



# AIA<sup>®</sup> Document A101<sup>™</sup> – 1997

## Standard Form of Agreement Between Owner and Contractor where the basis of payment is a STIPULATED SUM

The following document is the AIA A101 – Standard Form of Agreement Between Owner and Contractors as modified by the University of Connecticut.

Modification date: January 23, 2008

AGREEMENT made as of the Sixth day of February in the year of Two Thousand Eight  
(In words, indicate day, month and year)

BETWEEN the Owner:

(Name, address and other information)

University of Connecticut  
Capital Project & Contract Administration  
31 LeDoyt Road  
Unit 3047  
Storrs, Connecticut 06269

and the Contractor:

(Name, address and other information)

Montagno Construction, Inc.  
75 Progress Lane  
Waterbury, CT 06705

The Project is:

(Name and location)

201417 Bookworms Cafe Expansion  
University of Connecticut  
Storrs Connecticut

The Architect is:

(Name, address and other information)

Fletcher-Thompson, Inc.  
Three Corporate Drive  
Shelton, Connecticut 06484-6244

The Owner and Contractor agree as follows.

This document has important legal consequences. Consultation with an attorney is encouraged with respect to its completion or modification.

AIA Document A201-1997, General Conditions of the Contract for Construction, is adopted in this document by reference. Do not use with other general conditions unless this document is modified.

This document has been approved and endorsed by The Associated General Contractors of America.

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User Notes:

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## ARTICLE 1 THE CONTRACT DOCUMENTS

The Contract Documents consist of this ~~Agreement, Conditions of the Contract (General, Supplementary and other Conditions), Drawings, Specifications, Addenda~~ AIA 101 Agreement, as amended, AIA A201 Conditions of the Contract (General Conditions, AIA A201 – 1997, as amended), Drawings, Specifications, Bid Clarification(s), the Invitation to Bid Book, including the Invitation to Bid, Notice and Instructions to Bidders, Proposal, as accepted by the University, all Exhibits within the Proposal, Prevailing Wage Rates, Labor Rates, and Insurance Certificate, Performance and Payment Bonds issued prior to execution of this Agreement, other documents listed in this Agreement and Modifications issued after execution of this Agreement; these form the Contract, and are as fully a part of the Contract as if attached to this Agreement or repeated herein. The Contract represents the entire and integrated agreement between the parties hereto and supersedes prior negotiations, representations or agreements, either written or oral. An enumeration of the Contract Documents, other than Modifications, appears in Article 8.

## ARTICLE 2 THE WORK OF THIS CONTRACT

The Contractor shall fully execute the Work described in the Contract Documents, except to the extent specifically indicated in the Contract Documents to be the responsibility of others.

## ARTICLE 3 DATE OF COMMENCEMENT AND SUBSTANTIAL COMPLETION

**§ 3.1** The date of commencement of the Work shall be the date of this Agreement unless a different date is stated below or provision is made for the date to be fixed in a notice to proceed issued by the Owner.

*(Insert the date of commencement if it differs from the date of this Agreement or, if applicable, state that the date will be fixed in a notice to proceed.)*

Date of Commencement will be stated in the Notice to Proceed.

If, prior to the commencement of the Work, the Owner requires time to file mortgages, mechanic's liens and other security interests, the Owner's time requirement shall be as follows:

**§ 3.2** The Contract Time shall be measured from the date of commencement.

**§ 3.3** The Contractor shall achieve Substantial Completion of the entire Work not later than 90 days from the date of commencement, or as follows:

*(Insert number of calendar days. Alternatively, a calendar date may be used when coordinated with the date of commencement. Unless stated elsewhere in the Contract Documents, insert any requirements for earlier Substantial Completion of certain portions of the Work.)*

Portion of Work

Substantial Completion Date

, subject to adjustments of this Contract Time as provided in the Contract Documents.

*(Insert provisions, if any, for liquidated damages relating to failure to complete on time or for bonus payments for early completion of the Work.)*

Liquidated Damages shall be assessed as provided in Paragraph 9.11 of the General Conditions.

## ARTICLE 4 CONTRACT SUM

**§ 4.1** The Owner shall pay the Contractor the Contract Sum in current funds for the Contractor's performance of the Contract. The Contract Sum shall be Two Hundred Twenty-five Thousand Eight Hundred Seventy Dollars and Zero Cents (\$ 225,870.00), subject to additions and deductions as provided in the Contract Documents.

