



# University of Connecticut

## *Administration and Operations Services*

Purchasing Department

Date: May 29, 2007

To: Prospective Bidders

RE: Addendum #2 Bid #PG041707 **Oracle-Peoplesoft Campus Solutions Upgrade Services**

The following are questions received for this bid with respective answers and should be considered an integral part of the bid.

Q Sec. 4.29, Vendor Signing Authority, states that acceptable sample forms documenting signing authority are available on the purchasing website. However, none of the forms listed there would serve this purpose (the "Signature Authorization" form is for UConn personnel). What sort of documentation are you looking for?

A. *The information is found through the link titled 'Corporate Resolutions and Guidelines'*  
<http://www.purchasing.uconn.edu/corpres/corpres.html>

*The Signature Authorization link is for a University of Connecticut process.*

Q. Attachment D shows that the target application release is Campus Solutions v9.0. It also shows the "current tools release" is v8.22.14, but does not show a target tools release. Is this an omission, or is there no tools upgrade planned at this time?

A. *The Target tools release will be PeopleTools PT8.49.*

Q. What was the duration of the SA 7.6 to 8.0 upgrade?

A. *We do not view these projects as very similar due to the number and type of differences between them as well as our comparative levels of expertise between that time and now.*

*However, we started the project April 14, 2003 PeopleSoft 7.6 (PSPR) to Learning Solutions 8.00 SP1 PeopleTools 8.17 (SAPR) on the weekend of September 26<sup>th</sup> 2003. The Learning Solutions 8.00 SP1 project took approximately 6 months to complete. We only had Student Records live in SAPR production at that time while other modules were still in development.*

*This project also involved coordinating and managing 306 SR / 7 Admissions Uconn customizations being re-applied utilizing Excel document: UCONN Customization Rev8.xls. The upgrade took 15 hours of extensive tasks of the application and infrastructure.*

*As part of the migration we also changed from a database server operating system of MVS and a database software of DB2 to an operating system of AIX for the database server and Oracle as the database server.*

Q. Would you prefer that each module team have its own functional consultant onsite through the duration of the upgrade?

A. *This is a decision that would be made as part of the initial Fit-Gap and planning phase of this effort. It would be dependent on required skill set, scheduling, resource availability (both UConn and provider).*

Q. Are there specific module/business areas where you expect to need more assistance than others?

A. *This determination would also be made as part of the initial Fit-Gap and planning phase of this effort. It would be dependent on the level of customizations to be reapplied vs. eliminated, the level of business process change and other factors to be determined.*

**BID OPENING DATE REMAINS JUNE 6, 2007, 2:00 PM Eastern time**

All other terms, conditions and specifications remain as per original bid.

Questions regarding this Addendum should be directed to Penny Guerin at (860) 486-2621.

**Please acknowledge receipt of this addendum prior to the due date and time via fax or by e-mail to [penny.guerin@uconn.edu](mailto:penny.guerin@uconn.edu)**

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Name

Company

Date



# University of Connecticut

## *Administration and Operations Services*

Purchasing Department

Date: May 18, 2007

To: Prospective Bidders

RE: Addendum #1 Bid #PG041707 **Oracle-Peoplesoft Campus Solutions Upgrade Services**

The following are changes to this bid and should be considered an integral part of the bid.

### **INSERT THE FOLLOWING:**

#### **5.4 Responses**

##### **E. Experienced Personnel**

##### **1. Professional Services Staff Quality**

Vendors are expected to render all services in a professional and workmanlike manner. Vendors must supply experienced staff for this project. The service provider must recognize that UConn is relying on the expertise of their staff to assist in realizing the project objectives and, therefore, must warrant that each resource assigned to this project is an expert in the tasks and functions to be performed. Service providers will promptly replace any personnel that are rendering services to UConn upon notification from UConn that such staff are considered to be unacceptable.

##### **2. Review of professional service personnel**

Services providers will supply UConn with the qualifications and experience of all personnel that will be working at or for UConn on this effort. UConn will review and approve the involvement prior to the commencement of work. For key client-facing staff, such as functional leads, project or technical leads, UConn may require a phone or in-person interview of such staff prior to their involvement. Such interview will be performed at vendor's expense.

### **DELETE THE FOLLOWING:**

- In Attachment D:  
**Environments**

There is one non-production environment, two if there is a bundle available e.g. psoft1, psoft2. The migration path for implementation – Development -> Test -> Production.

#### ***Test Database***

- **Size** - 4 test copies of production database (85 GB each) and 1 Demo database
  - SADV (test copy of production)
  - SATR (test copy of production)
  - SACN (test copy of production)
  - SADV (test copy of production)
  - SADP(Demo)

### **INSERT THE FOLLOWING:**

- In Attachment D:

## **Environments**

There is one non-production environment, two if there is a bundle available e.g. psoft1, psoft2. The migration path for implementation – Development -> Test -> Production.

### ***Test Database***

- **Size** - 3 test copies of production database (85 GB each) and 1 Demo database
  - SADV (test copy of production)
  - SATR (test copy of production)
  - SACN (test copy of production)
  - SADP(Demo)

**BID OPENING DATE HAS BEEN CHANGED TO JUNE 6, 2007, 2:00 PM Eastern time**

All other terms, conditions and specifications remain as per original bid.

Questions regarding this Addendum should be directed to Penny Guerin at (860) 486-2621.

**Please acknowledge receipt of this addendum prior to the due date and time via fax or by e-mail to [penny.guerin@uconn.edu](mailto:penny.guerin@uconn.edu)**

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Name

Company

Date



**The University of Connecticut**

**REQUEST FOR PROPOSAL**

**RFP Number: PG041707**

**Oracle-Peoplesoft Campus Solutions Upgrade Services**

**Proposal Release Date**

**April 30, 2007**

**Proposal Due Date:**

**May 31, 2007**

**Issued By: Penny Guerin**  
**Assistant Director, Purchasing**  
**3 North Hillside Road Unit 6076**  
**Storrs, CT 06269-6076**  
**Phone: (860) 486-2621**  
**Fax: (860) 486-5051**  
**e-mail: penny.guerin@uconn.edu**

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## **PART I OVERVIEW**

### **UNIVERSITY OF CONNECTICUT**

#### **Oracle-Peoplesoft Campus Solutions Upgrade Services**

The University Of Connecticut is soliciting proposals from experienced and qualified Vendors to partner with the School by providing upgrade services that meet the characteristics and technical specifications outlined herein. The successful firm will demonstrate expertise in providing upgrade services for a major public research university with an academic health center and within private industry, thereby bringing knowledge of best practices to the engagement.

