all of the representations and warranties in this section from any subcontractor that it contracts with in connection with the Contract and to require that provision to be included in any lower tier subcontracts and purchase orders;
- (q) it has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
- (r) it has a record of compliance with Occupational Health and Safety Administration regulations without any unabated, willful or serious violations;
- (s) it owes no unemployment compensation contributions;
- (t) it is not delinquent in the payment of any taxes owed, or that it has filed a sales tax security bond, and it has, if and as applicable, filed for motor carrier road tax stickers and has paid all outstanding road taxes;
- (U) all of its vehicles have current registrations and, unless such vehicles are no longer in service, it shall not allow any such registrations to lapse;
- (V) each Contractor Party or Bidder Party has vested in the Contractor and Bidder plenary authority to bind them to the extent necessary or appropriate in any agreement with the State in accordance with these representations and warranties and that they shall also provide, no later than fifteen (days) days after receiving a request from DOIT, such information as DOIT may require to evidence, in the State's sole determination, compliance with this section;
- (w) it shall afford the State the lowest rates available for the Systems and any associated services and shall provide an annual written statement that it has complied with such representation and warranty;
- (x) except to the extent modified or abrogated in the Specifications, all ownership, title, licenses, rights and interest (including, but not limited to, perpetual use) (collectively, "Title") of and to the Systems and Systems Properties shall pass to the State upon complete installation, testing and acceptance of the Systems and associated services and payment by the State;



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- (y) if either party Terminates or Cancels the Contract, for any reason, the Contractor shall relinquish to the State all Title to the Systems and Systems Properties delivered, accepted and paid for (except to the extent any invoiced amount is disputed) by the State;
- (z) with regard to third party products provided with the Systems, and Systems Properties, the Contractor shall transfer all licenses which it is permitted to transfer in accordance with the applicable third party license;
- (aa) the Contractor shall not copyright, register, distribute or claim any rights in or to the Systems and Systems Properties after the effective date of the Contract without DOIT's prior written consent;
- (bb) it either owns or has the authority to use all Title of and to the Systems, Systems Properties and that such Title is not the subject of any encumbrances, liens or claims of ownership by any third party;
- (cc) the Systems and Systems Properties do not infringe or misappropriate any patent, trade secret or other intellectual property right of a third Party;
- (dd) the State's use of any Systems and Systems Properties shall not infringe or misappropriate any patent, trade secret or other intellectual property right of a third Party;
- (ee) if the Contractor procures any Systems, Systems Properties Rights, the Contractor shall sub-license such Systems, Systems Properties and that the State shall be afforded the full benefits of any manufacturer or subcontractor licenses for the use of the Systems and Systems Properties;
- (ff) the Contractor shall disclose to DOIT all software license and software escrow agreements that it has with any manufacturers or Contractor Parties; and
- (gg) the Contractor shall assign or otherwise transfer to DOIT, or afford DOIT the full benefits of any manufacturer's warranty for the Systems, Systems Properties and All IP Rights, to the extent that such warranties are assignable or otherwise transferable to DOIT.

42. Disclosure of Contractor Parties Litigation. The Contractor shall require that all Contractor Parties, as appropriate, disclose to the Contractor annually on the anniversary date of the effective date of the Contract, to the best of their knowledge, any Claims involving the Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Contract. The Contractor shall provide such information to DOIT no later than ten (10) days after the Contractor receives such information. Disclosure shall be in writing.

43. Bidder Communications with State. The only Agency with which Bidders may communicate concerning the Invitation to Bid and their Bid is DOIT. They may not contact the requesting Agency or any of its employees unless the Bidder has received prior written approval from DOIT. Any alleged oral agreement or arrangement made by a Bidder or Contractor with any Agency or any of its employees shall not bind DOIT or the State.

44. Entirety of Contract. The Contract is the entire agreement between the parties with respect to the its subject matter, and supersedes all prior agreements, proposals, offers, counteroffers and understandings of the parties, whether written or oral. No alteration, modification or interpretation of the Contract shall be valid or binding unless in writing and signed by both parties. The Contract has been entered into after full investigation, neither party relying upon any statement or representation by the other unless such statement or representation is specifically embodied in the Contract.

45. Price Reduction. The parties may agree to a reduction in the Bid price for any part or all of the System and/or associated services after the Contractor begins to perform.

46. Executive Orders. The Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. At the Contractor's request, the Client Agency shall provide a copy of these orders to the Contractor. The Contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions.