**§ 4.2** The Contract Sum is based upon the following alternates, if any, which are described in the Contract Documents and are hereby accepted by the Owner:

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(State the numbers or other identification of accepted alternates. If decisions on other alternates are to be made by the Owner subsequent to the execution of this Agreement, attach a schedule of such other alternates showing the amount for each and the date when that amount expires)

Alternate Prices which reflect the work of the bid package under which this bid proposal was submitted which shall remain valid for the life of the project and include all costs for a complete installation. All pricing is inclusive of all costs of wages, applicable taxes, benefits, applicable insurance, overhead and profit. The Prices herein shall remain valid for the life of the project and include all costs for a complete installation. Alternate prices are good for both adds and deducts.

**§ 4.3** Unit prices, if any, are as follows:

All rates are inclusive of all costs of wages, applicable taxes, benefits, applicable insurance, overhead and profit. The rates provided will be negotiated and included as part of a subcontract. The Unit Prices herein shall remain valid for the life of the project and include all costs for a complete installation. Unit prices are good for both adds and deducts.

Description	Units	Price (\$ 0.00)
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**ARTICLE 5 PAYMENTS**

**§ 5.1 PROGRESS PAYMENTS**

**§ 5.1.1** Based upon Applications for Payment submitted to the Architect by the Contractor and Certificates for Payment issued by the Architect, the Owner shall make progress payments on account of the Contract Sum to the Contractor as provided below and elsewhere in the Contract Documents.

**§ 5.1.2** The period covered by each Application for Payment shall be one calendar month ending on the last day of the month, or as follows:

**§ 5.1.3** ~~Provided that an Application for Payment is received by the Architect not later than the day of a month, Within 45 days of receipt Architect's Certification of a properly submitted and correct Application for Payment in accordance with provisions of AIA A201 General Conditions, Article 9, the Owner shall make payment to the Contractor not later than the day of the month. If an Application for Payment is received by the Architect after the application date fixed above, payment shall be made by the Owner not later than ( ) days after the Architect receives the Application for Payment.~~ Contractor.

**§ 5.1.4** Each Application for Payment shall be based on the most recent schedule of values submitted by the Contractor in accordance with the Contract Documents. The schedule of values shall allocate the entire Contract Sum among the various portions of the Work. The schedule of values shall be prepared in such form and supported by such data to substantiate its accuracy as the Architect may require. This schedule, unless objected to by the Architect, shall be used as a basis for reviewing the Contractor's Applications for Payment.

**§ 5.1.5** Applications for Payment shall indicate the percentage of completion of each portion of the Work as of the end of the period covered by the Application for Payment.

**§ 5.1.6** Subject to other provisions of the Contract Documents, the amount of each progress payment shall be computed as follows:

- .1 Take that portion of the Contract Sum properly allocable to completed Work as determined by multiplying the percentage completion of each portion of the Work by the share of the Contract Sum allocated to that portion of the Work in the schedule of values, less retainage of (—). ~~Pending final~~

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~~determination of cost to the Owner of changes in the Work, amounts not in dispute shall be included as provided in Section 7.3.8 of AIA Document A201-1997; Ten Percent (10%).~~

- .2 Add that portion of the Contract Sum properly allocable to materials and equipment delivered and suitably stored at the site for subsequent incorporation in the completed construction (or, if approved in advance by the Owner, suitably stored off the site at a location agreed upon in writing), less retainage of Ten Percent (10%);
- .3 In addition, if the State Commission on Human Rights and Opportunities ("CHRO") authorizes the award or execution of this contract in advance of CHRO's approval of the Contractor's Affirmative Action Plan, the Owner will withhold an additional two percent (2%) of the total contract price per month, pending CHRO approval of the Contractor's Affirmative Action Plan. ;
- .4 Subtract the aggregate of previous payments made by the Owner; and
- ~~.4~~ .5 Subtract amounts, if any, for which the Architect-University Representative has withheld or nullified a Certificate for Payment as provided in Section 9.5 of AIA Document A201-1997.