UConn seeks a provider of upgrade services for its planned upgrade of its Oracle-Peoplesoft Campus Solutions system from version 8 to version 9. This RFP is published in conjunction with a consulting services RFP in an effort to select the most effective approach for the University's upgrade. We expect to evaluate these approaches based on a variety of considerations and our overall needs for these services. We expect to make full or partial awards from one or both of these requests.

This system is used only for student administration purposes. UConn maintains an entirely separate instance of the Oracle-Peoplesoft HR system. The Human Resources application is not an integral operating part of this system and no Human Resources data is maintained. We expect to have the Human Resources application, version 8.9, to be operational during or before January, 2008. Currently there are no plans to consolidate these environments into a single environment, nor do we have plans to upgrade the Human Resources system at this time. An upgrade from Oracle DBMS version 9i to 10g is planned for Spring, 2007.

Our existing bundles and upgrades process regularly applies Oracle-provided maintenance to both of these environments based on the business needs of each respective functional area. We are usually near current on this maintenance.

### **SCOPE OF THE PROJECT**

The purpose of this RFP is to solicit proposals from firms interested in providing upgrade services as outlined in Specifications, Part V.

### **DEFINITIONS**

University of Connecticut, University, School and UConn refer to the University of Connecticut.

Acceptance is defined as the date on which the upgrade is completed, has been shown to work per the specifications herein, and vendor has guaranteed that the software components are at the latest versions for all components.

"Bidder", "Proposer", "Supplier", "Contractor", "Respondent" and "Vendor" refer to a Company responding to this Request for Proposal.

Response time is defined as the period of time between the problem(s) being reported to the Vendor, and when the Technician arrives on-site.

Repair time is defined as the period of time between the problem(s) being reported to the Vendor, and when the software is operating properly.

## **PART II DEMOGRAPHICS**

UConn is a public research university and academic health center with 8 campuses enrolling approximately 28,000 students in Fall 2006. The original campus (dating to 1881) is located in Storrs, with regional campuses in Avery Point, Greater Hartford, Stamford, Torrington, and Waterbury; Schools of Law and Social Work in West Hartford; and the Academic Health Center, including a 200-bed in-patient facility, in Farmington.

For detailed information about the University of Connecticut, please refer to the Web site at:  
<http://www.uconn.edu/about/>



### **PART III INTRODUCTION**

- 3.0 **Scope:** The University of Connecticut, is seeking proposals from qualified vendors to provide **Oracle-Peoplesoft Campus Solutions Upgrade Services** to be used by the University of Connecticut (UConn) as outlined in Part I.
- 3.1 **Support Plan:** We are requesting that each Vendor provide a Plan to support its proposal. The Plan should describe the **Oracle-Peoplesoft Campus Solutions Upgrade Services**, on-site and off-site technical and administrative support, per the specifications outlined in Part V.
- 3.2 **Term of Contract:** The University of Connecticut plans to award a contract from this RFP for an anticipated term from date of award through December 2008. If price breaks are available for multiple-year contracts, bidders should include such information in their proposal.

By mutual agreement of both parties, any contract resulting from this RFP may be extended for four (4) additional one (1) year terms. Said option will be exercised only upon satisfactory performance and by mutual consent of both parties.

Pricing changes are subject to approval of documentation requesting the changes. Documentation to be submitted will be determined by the University. Price to remain firm for the term of the contract.

Such intent to extend shall be conveyed to the vendor in writing thirty (30) days prior to the effective date .

- 3.3 **Contract Commencement:** The contract commencement date shall be negotiated for the earliest date after contract award. Vendor should specify the best possible start date in days after receipt of award of a purchase order.
- 3.4 **Terms and Conditions:** The terms and conditions should be reviewed very carefully to ensure full responsiveness to the RFP.

The anticipated agreement will be, in form and substance, consistent with applicable University policy and regulations and State of Connecticut statutes and regulations regarding the creation and execution of such Agreement. The failure of any respondent to receive or examine any contract, document, form, addendum or to visit the sites and acquaint itself with conditions there-existing, will not relieve it of any obligation with respect to its proposal or any executed contract. The submission of a proposal shall be conclusive evidence and understanding of the University's intent to incorporate such terms and conditions into the Agreement.

**The University of Connecticut reserves the right to reject any bid that does not comply with the State's contractual requirements. Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of this RFP.**

- 3.5 **Specifications:** The specifications in Part VII Pricing must be responded to on a point by point basis so the University can evaluate how the proposer plans to meet these requirements. Vendors must use the RFP numbering scheme in their response to allow for efficient evaluation. See 3.8.3 for additional details.
- 3.6 **Estimated Timetable:** The following schedule will apply to this RFP.

Release of RFP	April 30, 2007
Optional Pre-proposal Conference	May 14, 2007 10:00 a.m.
Closing Date for Inquiries	May 24, 2007
Submission of RFP Due	May 31, 2007, 2:00 p.m.
Vendor Presentations (if necessary)	June 1, 2007 – June 22, 2007
Anticipated Award Date	On or before July 1, 2007

3.7 **Inquiries:** Direct all inquiries relative to the conditions and specifications listed herein to:

Penny Guerin  
University of Connecticut  
Purchasing Department  
3 North Hillside Road Unit 6076  
Storrs, CT 06269-6076  
Phone: (860) 486-2621  
Fax: (860) 486-5051  
E-mail: penny.guerin@uconn.edu

3.8 **Submission Format:** The following process so described is intended to ensure that all Vendors have equal access to information relative to this RFP. No information communicated verbally shall be effective unless confirmed by written communication from the Purchasing Department of the University of Connecticut.

In all cases, no verbal communication will override written communications and only written communications are binding.

3.8.1 An original and ten copies of the proposal, along with a CD containing the proposal, must be submitted in a sealed envelope or box and sent to:

University of Connecticut  
Purchasing Department  
Attention: Penny Guerin  
3 North Hillside Road Unit 6076  
Storrs, CT 06269-6076

Reference RFP No. PG041707

**"Oracle-Peoplesoft Campus Solutions Upgrade Services "**

On or before 2:00 p.m. on May 31, 2007

**\*\*\*IMPORTANT NOTE\*\*\***

**Any RFP proposal received after the date and time stated in Section 3.8.1 will not be considered and will be returned to the Vendor unopened.**

3.8.2 Proposals should be presented in a format that can easily be incorporated into a contract between the proposer and the University of Connecticut, encompassing the guidelines detailed in the Request for Proposal as required by the University. Faxed proposals will not be accepted.

3.8.3 Each proposal must include a table of contents with page numbers for each of the required components of the proposal.