47. Non-discrimination. References in this section to "contract" shall mean this Contract and references to "contractor" shall mean the Contractor. (a) The following subsections are set forth here as required by section 4a-60 of the Connecticut General Statutes:

(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, mental retardation 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. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, 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; (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 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 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 sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (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 section 46a-56. (b) If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project. (c) "Minority business enterprise" means any small contractor or supplier of materials fifty-one per cent 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 section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the



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performance of legal duties and obligations. "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. (d) 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. (e) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts. (f) The contractor shall include the provisions of section A above 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 section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter. (g) The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes: (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 of 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 section 46a-56; (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 section 46a-56. (h) The contractor shall include the provisions of section G above 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 section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

47. Whistleblowing. The Contract is subject to the provisions of §4-61dd of the Connecticut General Statutes. In accordance with this

section any person having knowledge of any matter involving corruption, violation of state or federal laws or regulations, gross waste of funds, abuse of authority or danger to the public safety occurring in any large state contract, may transmit all facts and information in his possession concerning such matter to the Auditors of Public Accounts. In accordance with subsection (e) 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 this section, the contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of the contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation each calendar day's continuance of the violation shall 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. In accordance with subsection (f) each large state contractor shall post a notice of the provisions of this section relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the contractor.

48. Headings. The headings given to the Sections in these Terms and Conditions are inserted only for convenience and are in no way to be construed as part of the Contract or as a limitation of the scope of the particular Section to which the heading refers.

49. Number and Gender. Whenever the context so requires, the plural or singular shall include each other and the use of any gender shall include all genders.

50. Parties. To the extent that any Contractor Party or Bidder Party is to participate or perform in any way, directly or indirectly in connection with the Bid or the Contract, any reference in the Invitation to Bid, the Bid and the Contract to "Contractor" or "Bidder" shall also be deemed to include "Contractor Parties" or "Bidder Parties," respectively, as if such reference had originally specifically included "Contractor Parties" or "Bidder Parties," since it is the parties' intent for the terms "Contractor Parties" and "Bidder Parties" to be vested with the same rights and obligations as the terms "Contractor" and "Bidder."

51. Contractor Changes. The Contractor shall notify DOIT in writing of any change in its certificate of incorporation, a change in more than a controlling interest in the ownership of the Contractor or a change in the individual(s) in charge of the performance to be completed under the Contract. This change shall not relieve the Contractor of any responsibility for the accuracy and completeness of the performance. DOIT, after receiving written notice by the Contractor of any such change, may require such agreements, releases and other instruments evidencing, to DOIT's satisfaction, that any individuals retiring or otherwise separating from the Contractor have been compensated in full or that provision has been made for compensation in full, for all work performed under terms of the Contract. The Contractor shall deliver such documents to DOIT in accordance with the terms of DOIT's written request. DOIT may also require, and the Contractor shall deliver, a financial statement showing that solvency of the Contractor is maintained. The death of any Contractor Party, as applicable, shall not release the Contractor from the obligation to perform under the Contract; the surviving Contractor Parties, as appropriate, must continue to perform under the Contract until it is fully performed.

52. Further Assurances. The parties shall provide such information, execute and deliver any instruments and documents and take such other actions as may be necessary or reasonably requested by the other party which are not inconsistent with the provision of the Contract and which do not involve the assumption of obligations other than those provided for in the Contract, in order to give full effect to the Contract and to carry out the intent of the Contract.



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53. Audit and Inspection of Records. The Contractor shall make all of its and the Contractor Parties' Records available at all reasonable hours for audit and inspection by DOIT and any Agency, including, but not limited to, the Connecticut Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents. Requests for any audit or inspection shall be in writing, at least ten (10) days prior to the requested date. All audits and inspections shall be at the State's expense. The State may request an audit or inspection at any time during the Contract term and for three (3) years from Termination, Cancellation or Expiration of the Contract. The Contractor shall cooperate fully with the State and its agents in connection with an audit or inspection. Following any audit or inspection, the State may conduct and the Contractor shall cooperate with an exit conference.

54. Background Checks. The Contractor and Contractor Parties shall be subject to criminal background checks as provided for in the State of Connecticut Department of Public Safety Administration and Operations Manual.

55. Continued Performance. The Contractor and Contractor Parties shall continue to perform their obligations under the Contract while any dispute concerning the Contract is being resolved.

56. Working and Labor Synergies. The Contractor shall be responsible for maintaining a tranquil working relationship between the Contractor work force, the Contractor Parties and their work force, State employees, and any other contractors present at the work site. The contractor shall quickly resolve all labor disputes which result from the Contractor's or Contractor Parties' presence at the work site, or other action under their control. Labor disputes shall not be deemed to be sufficient cause to allow the Contractor to make any claim for additional compensation for cost, expenses or any other loss or damage, nor shall those disputes be deemed to be sufficient reason to relieve the Contractor from any of its obligations under the Contract.