§ 5.1.7 The progress payment amount determined in accordance with Section 5.1.6 shall be further modified under the following circumstances:

- .1 Add, upon Substantial Completion of the Work, a sum sufficient to increase the total payments to the full amount of the Contract Sum, less such amounts as the Architect-University Representative shall determine for incomplete Work, retainage applicable to such work and unsettled claims; and *(Section 9.8.5 of AIA Document A201-1997 requires release of applicable retainage upon Substantial Completion of Work with consent of surety, if any.)*
- .2 Add, if final completion of the Work is thereafter materially delayed through no fault of the Contractor, any additional amounts payable in accordance with Section 9.10.3 of AIA Document A201-1997.

§ 5.1.8 Reduction or limitation of retainage, if any, shall be as follows:

*(If it is intended, prior to Substantial Completion of the entire Work, to reduce or limit the retainage resulting from the percentages inserted in Sections 5.1.6.1 and 5.1.6.2 above, and this is not explained elsewhere in the Contract Documents, insert here provisions for such reduction or limitation.)*

§ 5.1.9 Except with the Owner's prior approval, the Contractor shall not make advance payments to suppliers for materials or equipment which have not been delivered and stored at the site.

## § 5.2 FINAL PAYMENT

§ 5.2.1 Final payment, constituting the entire unpaid balance of the Contract Sum, shall be made by the Owner to the Contractor when:

- .1 the Contractor has fully performed the Contract except for the Contractor's responsibility to correct Work as provided in Section 12.2.2 of AIA Document A201-1997, and to satisfy other requirements, if any, which extend beyond final payment; and
- .2 a final Certificate for Payment has been issued by the Architect-University Representative

§ 5.2.2 The Owner's final payment to the Contractor shall be made no later than ~~30 days after the issuance of~~ 45 days of receipt the Architect's final Certificate for Payment, or as follows:

## ARTICLE 6 TERMINATION OR SUSPENSION

§ 6.1 The Contract may be terminated by the Owner or the Contractor as provided in Article 14 of AIA Document A201-1997.

§ 6.2 The Work may be suspended by the Owner as provided in Article 14 of AIA Document A201-1997.

## ARTICLE 7 MISCELLANEOUS PROVISIONS

§ 7.1 Where reference is made in this Agreement to a provision of AIA Document A201-1997 or another Contract Document, the reference refers to that provision as amended or supplemented by other provisions of the Contract Documents.

~~§ 7.2 Payments due and unpaid under the Contract shall bear interest from the date payment is due at the rate stated below, or in the absence thereof, at the legal rate prevailing from time to time at the place where the Project is located.~~

~~(Insert rate of interest agreed upon, if any.)~~

(→)

~~(Usury laws and requirements under the Federal Truth in Lending Act, similar state and local consumer credit laws and other regulations at the Owner's and Contractor's principal places of business, the location of the Project and elsewhere may affect the validity of this provision. Legal advice should be obtained with respect to deletions or modifications, and also regarding requirements such as written disclosures or waivers.)~~ **Not used**

§ 7.3 The Owner's representative is:

~~(Name, address and other information)~~

**Not used**

§ 7.4 The Contractor's representative is:

~~(Name, address and other information)~~

**Not used**

~~§ 7.5 Neither the Owner's nor the Contractor's representative shall be changed without ten days written notice to the other party.~~ **Not used**

§ 7.6 Other provisions: The Contractor is hereby specifically cautioned that unless specifically authorized, in writing, by the University's Vice President for Administration and Operations Services, on a case by case basis, the Contractor shall have no right to use, and shall not use, in any manner, the name of the University of Connecticut, its officials or employees, or the Seal of the University:

(a) in any advertising, publicity, promotion, nor;

(b) to express or to imply any endorsement of Contractor's work product or services.

## 7.7 ETHICS AND COMPLIANCE

In accordance with the University's compliance program, the University has in place an anonymous ethics and compliance reporting hotline service – 1-888-685-2637. Any person who is aware of unethical practices, fraud, violation of state laws or regulations or other concerns relating to University policies and procedures can report such matters anonymously. Such persons may also directly contact the University's compliance office at: Office of Audit, Compliance, and Ethics, 9 Walters Avenue, Unit 5084, Storrs, CT 06269-5084; Phone 860-486-4526; Fax 860-486-4527. As a provider of goods and/or services to the University, you are hereby required to notify your employees, as well as any subcontractors, who are involved in the implementation of this contract, of this reporting mechanism.