All proposals must include a point-by-point response to this RFP. Each response must be cross-referenced to the corresponding numbered item in this RFP and described in as much detail as possible. No fewer than an original and five (5) copies of the proposal shall be submitted. Additionally, to facilitate photocopying, if needed, proposals must be three- (3) hole punched and submitted in three-ring, loose-leaf binders.

Failure to respond to all points may be grounds for rejection. Likewise, failure to supply any information required to accompany the proposals may cause a rejection of the proposal as non-compliant. The University reserves the right to request additional information and/or presentations, if clarification is needed.

If you require additional space to completely answer any of the questions contained in this proposal document, include attachments and identify your response by page number, section heading, and

specific section number. All proposals must be submitted in a sealed envelope and labeled as noted in 3.8.1. No responsibility will be attached to any person for the premature opening of any proposal that is not properly identified.

E-mail or electronic attachments are not acceptable means of submitting a proposal and will be rejected as non-conforming. If you intend to use an express delivery service, it is recommended that you stress the need to deliver your package to the building and office designated above. Packages delivered by express mail to other locations might not be re-delivered to the appropriate address in time to be considered.

Proposals that do not substantially conform to the contents of the bid request, consequently altering the basis for proposal comparison, may be disregarded and considered as unresponsive.

3.8.4 Pricing will be indicated on the Pricing Forms provided in Part VII.

3.8.5 All required signatures must be affixed in Part VII, X, XI, and XIV.

3.8.6 At the specified time stated in 3.8.1, all proposals received as stipulated, shall be publicly opened and dated. However, due to the complexity of the bid, only the names of the respondents will be read, as no immediate decision will be made. All information will be confidential until after review and action by the Evaluation Committee. All interested parties are; however, welcome to attend the bid opening.

3.9 **Pre-Proposal Conference:** There will be a optional pre-proposal conference on Monday, May 14 at 10:00 a.m. in the Purchasing Department.

3.10 Proposals must demonstrate an understanding of the scope of work and the ability to accomplish the tasks set forth and must include information that will enable the University to determine the proposer's overall qualifications.

3.11 **Completed RFP's:** Each Vendor must respond to, and be capable of, supplying all services and equipment outlined in the RFP specification.

3.12 **Addenda to the RFP:** If it becomes necessary to revise any part of this RFP, notice of the revision will be given in the form of an addendum to all prospective proposers who are on record with the Purchasing Department as having received this RFP. All addenda shall become a part of this RFP. Receipt of addenda must be acknowledged by each proposer, and the failure of a proposer to acknowledge any addendum shall not relieve the proposer of the responsibility for complying with the terms thereof. All addenda must be signed by an authorized Respondent representative and returned with the proposal on or before the proposal opening date. Failure to sign and return any and all addendum acknowledgements shall be grounds for rejection of the proposal response. (See Section X, Form of Proposal.)

## **PART IV TERMS AND CONDITIONS**

The following terms and conditions will govern in the submission and evaluation of proposals and the award of a contract. Vendors are requested to carefully review the terms and conditions, as they will become part of any subsequent agreement and award.

- 4.0 **Contract Status:** The response to this RFP will be considered an offer to contract. Final negotiations on the highest evaluated offer will be conducted to resolve any differences and informalities. After final negotiations, the University in accordance with paragraph 4.1 below will issue an acceptance of the proposal offer.
- 4.1 **Contract Format:** The resulting contract will incorporate this RFP, the response thereto, all additional agreements and stipulations, and the results of any final negotiations. All of these documents signed by both parties will constitute the final contract.
- 4.2 **Contract Termination for Cause:** The University may terminate any resulting contract for cause by providing a Notice to Cure to the Vendor citing the instances of noncompliance with the contract.
  - 4.2.1 The Vendor shall have ten (10) days to reply to the Notice to Cure and indicate why the contract should not be terminated and recommend remedies to be taken.
  - 4.2.2 If the Vendor and the University reach an agreed upon solution, the Vendor shall then have thirty (30) days after such agreement is reached to cure the noncompliance cited in the Notice to Cure.
  - 4.2.3 If a mutually agreed upon solution cannot be reached within ten (10) days after receipt of Notice to Cure by Supplier, the University reserves the right to terminate the agreement.
  - 4.2.4 If the mutually agreed upon solution is not implemented within thirty (30) days from the date of agreement, the University reserves the right to terminate the contract.
- 4.3 **Contract Modification:** All changes to the contract must be agreed to, in writing, by both parties prior to executing any change.
- 4.4 **Contract Assignment or Subcontract:** The resulting contract shall not be assigned, transferred, or sublet in whole or in part without the prior written approval of the University.
- 4.5 **Notification of Selected Vendor:**

It is the University's intention to review proposals, complete contract negotiations and execute an agreement on or before July 1, 2007. All Vendors will receive written notification of this action after the University of Connecticut Evaluation Committee has approved the selection.
- 4.6 **Term of Contract:** The contract will be an anticipated initial term from date of award through December 2008. The contract will commence on or about August 1, 2007 with service commencing on or about August 1, 2007.
- 4.7 **RFP Status and Submission Information:**
  - 4.7.1 **RFP Acceptance/Rejection:** The University reserves the right to cancel this Bid, to reject any or all proposals received, or any part thereof without penalty, to waive informalities or irregularities and to award a contract not based solely on the lowest cost, but based on an offer which, in the sole opinion of the University, best fulfills or exceeds the requirements of this RFP and is deemed in the best interest of the School. Non-acceptance of a proposal shall mean that another proposal was deemed more advantageous to the School or that all proposals were rejected. Firms whose proposals are not accepted shall be notified after a binding contractual agreement between the University and the selected bidder exists or after the University has rejected all proposals.

- 4.7.2 **RFP Submittals:** Any exceptions and/or alternates must be stated in the response to the RFP. Failure to provide required data to allow for evaluation of the RFP or failure to complete the accompanying documents may be grounds for rejecting the RFP.

Further, the University expressly reserves the right to negotiate prior to an award, any contract that may result from this RFP. Further, this bid creates no obligation on the part of the University to award a contract. The company's bid will represent its best and final offer.

- 4.7.3 **Effective Period of Proposals** The proposals submitted must remain in effect for a minimum period of ninety (90) days after the closing date to allow time for evaluation, approval and award of the contract.

- 4.7.4 **Minor Defects:** If, during the evaluation process, the University determines that a particular mandatory requirement may be modified or waived and still allow the School to obtain goods/services that substantially meet the intent of this RFP, the mandatory requirement will be modified or waived for all bidders, and all proposals will be re-evaluated in light of the change.