57. Contractor Responsibility. The Contractor shall be required to assume responsibility for the entire performance under the Contract regardless of whether the Contractor itself performs. The Contractor shall be the sole point of contact concerning the management of the Contract, including performance and payment issues. The Contractor is solely and completely responsible for adherence by the Contractor Parties to all applicable provisions of the Contract.

The Contractor shall exercise all reasonable care to avoid damage to the State's property or to property being made ready for the State's use, and to all property adjacent to any work site. The Contractor shall promptly report any damage, regardless of cause, to the State.

58. Severability. If any term or provision of the Contract or its application to any person, entity or circumstance shall, to any extent, be held to be invalid or unenforceable, the remainder of the Contract or the application of such term or provision shall not be affected as to persons, entities or circumstances other than those as to whom or to which it is held to be invalid or unenforceable. Each remaining term and provision of the Contract shall be valid and enforced to the fullest extent possible by law.

59. Most Favored Nation. The terms of all Systems and services in the Contract are equivalent to or better than those for comparable Contractor offerings to any other state or local government under like terms and conditions. If during the term of the Contract the Contractor provides more favorable terms for said offerings to another such state or local government, the Contract shall be deemed to be amended, automatically and without any act required of any party, to provide the same terms to the State.

60. Confidential Information. DOIT will afford due regard to the Bidder's and Contractor's request for the protection of proprietary or confidential information which DOIT receives. However, all materials associated with the Bid and the Contract are subject to the terms of the

Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. In making such a request, the Bidder or Contractor may not merely state generally that the materials are proprietary or confidential in nature and not, therefore, subject to release to third parties. Those particular sentences, paragraphs, pages or sections that the vendor believes are exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA must accompany the request. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the Bidder or Contractor that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the FOIA. To the extent that any other provision or part of the Contract, especially including the Bid and the Specifications, conflicts or is in any way inconsistent with this Section, this Section controls and shall apply.

61. Interpretation. The Contract contains numerous references to statutes and regulations. For purposes of interpretation, conflict resolution and otherwise, the content of those statutes and regulations shall govern over the content of the reference in the Contract to those statutes and regulations.

62. Cross-Default. If the Contractor or Contractor Parties breach, default or in any way fail to perform satisfactorily under the Contract, then the State may, in its sole discretion, without more and without any action whatsoever required of the State, treat any such event as a breach, default or failure to perform under any or all other agreements or arrangements ("Other Agreements") that the Contractor or Contractor Parties have with the State. Accordingly, the State may then exercise at its sole option any and all of its rights or remedies provided for in the Contract or Other Agreements, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the State, as if the Contractor or Contractor Parties had suffered a breach, default or failure to perform under the Other Agreements.

If the Contractor or Contractor Parties breach, default or in any way fail to perform satisfactorily under any or all other agreements or arrangements ("Other Agreements") that the Contractor or Contractor Parties have with the State, then the State may, in its sole discretion, without more and without any action whatsoever required of the State, treat any such event as a breach, default or failure to perform under the Contract. Accordingly, the State may then exercise at its sole option any and all of its rights or remedies provided for in the Other Agreements or the Contract, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the State, as if the Contractor or Contractor Parties had suffered a breach, default or failure to perform under the Contract.

63. Disclosure of Records. The Contract may be subject to the provisions of §1-218 of the Connecticut General Statutes. In accordance with this section, each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (1) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (2) indicate that such records and files are subject to the Freedom of Information Act and may be disclosed by the public agency pursuant to the Freedom of Information Act. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with the Freedom of Information Act. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the Connecticut General Statutes.

64. Notice of Consulting Affidavit. Section 4a-81 of Connecticut Statutes requires that this solicitation include a notice of the consulting affidavit requirements described in the Statute. Accordingly, pursuant to the Statute, vendors are notified as follows:



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No state agency shall execute a contract for the purchase of goods or services, which contract has a total value to the state of fifty thousand dollars or more in any calendar or fiscal year, unless the state agency obtains the written affidavit described in subsection (b) of this section.