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**ARTICLE 8 ENUMERATION OF CONTRACT DOCUMENTS**

§ 8.1 The Contract Documents, except for Modifications issued after execution of this Agreement, are enumerated as follows:

§ 8.1.1 The Agreement is this executed 1997 edition of the Standard Form of Agreement Between Owner and Contractor, AIA Document ~~A101-1997~~A101-1997, as amended.

§ 8.1.2 The General Conditions are the 1997 edition of the General Conditions of the Contract for Construction, AIA Document ~~A201-1997~~A201-1997, as amended and as attached hereto.

§ 8.1.3 ~~The Supplementary and other Conditions of the Contract are those contained in the Project Manual dated —, and are as follows~~

**Not Used.**

Document	Title	Pages
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§ 8.1.4 The Specifications are those contained in the Project Manual dated ~~as in Section 8.1.3, September 2007~~, and are as follows:

*(Either list the Specifications here or refer to an exhibit attached to this Agreement.)*

Table of Contents – Exhibit A

Section	Title	Pages
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§ 8.1.5 The Drawings are as follows, and are dated August 24, 2007 unless a different date is shown below: *(Either list the Drawings here or refer to an exhibit attached to this Agreement.)*

List of Drawings – Exhibit B

Number	Title	Date
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§ 8.1.6 ~~The Addenda~~, Bid Clarification, Exhibit C, if any, are as follows:

Number	Date	Pages
<u>1</u>	<u>11/15/2007</u>	

Portions of ~~Addenda~~Bid Clarification(s) relating to bidding requirements are not part of the Contract Documents unless the bidding requirements are also enumerated in this Article 8.

§ 8.1.7 Other documents, if any, forming part of the Contract Documents are as follows: *(List here any additional documents that are intended to form part of the Contract Documents. AIA Document A201-1997 provides that bidding requirements such as advertisement or invitation to bid, Instructions to Bidders, sample forms and the Contractor’s bid are not part of the Contract Documents unless enumerated in this Agreement. They should be listed here only if intended to be part of the Contract Documents.)*

the Invitation to Bid set of documents dated October 10, 2007  
Notice and Instructions to Bidders  
Contractor’s Proposal dated November 15, 2007, as accepted by the University, including Proposal Form sheet and all attachments  
And All Exhibits within the Proposal (attached hereto)

The Contractor's Wage Certification Form dated November 15, 2007 and the State of Connecticut Wage and Workplace Standards (Prevailing Wage Rates) dated October 2, 2007  
Labor Rates dated November 15, 2007 (as included in the proposal)  
Contractor Environmental, Health & Safety Manual  
Project Manual dated September 2007  
Payment and Performance Bonds  
Insurance Certificate(s)

This Agreement is entered into as of the day and year first written above and is executed in at least three original copies, of which one is to be delivered to the Contractor, one to the Architect for use in the administration of the Contract, and the remainder to the Owner.

\_\_\_\_\_  
**OWNER** *(Signature)*

Barry Feldman  
Vice President and Chief Operating Officer

Duly authorized: 10a-109d(a)(5)  
*(Printed name and title)*

\_\_\_\_\_  
**CONTRACTOR** *(Signature)*

Kurt Montagno, President  
Montagno Construction, Inc.

Duly Authorized  
*(Printed name and title)*

Approved as to form:

\_\_\_\_\_  
Deputy/Associate/Assistant Attorney General

Date Signed:

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**Certification By Agency Official or Employee**  
**Authorized to Execute Contracts**

I, Barry Feldman, am authorized to execute the attached contract on behalf of the University of Connecticut (agency name). I hereby certify that the selection of the person, firm or corporation for the attached large state contract, was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

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

\_\_\_\_\_  
Signature Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_\_

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



## **Certification of Document's Authenticity**

**AIA® Document D401™ – 2003**

I, Fran Zajaczkowski, hereby certify, to the best of my knowledge, information and belief, that I created the attached final document simultaneously with this certification at 11:19:05 on 02/05/2008 under Order No. 1000310470\_1 from AIA Contract Documents software and that in preparing the attached final document I made no changes to the original text of AIA® Document A101™ – 1997 - Standard Form of Agreement Between Owner and Contractor where the basis of payment is a STIPULATED SUM, as published by the AIA in its software, other than changes shown in the attached final document by underscoring added text and striking over deleted text.

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*(Signed)*

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*(Title)*

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*(Dated)*