- 4.7.5 **Withdrawal of Proposals:** A proposal shall not be modified, withdrawn or canceled by the bidder for a period of ninety (90) days following the date and time assigned for the receipt of proposals.

Prior to the time and date assigned for receipt, proposals submitted early shall be modified or withdrawn only by written notice to the University. The Coordinator, as identified in paragraph 3.7, shall receive such written notice.

Modified proposals may be submitted up to the time designated for receipt of the proposals as noted in paragraph 3.8.1 provided they are then fully in conformance with these terms and conditions.

- 4.7.6 **Sales Tax Exemption:** The University of Connecticut is exempt from Federal Excise taxes and no payment will be made for any taxes levied on the contractor's employees' wages. The University is exempt from State and Local Sales and Use Taxes on the services and/or equipment supplies pursuant to this Agreement.

#### 4.8 **Indemnification Requirements:**

- 4.8.1 **Hold Harmless:** The bidder agrees to jointly and severally indemnify and hold the University, its successors and assigns harmless from and against all liability, loss, damage or expense including reasonable attorney's fees which the State of Connecticut may incur or sustain by reason of the failure of the bidder to fully perform and comply with the terms and conditions of any contract resulting from this RFP. Further, the University assumes no liability for any damage to the property, or for personal injuries, illness, disabilities or deaths the contractor, contractor's employees and any other person subject to the contractor's control, or any other person including members of the general public, caused in whole or in part, by a) contractor's breach of any term or provision of the awarded contract; or b) any negligent or willful act or omission of the contractor, its employees or subcontractors in the performance of the awarded contract. The contractor agrees to indemnify, save harmless and defend the University from and against any and all liabilities, claims, penalties, forfeitures, suits and the costs and expenses incident thereto (including the cost of defense, settlement and reasonable attorney's fees) which may hereafter incur, become responsible for, or pay out as a result of acts or omissions covered herein.

State of Connecticut agencies (University of Connecticut) may not enter into indemnification or "hold harmless" agreements. In the event of a loss by the vendor or any third party, recourse may be found through the State of Connecticut Claims Commission, as provided under Chapter 53 of the General Statutes of the State of Connecticut, in which all claims against the State of Connecticut and the University of Connecticut will be filed with the Connecticut Claims Commissioner.

- 4.8.2 **Liens:** The successful Vendor shall keep the University free and clear from all liens asserted by any person or firm for any reason arising out of the furnishing of equipment and services by or to the

Vendor.

4.8.3 **Choice of Law and Venue:** The terms and provisions of this RFP and any ensuing contract shall be governed by and construed in accordance with the laws of the State of Connecticut.

4.8.4 **Actions of Vendor:** The actions of the successful Vendor with third parties are not binding upon the University. The Vendor is not a division of the University, partner or joint venture of/with the University.

#### 4.9 **Pre-Award Presentations and Negotiations:**

4.9.1 **Pre-Award Presentations:** As a part of the evaluation process, the University will require presentations from the highest ranked proposers. If a bidder is requested to make a presentation, the bidder will make the necessary arrangements and bear all costs associated with the presentation. (See Section 4.15.3 for clarification.)

4.9.2 **Award Negotiations:** Selection may be made without further discussion or negotiation; therefore, proposals should be submitted on the most favorable terms, which can be submitted in response to this Request for Proposal. Proposals must demonstrate an understanding of the scope of work and the ability to accomplish the tasks set forth and must include information that will enable the University to determine the Vendor's over all qualifications. The University reserves the right to request additional information or clarification on any matter included in the proposal. Prior to the award, the University may elect to conduct negotiations with the highest ranked proposers for purposes, which include:

- 4.9.2.1 Resolving minor differences and informalities
- 4.9.2.2 Clarifying necessary details and responsibilities
- 4.9.2.3 Emphasizing important issues and points
- 4.9.2.4 Receiving assurances from proposers
- 4.9.2.5 Exploring ways to improve the final contract

#### 4.10 **Standard Terms and Conditions:**

4.10.1 **Business Relationship Affidavit:** The proposer must certify that no elected or appointed official or employee of the University has benefited or will benefit financially or materially from the proposed Agreement. The University may terminate any Agreement if it is determined that gratuities of any kind were either offered to or received by any University officer or employee contrary to this policy. The authorized signatory of a submitted proposal automatically attests this to be true.

The laws of the State of Connecticut provide it is a felony to offer, promise or give anything of value or benefit to a State employee with intent to influence that employee's acts, opinion, judgment or exercise of discretion with respect to that employee's duty. Evidence of violation of this statute will be turned over to the proper prosecuting attorney.

4.10.2 **Conflict of Interest:** The Applicant shall disclose and identify to the University, with its proposal, any relationships, which may constitute a potential conflict of interest with University Purchasing Department, or any other University organizations or departments for the purpose of determining whether a conflict of interest exists. All such disclosures require acceptance/approval action on the part of the University, which shall determine whether an impermissible conflict exists.

4.10.3 **Equal Employment Opportunity Requirements:** In entering into any contract resulting from this RFP, the proposer agrees to comply with Equal Employment Opportunity and Affirmative Action requirements as stipulated Executive Order No. Three of Governor Thomas J. Meskill

promulgated on June 16, 1971 and Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973.

The proposer shall not discriminate against any employee or applicant for employment because of race, creed, color, religion, national origin, sex, age, sexual orientation, physical or mental disability, or any other group covered by law. The proposer shall take affirmative action to ensure applicants are employed and the employees are treated during employment without regard to their race, creed, color, , national origin, sex, age, sexual orientation, physical or mental disability or any other group covered by law, except where it relates to a bona fide occupational qualification.

- 4.10.4 **Federal, State and Local Taxes, Licenses and Permits:** The successful Vendor will comply with all laws and regulations on taxes, licenses and permits.
- 4.10.5 **Waiver of Rights:** No delay or failure to enforce any provision of this agreement shall constitute a waiver or limitations of University's rights under any resulting contract.
- 4.10.6 **Prior Course of Dealings:** The parties hereby agree that no trade usage, prior course of dealing or course of performance under other contracts shall be a part of this agreement or shall be used in the interpretation or construction of this agreement.
- 4.10.7 **Contract Provisions by Reference:** It is mutually agreed by and between the University and the proposer that the University's acceptance of the proposer's offer by the issuance of a Letter of Acceptance shall create a contract between the parties thereto containing all specifications, terms and conditions in the Request for Proposal except as amended in the Letter of Acceptance. Any exceptions taken by the proposer, which are not included in the RFP Letter of Acceptance will not be part of the contract. Therefore, in the event of a conflict between the terms and conditions of the RFP and information submitted by a proposer, the terms and conditions of this Request for Proposal and Letter of Acceptance will govern.
- 4.10.8 **Warranty:** The proposer warrants that the goods or services supplied hereunder will be of good workmanship and of proper materials, free from defects and in accordance with specifications. If the proposer knows of the purchaser's intended use, the proposer warrants that the goods or services are suitable for the intended use.