(1) The chief official of the vendor awarded a contract described in subsection (a) of this section or the individual awarded such contract who is authorized to execute such contract, shall attest in an affidavit as to whether any consulting agreement has been entered into in connection with such contract. Such affidavit shall be required if any duties of the consultant included communications concerning business of such state agency, whether or not direct contact with a state agency, state or public official or state employee was expected or made. "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 or requests for information or (C) any other similar activity related to such contract. "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 concerning the State's Codes of Ethics, as of the date such affidavit is submitted. (2) Such affidavit shall be sworn as true to the best knowledge and belief of the person signing the certification on the affidavit and shall be subject to the penalties of false statement. (3) Such affidavit shall include the name of the consultant, the consultant's firm, the basic terms of the consulting agreement, a brief description of the services provided, and an indication as to whether the consultant is a former state employee or public official. If the consultant is a former state employee or public official, such affidavit shall indicate his or her former agency and the date such employment terminated. (4) Such affidavit shall be amended whenever the vendor awarded the contract enters into any new consulting agreement during the term of the contract.

If a vendor refuses to submit the affidavit required under subsection (b) of this section, then the state agency shall not award the Contract to such vendor and shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.

This section is set forth here only for purposes of providing notice of the requirements of the Act. Accordingly, it is neither intended nor should it be interpreted nor relied upon to be a complete and full reiteration of the Act's contents. Any interpretation or understanding of the Act's requirements or content by any party must come only from reading the full text of the Act itself.

65. Summary of State Ethics Laws. Pursuant to the requirements of Section 1-101qq of Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of the Contract as if the summary had been fully set forth in the Contract.

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

67. Time is 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.

68. Continuity of Systems. (a) The Contractor acknowledges that the state agency information system and telecommunication system facilities and equipment (the "Systems") and associated services are important to the function of State government and that they must continue without interruption. If the work under the Contract, any subcontract, or amendment to either, is transferred back to the State or to another contractor at any time for any reason, then the Contractor shall cooperate fully with the State, and do and perform all acts and things that DOIT deems to be necessary or appropriate, to ensure continuity of the Systems and services so that there is no disruption or interruption in performance as required or permitted in the Contract. The Contractor shall not enter into any subcontract for any part of the performance under the Contract without prior written approval of such subcontract by DOIT, as required by Conn. Gen. Stat. §4d-32. The Contractor shall include in such subcontract a provision containing all of the substantive terms and conditions of this section, such that the subcontractor will be obligated to DOIT in the same way as the Contractor is obligated to DOIT under this section. The Contractor shall make a full and complete disclosure of and delivery to DOIT or its representatives of all Records and "Public Records," as that term is defined in Conn. Gen. Stat. §4d-33, as it may be amended, in whatever form they exist or are stored and maintained and wherever located, directly or indirectly, concerning the Contract.

(b) The parties shall follow the following procedures in order to ensure the orderly transfer to the State of:

(1) such facilities and equipment-- Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the Contractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which DOIT identifies, all Systems related to or arising out of the Contract, subcontract or amendment, no later than 10 days from the date that the work under the Contract is transferred back to the State or to another contractor for any reason. The Contractor shall deliver the Systems to the State, during the State's business hours, in good working order and in appropriately protective packaging to ensure delivery without damage. Concurrent with this delivery, the Contractor shall also deliver all Systems-related operation manuals and other documentation in whatever form they exist and a list of all Systems passwords and security codes;

(2) all software, including all applicable licenses, purchased, created or modified pursuant to the Contract, subcontract or amendment-- Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the Contractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which DOIT identifies, all software, including all applicable licenses, purchased, created or modified pursuant to the Contract, subcontract or amendment no later than 10 days from the date that the work under the Contract is transferred back to the State or to another contractor for any reason. The Contractor shall deliver to the State, during the State's business hours, the software, including its source code, if applicable, in good working order, readily capable of being maintained and modified, and housed in appropriately protective packaging or hardware to ensure delivery without damage. Concurrent with this delivery, the Contractor shall also deliver all related operation manuals and other documentation in whatever form they exist and a list of all applicable passwords and security codes; and

(3) all Public Records, as defined in Conn. Gen. Stat. §4d-33, which the Contractor or Contractor Parties possess or create pursuant to the Contract, subcontract or amendment-- Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the Contractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which DOIT identifies, all Records and Public Records created or modified pursuant to the Contract, subcontract or amendment no later than the latter of (1) the



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time specified in the section in this Contract concerning Termination for the return of Records and (2) 10 days from the date that the work under the Contract is transferred back to the State or to another contractor for any reason. The Contractor shall deliver to the State those Records and Public Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT. The Contractor shall deliver to the State, during the State's business hours, those Records and Public Records and a list of all applicable passwords and security codes, all in appropriately protective packaging to ensure delivery without damage.

(c) If the Contractor employs former State employees, the Contractor shall facilitate the exercising of any reemployment rights that such State employees may have with the State, including, but not limited to, affording them all reasonable opportunities during the workday to interview for State jobs. The Contractor shall include language similar to this section in all of its contracts with its subcontractors and applicable Contractor Parties so that they are similarly obligated.

69. Campaign Contribution and Solicitation Ban. With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See attached SEEC Form 11.

70. Conn. Gen. Stat. Sec. 4-252(e).

Conn. Gen. Stat. § 4-252 (the "Statute") requires that the Invitation to Bid, of which these Terms and Conditions are a part, include a notice of the vendor certification requirements described in the Statute. Accordingly, pursuant to the Statute, vendors are notified as follows:

(a) The terms "gift," "quasi-public agency," "state agency," "large state contract," "principals and key personnel" and "participated substantially" as used in this section shall have the meanings set forth in the Statute.

(b) No state agency or quasi-public agency shall execute a large state contract unless the state agency or quasi-public agency obtains the written certifications described in this section. Each such certification shall be sworn as true to the best knowledge and belief of the person signing the certification, subject to the penalties of false statement.

(c) The official of the person, firm or corporation awarded the contract, who is authorized to execute the contract, shall certify on such forms as the State shall provide:

(1) That no gifts were made between the date that the state agency or quasi-public agency began planning the project, services, procurement, lease or licensing arrangement covered by the contract and the date of execution of the contract, by (A) such person, firm, corporation, (B) any principals and key personnel of the person, firm or corporation, who participated substantially in preparing the bid or proposal or the negotiation of the contract, or (C) any agent of such person, firm, corporation or principals and key personnel, who participated substantially in preparing the bid or proposal or the negotiation of the contract, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for the contract, who participated substantially in the preparation of the bid solicitation or request for proposals for the contract or the negotiation or award of the contract, 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 person, firm or corporation, or agent of such person, firm or corporation or principals

and key personnel, knows of any action by the person, firm or corporation to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the person, firm or corporation to provide a gift to any such public official or state employee; and

(3) That the person, firm or corporation made the bid or proposal without fraud or collusion with any person.

(d) Any bidder or proposer that does not make the certifications required under subsection (c) of this section shall be disqualified and the state agency or quasi-public agency shall award the contract to the next highest ranked proposer or the next lowest responsible qualified bidder or seek new bids or proposals.

(e) The date that the state agency or quasi-public agency began planning the project, services procurement, lease or licensing arrangement to be covered by the contract is.

71. Nondiscrimination Certification Requirement

Public Act 07-142 and Public Act 07-245 have amended the nondiscrimination provisions of the Connecticut General Statutes to add civil unions to the existing protected classes and to require State contractors to adopt policies in support of the new statutes by means of a resolution. By law, a contractor must provide the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the nondiscrimination agreement and warranty under C.G.S. §§ 4a-60a and 46a-68h.

Accordingly, attached as Exhibits 1 & 2 are form certifications that the successful contractor must deliver executed at the time that it executes the Contract. The first of these forms is designed to be used by corporate or other business entities; the second is to be used only by individuals who are to sign and perform contracts with the State in their individual capacity. One or the other of these certifications is required for all State contracts, regardless of type, term, cost, or value. The execution and submittal of this certificate is a condition precedent to the State's executing the Contract, unless the contractor is exempt from this statutory requirement, in which case the contractor must obtain a written waiver from the State's Commission on Human Rights and Opportunities.

72. Encryption of Confidential Data

All contracted vendors shall encrypt any and all State stored data that is now, or hereafter, classified as confidential or restricted by the State. This encryption shall, without additional cost to the State, apply to all such data stored on non State owned and/or managed devices. The method used to encrypt data shall be compliant with then current State of Connecticut Architecture and Standards.

Invitation to Bid #08ITZ0065
DRS Imaging of CT Income Tax Forms

VENDOR CERTIFICATIONS

- 1) OPM Ethics Form 1 – Gift and Campaign Contribution Certification.
- 2) OPM Ethics Form 5 – Consulting Agreement Affidavit.
- 3) OPM Ethics Form 6 – Affirmation of Receipt of State Ethics Laws Summary
- 4) Plain Language Summary of State Ethics Laws for Current and Potential State Contractors.
- 5) SEEC FORM 11 - Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban.
- 6) Nondiscrimination Certification Requirement
- 7) Nondiscrimination Certification Form (to be used by Corporations)
- 8) Nondiscrimination Certification Form (to be used by individuals)



STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

CHECK ONE: ☐ Initial Certification ☐ Annual Update (Multi-year contracts only.)

GIFT CERTIFICATION:

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

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

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

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



STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Printed Contractor Name

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 200__.