#### 4.11 Responsibilities of the Vendor:

- 4.11.1 **Observing Laws and Regulations:** The Vendor shall keep fully informed of and shall faithfully observe all laws, national and state, and all ordinances and regulations affecting responsibility to the University, or affecting the rights of supplier's employees, and he shall protect and indemnify the University, its officers, and agents against any claims of liability arising from or based on any violation thereof.
- 4.11.2 **Representations:** Each firm, by submitting a proposal, represents that it:
  - 4.11.2.1 Has read and completely understands the proposal documents.
  - 4.11.2.2 Is totally familiar with the conditions under which the work is to be performed including availability and cost of labor and materials.

#### 4.12 Repairs to Property Damage:

- 4.12 Existing facilities damaged during installation and/or service by the Vendor, the Vendor agents or employees, shall be repaired and left in as good condition as found. All repairs shall be accomplished at no cost to the University.

#### 4.13 Delivery Requirements:

Delivery and installation information for any contract resulting from this RFP will be to Information Technology Services Depot Campus, Chaplin Cottage Storrs, CT 06269.

#### **For any activity on the Storrs campus, the following will apply:**

The following rules and regulations provide guidance and information when bringing a vehicle onto the University of CT Storrs Campus. These policies follow Connecticut State Statute 10A-139 and are

intended to provide control and availability of campus parking. All students, employees, vendors, visitors, contractors, etc., who park a motor vehicle on campus are subject to these rules and regulations.

It is the responsibility of all individuals operating a motor vehicle on campus to be aware of and abide by the parking policies contained in this literature. Operating a vehicle on campus is deemed evidence of the vehicle operator's acceptance and understanding of these policies.

Parking on the Storrs campus is strictly regulated and is allowed only in paved, lined areas. Parking on lawns, grounds, or sidewalks is strictly prohibited. Parking during the hours of 7AM and 5PM, Monday through Friday is by permit only. Some areas are restricted beginning at 5AM or for 24 hours (as posted). Violators will be ticketed and are subject to towing.

Parking in the North and South Garage is available for vehicles for a daily fee. There is no overnight parking available in the garages.

The Storrs campus is primarily a pedestrian campus. All motor vehicles must stop for pedestrians in crosswalks according to Connecticut State law. The maximum speed limit on campus is 25MPH. The maximum speed in all parking lots is 10MPH. These limits are in effect 24 hours per day.

Parking on campus is in high demand. Anyone who can avoid bringing a vehicle to campus should do so. The use of carpools and public transportation is encouraged. A shuttle service is operated to serve the University of Connecticut at Storrs and surrounding areas. This shuttle is free to UConn students, employees, and visitors. For information on shuttle services and schedules, call Transportation at (860) 486-1448.

### **Visitor Parking**

It is the responsibility of the host/hostess to inform guests of the University's parking regulations. Visitors to campus are directed to park in either the metered areas (not to exceed 45 minutes) or a parking garage. For information about parking garage rates and hours, [click here for North Garage](#) or call (860) 486-6267; [click here for South Garage](#) or call (860) 486-9088.

### **Load Zones**

Load zones are restricted to loading and unloading of materials and are limited to 15 minutes 24 hours per day, unless otherwise posted. Four-way flashers must be left on to indicate loading. Notes left on vehicles will not be accepted. Vehicles cannot be parked in load zones overnight or on weekends. <http://www.park.uconn.edu/Parking2.html>

## **4.14 Insurance Requirements:**

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

- 1) **Worker's Compensation Insurance:** Must meet statutory requirements of the laws of the State of Connecticut and any additional requirements of the University of Connecticut. A statutory exemption from Worker's Compensation shall not be deemed a satisfactory alternate to meeting this requirement. In no event shall an award be made to any firm failing to provide such evidence in a form satisfactory to the University.
- 2) **Public Liability Insurance** \$1,000,000.00.



3) Property Damage Insurance \$1,000,000.00.

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

**4.15 RFP Evaluation:**

- 4.15.1 **RFP Evaluation Criteria:** The award of a contract will be based upon a comprehensive review, analysis and negotiation of the proposal, which best meets the needs of the University of Connecticut. The contract award will be based on a points-earned matrix derived from a pricing and technical evaluation as outlined below

The award shall be made to the most responsive bidder offering the best value and with the highest total matrix scores as determined by the University. All Vendors submitting proposals concur with this method of award and will not, under any circumstances or in any manner, dispute any award made using this method.

All proposals will be evaluated by a committee, which will use the specific evaluation criteria listed below. The importance given to each element is represented proportionately by the respective weight assignments. Proposals will be evaluated as to the vendor's response to the following criteria:

- |  |                               |
|--|-------------------------------|
| 1. Vendor depth, capability and application familiarity                      | Maximum Points Available: 100 |
| 2. Upgrade approach including knowledge transfer and reducing customizations | Maximum Points Available: 90  |
| 3. Vendor track record on similar projects                                   | Maximum Points Available: 80  |
| 4. Comprehensiveness of relevant services available and offered              | Maximum Points Available: 70  |
| 5. Upgrade timeframe, project and staff scheduling flexibility               | Maximum Points Available: 60  |
| 6. Total Upgrade Cost (estimated)  | Maximum Points Available: 50  |
| 7. Comprehensiveness of proposal   | Maximum Points Available: 40  |
| 8. Compliance with all terms and conditions of RFP                           | Maximum Points Available: 30  |