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only

DOIT
Awarding State Agency

4/2/08
Planning Start Date

08ITZ0065 – DRS Imaging of CT Income Tax Forms
Contract Number or Description



STATE OF CONNECTICUT CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

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

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

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

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

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

Consultant's Name and Title

Name of Firm (if applicable)

Start Date

End Date

Cost

Description of Services Provided: _____

Is the consultant a former State employee or former public official?

☐ YES

☐ NO

If YES: _____
Name of Former State Agency

Termination Date of Employment

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

Printed Name of Bidder or Vendor

Signature of Chief Official or Individual

Date

Printed Name (of above)

DOIT
Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 200__.

Commissioner of the Superior Court
or Notary Public



STATE OF CONNECTICUT

AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

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

INSTRUCTIONS:

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

CHECK ONE:

- ☐ I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
- ☐ I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
- ☐ I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.

IMPORTANT NOTE:

Contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

AFFIRMATION:

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

* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website at http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf

Signature

Date

Printed Name

Title

Firm or Corporation (if applicable)

Street Address

City

State

Zip

DOIT
Awarding State Agency

Plain Language Summary of State Ethics Laws for Current and Potential State Contractors

Note: The following is a summary of the major ethics laws and related provisions applicable to current and potential state contractors. For more detailed information or to discuss any questions you may have, contact the Office of State Ethics at (860) 566-4472.

RESTRICTIONS ON THE BENEFITS YOU MAY GIVE TO STATE PERSONNEL

GIFTS: In general, no one doing business with or seeking business from a state or quasi-public agency may give a gift to an official or employee of that agency. Connecticut's gift ban is strict, but has some exceptions. For example, under the Ethics Code, you may give: (1) food and drink up to \$50 per person per year, if the person paying, or his or her representative, is in attendance; and (2) tangible gifts up to \$10 per item up to \$50 per person per year. Also exempt are certain items such as informational materials, or plaques costing less than \$100. For a complete list of the Code's gift exceptions, consult Conn. Gen. Stat. § 1-79(e) or contact the Office of State Ethics.

IMPORTANT RECENT CHANGE IN LAW: As of July 1, 2004, gifts for "major life events," including a wedding or the birth of a child, which were previously exempt from the gift ban, are now subject to the strict gift limits outlined above if the gifts are provided by any individual or entity doing business with or seeking business from the state.

NOTE: State agencies may have stricter gift rules than the provisions of the Ethics Code (for example, an agency policy may ban all food and drink). Be sure to obtain a copy of the agency's ethics policy before you provide any benefit to an agency official/employee.

NECESSARY EXPENSES: Under the Ethics Code, you may not pay a fee or an honorarium to a state official or employee for making a speech or appearing at your organization's event. You may, however, under limited circumstances, pay the "necessary expenses" of such a state servant. These expenses are limited to: necessary travel, lodging for the nights before, or and after the speech, meals and conference fees. There may be reporting requirements attached to the giving and taking of necessary expenses, so contact the Office of State Ethics if you need more information. **NOTE:** Before providing necessary expenses, check with the state agency's ethics officer to determine if the agency allows such payments.

GIFTS TO THE STATE: The Ethics Code allows limited "gifts to the state" which facilitate state action or functions (for example, donating a piece of equipment to the agency).

NOTE: Recent legislation was passed that may impact gifts to the state. Please contact the Office of State Ethics before giving a gift to the state to determine if such donations are acceptable.

RULES ON HIRING STATE PERSONNEL

Before you hire a current or **former** state employee, you should be aware of certain provisions of the Ethics Code. First, if you are considering hiring a current state employee, especially from a state agency with which you do business or by which you are regulated, you should know the following:

A current state employee must not accept outside employment that impairs his independence of judgment regarding his state duties, or that encourages him to disclose confidential information learned in his state job. Also, a current state employee may not use his or her state position for financial gain, however inadvertent that use may be. Therefore, for example, a current state employee who exercises any contractual, supervisory or regulatory authority over you or your business may not be able to work for you.

Second, if you are considering hiring a **former** state employee, you should be aware of the Ethics Code's post-state employment, or revolving door, laws:

If you hire or otherwise engage the services of a former state official or employee, he or she may not represent you before his or her former agency for one year after leaving state service.

NOTE: The former State Ethics Commission established a limited exception to this provision which allows the former employee to return to his or her former agency within the one year period for the sole purpose of providing technical expertise (for example, to help implement a previously awarded contract). This is a fact-specific exception that applies in very limited circumstances: therefore, you should contact the Office of State Ethics for further assistance if you think this exception applies to you.