- 4.15.2 **Supplemental Information:** As part of the weighted average review, the University may request the Vendor to supply, in writing, clarifications, additional documentation or information needed to fairly evaluate each proposal.
- 4.15.3 **Presentations:** The University reserves the right, but is not obligated, to request that each proponent provide a formal presentation of its proposal at a date and time to be determined. If required by the University, it is anticipated that such presentation will not exceed two (2) hours. No proposer will be entitled to be present during, or otherwise receive any information regarding, any other presentation of any other proposer.
- 4.15.4 **Review of References:** Each proposer is required to provide a customer list with a minimum of five (5), **but not more than ten (10)** complex organizations similar to higher education institutions with which it has an agreement to provide **Oracle-Peoplesoft Campus Solutions Upgrade Services**. Two educational institutions of the size and scope of the University of Connecticut should be included. Please include name, title, telephone number and **e-mail address** of a contact person at each institution. **Providing the e-mail is a mandatory requirement, as references will be checked electronically via e-mail.** The University reserves the right, but is not obligated, to contact and review any program of any institution by any proposer as a reference.
- 4.15.5 The University will include in its evaluation: proposals, presentations, if requested, references and interviews. In addition, the award will be predicated upon the successful negotiation of the specific terms and conditions to be included in any Agreement(s). The University will be the sole judge of the suitability of the proposed Agreement. (s)
- 4.15.6 **Proposal Qualification Data:** If necessary to evaluate proposer qualification, proponent may be requested to furnish information on the following items:
- 4.15.6.1 Financial resources.
  - 4.15.6.2 Personnel resources.
  - 4.15.6.3 Executives and key person resumes.
  - 4.15.6.4 Ability to meet delivery and support schedules.
  - 4.15.6.5 Ability to meet specifications and quality requirements.
- 4.15.7 **Requests for Clarification by Proposers:** Any proponent may request that the University clarify any information contained in this Request for Proposal. All such requests must be made in writing to:

Penny Guerin, Assistant Director, Purchasing  
3 North Hillside Road Unit 6076  
Storrs, CT 06269-6076  
(860) 486-2621 FAX (860) 486-5051

The University will provide a written response to all written requests for clarification within five (5) business days after its receipt of such request. The University will not respond to any request for clarification received by the University after the close of business on the date specified as Closing Date for Inquiries in Part IV. The University's response to any request for clarification, together with a copy of the request for clarification, will be provided contemporaneously by the University to each party receiving this RFP.

Under no circumstances, may any proposer or its representative contact any employee or representative of the University regarding the RFP prior to the closing date, other than as provided in this section. Strict adherence to this important procedural safeguard is required and appreciated.

Any violation of this condition may result in proposer being considered non-compliant and ineligible for award.

- 4.15.8 **Requests for Clarification by the University:** The University may request that any proponent clarify or supplement any information contained in any Proposal. Proposers are required to provide a written response within ten (10) business days of receipt of any request for clarification by the University.

**4.16 Communications between the University and the Proponent:**

- 4.16.1 **Informal Communications:** From the date of receipt of this RFP by each proposer until a binding contractual agreement exists with the selected proposer and all other proposers have been notified or when the University rejects all proposals, informal communications regarding this procurement shall cease. Informal communications shall include but not be limited to:
- 4.16.2 Requests from the proponents to any department(s) at the University, for information, comments, speculation, etc.
- 4.16.3 Requests from any department at the University, or any employee of the University for information, comments, speculation, etc.

**4.16.4 Formal Communications:**

From the date of receipt of this Request for Proposal by each proposer until a binding contractual agreement exists with the selected proposers and all other proposers have been notified or when the University rejects all proposals, all communications between the University and the proposers will be formal, or as provided for in this Request for Proposal. Formal communications may include but not be limited to:

- A. Oral Presentations
- B. Pre-Award Negotiations

**ANY FAILURE TO ADHERE TO THE PROVISIONS SET FORTH IN 4.16.1 AND 4.16.2 ABOVE, MAY RESULT IN THE REJECTION OF ANY SUPPLIER'S PROPOSAL OR CANCELLATION OF THIS REQUEST FOR PROPOSAL.**

**4.17 License:**

Any Agreement resulting from this RFP will not grant the Vendor a license or other right to duplicate or use any image or intellectual property of the University in any manner other than as may be expressly approved in writing in connection with the performance of the contract.

**4.18 Advertising/Sponsorship Opportunities:**

In submitting a proposal, the Vendor agrees, unless specifically authorized in writing by the University on a case by case basis, that it shall have no right to use, and shall not use, the name of the University of Connecticut, its officials or employees, or the Seal of the University, a) in any advertising, publicity, promotion; nor b) to express or imply any endorsement of agency's services; nor c) to use the name of the state, its officials or employees or the University seal in any manner ( whether or not similar to uses prohibited by subparagraphs (a) and (b) above) except only to manufacture and deliver in accordance with this agreement such services as are hereby contracted by the University.

**4.19 Licensed Merchandise:**

Pre-authorization must be received from the University for the use of University's names, marks, and logos.

#### 4.20 Patent and Copyright

- 4.20.1 The Vendor shall pay all royalties, license fees, and patent to invention rights, or copyrights or trade and service marks and defend all suits or claims for the infringement of any patent or invention right or copyrights or trade and service marks involved in the items furnished in any contract resulting from this RFP.
- 4.20.2 The Vendor will hold and save the University and its officers, agents, servants, and employees harmless from liability of any nature or kind, including cost and expenses for, or on account of any patented or unpatented invention, process, article, or appliance furnished in the performance of any contract resulting from this RFP including its use by the owner, unless otherwise specifically stipulated.
- 4.20.3 Copyrights for any item specified shall be the property of the University and inure to its benefit and proposer shall execute such documents, as University may require, for the perfection thereof.

#### 4.21 Confidential Information:

The University treats Proposals as confidential until after the award is issued. At that time they become subject to disclosure under the Freedom of Information Act. If a respondent wishes to supply any information, which it believes is exempt from disclosure under the Act, that respondent should summarize such information in a separate envelope and each page submitted should clearly state "Confidential," but otherwise be presented in the same manner as the Proposal. However, any such information is provided entirely at the respondent's own risk and the University assumes no liability for any loss or damage which may result from the University's disclosure at any time of any information provided by the respondent in connection with its proposal.

#### 4.22 Ethical Considerations:

The proposing vendor must certify that no elected or appointed official or employee of the University has benefited, or will benefit financially or materially from the proposed services. The University may terminate any contract resulting from this RFP, if it is determined that gratuities of any kind were either offered to, or received by, any University officer or employee contrary to this policy. The authorized signatory of a submitted proposal automatically attests this to be true. **(See also Attachment of Governor Rell's Memo to Vendors Conducting Business with the State of Connecticut).**

The laws of the State of Connecticut provide it is a felony to offer, promise or give anything of value or benefit to a State employee with intent to influence that employee's acts, opinion, judgment or exercise of discretion with respect to that employee's duty. Evidence of violation of this statute will be turned over to the proper prosecuting attorney. See code of Ethics in Connecticut General Statutes Section 1-79 through Section 1-90. **Vendor agrees by signing any resultant contract to abide by all Connecticut and Federal ethics laws, current and future.**

#### 4.23 Affidavits

In the continued quest for open, fair and transparent government and contracting, Governor Rell has requested all State Agencies obtain information regarding gifts and the use of consulting contracts by those conducting business with the State. This information is required from any supplier providing goods or services to the State with a total value of more than fifty thousand dollars (\$50,000) in a calendar or fiscal year. This directive applies to any new or renewed agreement. **AFFIDAVITS MUST BE COMPLETED, NOTARIZED AND RETURNED WITH YOUR PROPOSAL IN ORDER FOR IT TO BE CONSIDERED.**

To comply with Governor Rell's directive and facilitate an expeditious response, please review the affidavits that must be submitted to the University of Connecticut Purchasing Department. The affidavits can be found in Part XIV of this RFP or online at:  
[http://www.opm.state.ct.us/policies.htm#Office\\_Secretary](http://www.opm.state.ct.us/policies.htm#Office_Secretary)

4.24 **Financial Statement:**

As a mandatory requirement of this RFP all participating Vendors must submit the most current, within the last 12 months, audited "Financial Statement", with their bid response package.