If a state official or employee was substantially involved in, or supervised, the negotiation or award of a contract valued at \$50,000 or more, and the contract was signed within his or her last year of state service, and you or your business was one of the parties to the contract, then you and/or your business are prohibited from hiring him or her for one year after he or she leaves state employment.

A former state official or employee can **never** represent anyone other than the state regarding a particular matter in which he or she was personally and substantially involved while in state service and in which the state has a substantial interest.

Third, there are approximately 75 state officials or employees who may not negotiate for, seek or accept employment with any business subject to regulation by their agency, and may not accept employment with such a business for one year after leaving state service. Under that section of the law, it is also illegal for a business in the industry to employ such an individual.

CONFLICT OF INTEREST RULES THAT APPLY TO YOU AS A STATE CONTRACTOR

Under Conn. Gen. Stat. §1-86e of the Ethics Code, no state contractor, including a consultant or other independent contractor, can use the authority provided under the contract, or confidential information acquired in the performance of the contract, to obtain financial gain for himself, his employee, or a member of his immediate family. Also, a state contractor cannot accept another state contract that would impair his independence of judgment in the performance of the first contract. Finally, a state contractor cannot accept anything of value based on an understanding that his actions on behalf of the state would be influenced.

It is important to call the Office of State Ethics at (860) 566-4472 to discuss the application of this law, or any of the other ethics laws, to your specific situation.

OTHER ETHICS PROVISIONS THAT MAY APPLY TO YOU

Contractors seeking large state contracts are required to execute affidavits regarding gifts and/or campaign contributions made to certain state employees or public officials in the two-year period prior to the submission of a bid or proposal. You need to check the web sites of both the Department of Administrative Services, www.das.state.ct.us, and the Office of Policy and Management, www.opm.state.ct.us, for copies of these affidavits and for other updated information regarding state contractors. Also, because the particular agency with which you wish to contract may have specific rules that you must follow, you need to check with that agency as well.

If you or your business provides "investment services" as defined in the Code of Ethics, and you make a political contribution in connection with the Office of the Treasurer, you may be prohibited from contracting with that office. See Conn. Gen. Stat. § 1-84(n).

Finally, if you or your business spends or receives \$2,000 or more in a calendar year for activities that constitute lobbying under the Ethics Code, whether to affect legislation or the actions of an administrative state agency, then you and/or your business may have to register as a lobbyist with the Office of State Ethics, and more ethics rules will apply to you. Contact the Office of State Ethics, or review the lobbyist registration information at www.ct.gov/ethics.

Recent legislation (Public Act 05-287) prohibits anyone who is a party (or who is seeking to become a party) to a state construction, procurement, or consultant services contract over \$500,000 from:

(1) Soliciting information from a public official or state employee that is not available to other bidders for that contract, with the intent to obtain a competitive advantage over other bidders;

(2) intentionally or recklessly charging a state agency for work not performed or goods or services not provided, or falsifying invoices or bills; or

(3) intentionally violating or trying to circumvent the state competitive bidding and ethics laws.

Recent legislation (Public Act 05-287) also requires any prospective state contractor to affirm in writing that he or she has been provided with a summary of the state's ethics laws and that his key employees have read and understood the summary and agree to comply with the applicable provisions of the ethics law.

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

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

Campaign Contribution and Solicitation Ban

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

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

Duty to Inform

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

Penalties for Violations

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

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

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

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

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

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

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

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-

public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

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

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

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

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

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

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

NONDISCRIMINATION CERTIFICATION REQUIREMENT

Public Act 07-142 and Public Act 07-245 have amended the nondiscrimination provisions of the Connecticut General Statutes to add civil unions to the existing protected classes and to require State contractors to adopt policies in support of the new statutes by means of a resolution. By law, a contractor must provide the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the nondiscrimination agreement and warranty under C.G.S. §§ 4a-60a and 46a-68h.

Accordingly, attached as Exhibits 1 & 2 are form certifications that the successful contractor must deliver executed at the time that it executes the Contract. The first of these forms is designed to be used by corporate or other business entities; the **second is to be used only by individuals** who are to sign and perform contracts with the State in their individual capacity. One or the other of these certifications is required for all State contracts, regardless of type, term, cost, or value. The execution and submittal of this certificate is a condition precedent to the State's executing the Contract, unless the contractor is exempt from this statutory requirement, in which case the contractor must obtain a written waiver from the State's Commission on Human Rights and Opportunities.

NONDISCRIMINATION CERTIFICATION

(By corporate or other business entity regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.)