4.25 **Performance Bond:**

The successful bidder shall furnish a Surety Bond in an amount equal to one hundred percent (100%) of the contract price as security for faithful performance of the contract and for payment of all persons performing labor on the project under the contract, prior to the execution of the contract. Surety on such bond shall be provided by a duly authorized Surety company licensed to do business in the State of Connecticut and named on the current list of insurance companies acceptable for Federal Bonds as published in the "Treasury Department Circular 570," and shall meet the approval of the University. Premiums shall be paid by the bidder. All bonds shall be made out to the University of Connecticut.

4.26 **Joint Ventures:**

Bids submitted by firms under 'joint venture' arrangements or other multi-party agreements must include a power of attorney delegating authority to one principal with authority to negotiate and execute any/all contract documents resulting from the bid.

4.27 **Executive Orders of the Governor:**

- A. Any Agreement subsequent to this RFP is subject to the provisions of **Executive Order No. 3 of Governor Thomas J. Meskill promulgated June 16, 1971**, and as such, resulting Agreement may be cancelled, terminated or suspended by the state labor commissioner for violation of or noncompliance with said Executive Order No. Three or any state or federal law concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to said contract. The Parties to such Agreement, as part of the consideration hereof, agree that said Executive Order No. Three is incorporated herein by reference and made a part hereof. The Parties agree to abide by said Executive Order and agree that the state labor commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination, until the contract is completed or terminated prior to completion. The CONTRACTOR agrees, as part consideration hereof, that said Agreement will be subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. Three, and that it will not discriminate in its employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the state labor commissioner.
- B. Any Agreement subsequent to this RFP is subject to the provisions of **Executive Order No. 17 of Governor Thomas J. Meskill promulgated February 15, 1973**, and, as such, resulting Agreement may be cancelled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Seventeen, notwithstanding that the Labor Commissioner may not be a party to said Agreement. The Parties to said Agreement, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part hereof. The Parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to contract performance in regard to listing all employment opening with the Connecticut State Employment Service.
- C. Any Agreement subsequent to this RFP is subject to the provisions of **Executive Order No. 16 of Governor John G. Rowland promulgated August 4, 1999**, and, as such, resulting Agreement may be canceled, terminated or suspended by the state for violation of or noncompliance with said Executive Order No. Sixteen. The Parties of said Agreement, as part of the consideration hereof, agree that:

- (a) The CONTRACTOR shall prohibit employees from bringing into the state work site, except as may be required as a condition of employment, any weapon or dangerous instruments as defined in (b) below.
- (b) Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

- (c) The CONTRACTOR shall prohibit employees from attempting to use, or threaten to use, any such weapon or dangerous instrument in the state work site and employees shall be prohibited from causing, or threatening to cause, physical injury or death to any individual in the state work site.
- (d) The CONTRACTOR shall adopt the above prohibitions as work rules, violations of which shall subject the employee to disciplinary action up to and including discharge. The CONTRACTOR shall insure and require that all employees are aware of such work rules.
- (e) The CONTRACTOR agrees that any subcontract it enters into in furtherance of the work to be performed hereunder shall contain provisions (a) through (d) of this Section.

D. Any Agreement subsequent to this RFP is subject to **Executive Order No. 7C of Governor M. Jodi Rell, promulgated on July 13, 2006.** The Parties to said Agreement, as part of the consideration hereof, agree that:

- (a) The State Contracting Standards Board (“the Board”) may review any subsequent Agreement or Contract and recommend to the state contracting agency termination of the contract for cause. The state contracting agency shall consider the recommendations and act as required or permitted in accordance with the contract and applicable law. The Board shall provide the results of its review, together with its recommendations, to the state contracting agency and any other affected party in accordance with the notice provisions in the contract no later than fifteen (15) days after the Board finalizes its recommendation. For the purposes of this Section, “for cause” means:
  - (1) a violation of the State Ethics Code (Conn. Gen. Stat. Chapter 10) or Section 4A-100 of the Conn. Gen. Statutes, or
  - (2) wanton or reckless disregard of any state contracting and procurement process by any person substantially involved in such contract or state contracting agency.
- (b) For the purposes of this Section, “contract” shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a contract for the sale or purchase of a fee simple interest in real property following transfer of title.
- (c) Effective January 1, 2006, notwithstanding the contract value listed in Conn. Gen. Stat. §§ 4-250 and 4-251, all procurements between state agencies and private entities

with a value of \$50,000 (fifty thousand dollars) or more in a calendar or fiscal year shall comply with the gift affidavit requirements of said Sections. Certification by agency officials or employees required by Conn. Gen. Stat. §§ 4-252 shall not be affected by this Section.

- E. Any Agreement subsequent to this RFP is subject to the provisions of **Executive Order No. 14 of Governor M. Jodi Rell promulgated April 17, 2006**. Pursuant to this Executive Order, the contractor shall use cleaning and/or sanitizing products having properties that minimize potential impacts on human health and the environment, consistent with maintaining clean and sanitary facilities.

#### 4.28 **Ethics and Compliance Reporting**

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.

#### 4.29 **Vendor Signing Authority**

Proposal of the successful bidder must include current documentation of signing authority for their representative who will execute a contract. Acceptable sample forms are available at <http://www.purchasing.uconn.edu/forms/forms.htm>

#### 4.30 **State Elections Enforcement Commission (SEEC) Requirements**

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 SEEC Form 11 in Part XIV of this bid solicitation.

## PART V SPECIFICATIONS

### 5.0 Scope and Requirements

UConn's 9.0 upgrade project is primarily driven by the need to maintain Oracle support currency for meeting the following requirements:

- To comply with federal and state regulations for financial aid,
- To maintain technical support for bundles and upgrades maintenance to insure the viability and continuous operation of this mission-critical enterprise application.