I, signer's name, signer's title, of name of entity, an entity lawfully organized and existing under the laws of name of state or commonwealth, do hereby certify that the following is a true and correct copy of a resolution adopted on the ____ day of ____, 20____ by the governing body of name of entity, in accordance with all of its documents of governance and management and the laws of name of state or commonwealth, and further certify that such resolution has not been modified, rescinded or revoked, and is, at present, in full force and effect.

RESOLVED: That name of entity hereby adopts as its policy to support the nondiscrimination agreements and warranties required under Connecticut General Statutes § 4a-60(a)(1) and § 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

WHEREFORE, the undersigned has executed this certificate this ____ day of ____, 20____.

Signature

Effective June 25, 2007

NONDISCRIMINATION CERTIFICATION

(By individual contractor regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.)

I, signer's name, of business address, am entering into a contract (or an extension or other modification of an existing contract) with the State of Connecticut (the "State") in my individual capacity for if available, insert "Contract No. _____"; otherwise generally describe goods or services to be provided. I hereby certify that I support the nondiscrimination agreements and warranties required under Connecticut General Statutes Sections 4a-60(a)(1) and 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

WHEREFORE, I, the undersigned, have executed this certificate this _____ day of _____, 20____.

Signature

Effective June 25, 2007



STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
CONTRACTS & PURCHASING DIVISION
101 EAST RIVER DRIVE, 4th Floor
EAST HARTFORD, CT 06108-3274
www.ct.gov/doit

BID NUMBER 08ITZ0065
Purchasing Contact: Elizabeth Basso, AFAO
E-mail Address: elizabeth.basso@ct.gov

BIDDER'S CHECKLIST

Read, review, and check-off each action as it is completed.

BIDDER'S RESPONSE PACKAGE All original bid forms must be prepared in INK or TYPEWRITTEN, *filled-out completely and returned* regardless if the information has been submitted in prior bids or bid may be disqualified.

- ☐ SP-26 Bid Proposal – This form **must have an original signature** of a duly authorized representative of the company. *Unsigned bids are automatically rejected.*
- ☐ SP-16 Bid Schedule:
 - ▶ Bidder's name must be in the upper right corner of ALL Bid Schedule Pages (typed or printed).
 - ▶ Complete the delivery section – A.R.O. (be specific). Do NOT use: “as ordered” or “as required.”
 - ▶ The payment terms are Net 45 Days (*Bidder may offer cash discounts for prompt payment*). Net Terms for periods less than 45 days (i.e. Net 30) are subject to rejection. *Exception:* State of CT Small Business Set-Aside bid payment terms shall be in accordance with CGS 32-9h.
 - ▶ The price extensions and totals have been reviewed and verified. In case of discrepancy between unit prices and total prices, the unit price will govern the bid evaluation.
 - ▶ Any errors, alterations, corrections, whiteouts, or erasures must be initialed. Changes not initialed result in automatic bid rejection.
- ☐ Bidder Specifications – All technical or descriptive material, drawing, sample, format, or disc that are required with the bid.
- ☐ SP-14 Bidder Qualifications – Each section must be completed (if not applicable, note “N/A”) and **must be signed** by an authorized representative of the company.
- ☐ SP-34 Contract Compliance Regulations (CHRO) – The last 2 pages must be completed, signed, and submitted with each bid regardless of the number of employees (*even if the company is family owned and/or operated*) or the bid may be rejected.

IF REQUESTED INCLUDE:

- ☐ SP-18 Addendum – any addendum to the bid must be signed (insert before SP-26).
- ☐ Set-Aside Certification – a copy of your certification from DAS (insert after specifications).
- ☐ Maintenance Vendor Guarantee Certification – must be completed and signed with the bid.
- ☐ ANY additional items that are listed in the bid schedule.

When Returning Bidder's Response Package (*WE DO NOT ACCEPT E-MAILED OR FAXED BIDS*)

- ☐ **Return** the **ORIGINAL** forms listed above with **two copies and 1 CD**.
- ☐ Bidder's return mailing address **must be** in the upper left corner of the sealed bid envelope.
- ☐ Use the pre-addressed mailing label (found on SP-11, ITB) **or**
 - ▶ **Mark** your sealed bid envelope with the **Bid Number** and the **Bid Opening Date** and
 - ▶ Address it to: State of Connecticut - Department of Information Technology
Contracts & Purchasing Division, 4th Floor
101 East River Drive, East Hartford, CT 06108-3274
- ☐ Mail or hand-deliver your bid in time to be received no later than the designated opening date and time. Late bids are *not accepted* under any circumstances.
- ☐ **Do NOT return** unnecessary forms (i.e. terms & conditions, agency specifications, ABL, checklist) with your bid. It only complicates the evaluation of your bid if returned unnecessarily.