In addition to these essential needs, UConn would like to benefit from selected functional and technical improvements with the new version. However, these aspects are not imperatives and will be done in the context of meeting our primary compliance objectives. We will utilize as a "makes sense" approach to implementing these improvements on a case-by-case basis. Therefore, this aspect of the upgrade will be directed to high payoff and convenient-to-implement improvements. Additional functionality of lesser importance will be included as is convenient to do so or deferred to after the version upgrade in an effort to diminish the cost impact and duration of the upgrade project. A complicating aspect on the determination of these improvements is the current lack of understanding of what all of the potential improvements are and the effort required to accomplish them. Therefore, some flexibility and capacity for a portion of these enhancements must be a consideration as part of our upgrade solution.

This upgrade must provide an operational production instance of Peoplesoft Campus Solutions 9.0 system including all working interfaces on the UConn infrastructure. All current functionality, or functional replacements, will need to be accommodated by the upgrade project.

An essential component to the migration activity is a satisfactory absorption by UConn staff of new functionality and a significant component of knowledge transfer during the effort to insure UConn can provide support and maintain continuity on its own, with some transitional assistance, during the immediate and post migration period.

An important aspect of this work is the replacement of UConn-developed customizations with new functionality. However, we will strive to eliminate any existing customizations where the same or similar functionality is provided in the new version. This reapplication of customizations to the new version is viewed as a potentially effective training and knowledge transfer activity for our staff. However, how these will be done is a determination that will be made based on cost, timelines and effectiveness.

Key new functionality has been identified for deployment as part of this upgrade. However, the specifics of these improvements will be based on a costs, time and tradeoffs basis. These deployments will be assessed and planned during the Fit-Gap and Planning stage of the upgrade effort.

We have not made decisions about whether the upgrade should be accomplished on the University's development infrastructure or a vendor's lab infrastructure. This will be a cost, timeline, impact and assurance decision. Therefore, development infrastructure costs and requirements should be identified separately if possible as well any vendor preference for this aspect that is consistent with our other project goals.

Separate from this effort, an implementation of the Oracle 9.0 EPM solution is planned. This effort will replace the university's Peoplesoft-provided "SADM" datamart solution originally provided by Peoplesoft. This implementation is not part of this RFP. However, the upgrade solution must consider the integration and co-development of this project and interoperate with it. At this time we expect to deploy the EPM solution simultaneously with the Student Administration 9.0 upgrade implementation.

As part of the upgrade process we would like to minimize "handoffs" between project participants, (vendor, intra-vendor and UConn) to maximize accountability for the delivery of the production system to the greatest extent possible. There needs to be a clear and continuous delineation of management and technical roles for this effort. These aspects need to be balanced with UConn's need for effective knowledge transfer, effective staff participation and the realities of ongoing production support requirements. We expect to consider some exception to this preference as it pertains to UConn-developed customizations based on opportunities for knowledge transfer, familiarity, timelines and cost.



Off-shoring solutions may be considered with the assumption that UConn would significantly benefit from such an approach. This aspect should be functionally seamless to UConn and must be applied in a way that it is completely consistent with Oracles agreements with UConn and does not put UConn at any additional material risk.

A draft project charter for our upgrade project is provided in Attachment A.

## 5.1 **Schedule**

The project schedule will be dependent on our upgrade approach and our implementation target of October, 2008.

UConn plans a “go-live” implementation of version 9.0 in early to mid-October, 2008. We expect to initiate staging work activities perhaps as early as the 2Q07 however funding is not expected to be available until 3Q07. We expect work in earnest will begin at that time or later depending on the expected speed of the migration. UConn may wish to begin earlier to reduce risk to the deadline.

UConn plans on a focused and intensive commitment to its upgrade within the context and requirements for shared resources for ongoing operations. We expect that the upgrade will include all, or virtually all of the existing functionality we have in the current system. We would like to minimize the timeframe as much as possible within the confines of normal work days and existing employment agreements for UConn staff.

A summary of key dates pertaining to this effort follow:

<u>Task/Phase/Milestone</u>	<u>Start</u>	<u>End</u>
• 9.0 Preparation	Oct-2006	Jul-2007
• Planning	Oct-2006	Mar-2007
• 9.0 availability from Oracle (est.)		Jan-2007
• 8.0->9.0 Upgrade Scripts available (est.)		Mar-2007
• Oracle 10g Upgrade	Mar-2007	Apr-2007
• 8.0/9.0 Freeze	Apr-2008	Dec-2008
• Deployment Phase	Aug-2008	Oct-2008
• SA 9.0 cutover		Oct-2008
• Post Implementation Support	Oct-2008	Nov-2008
• Oracle unsupported period	Aug-2008	Oct-2008
• EPM Replacement for SADM	Jul-2007	Nov-2008

We believe this project should be structured according the following major phases for this project:

1. Assessment, Planning and Fit Gap – Elements: High level fit gap, upgrade strategy, resource assessment, estimates, identification and allocation, enhancements scope, customization approach and assignments, project plan including schedule and resources, costs and resource refinements.
2. Technical and functional staff training
3. Lab or on-site Upgrade –Elements: Detailed fit-gap, design, build, testing
4. Application of Customizations
5. Critical new functionality deployment and business process changes
6. User training activities
7. Implementation and cutover
8. Post Implementation support – system stabilization and transition activities.
9. New functional enhancements (funding permitting) – Implementation of additional high impact functionality not essential to the upgrade.

Key points pertaining to the project schedule are:

- We anticipate an “unsupported period” when Oracle phases out support for 8.0 in August, 2008 and our implementation target of October, 2008.
- A “freeze” period is expected with a tentative timeline. Although we have identified a 9-month timeline for this, we would like to improve on this, if possible, to reduce the impact to our user community.
- We expect to deploy the EPM solution simultaneously with the 9.0 implementation. This is a separate effort but related both functionally and technically.
- We expect a period of post installation stabilization and support. The timeline for this aspect is unknown and is dependent of the overall success of the upgrade and training, system stability and user and staff absorption rates. We have projected a two-month estimate for this however this is a planning estimate only. This aspect must be considered as an integral part of the overall upgrade project and not an appendage or separate aspect of it.

## **5.2 UConn Project Staffing**

UConn upgrade project staffing has not been specifically identified. However, considerable portions of our Student Administration staff and team have been identified to support this effort.

The configuration of UITS Student Administration systems staffing is provided in Attachment B.

A preliminary estimate of the level of effort and resources that we expect to contribute to this project is provided in Attachment C.

We expect that technical team (i.e. Student Administration Systems and Infrastructure staff groups’) involvement levels will vary, depending on individual and timeframe but possibly averaging up to a half-time of overall total effort during the project timeline. This allocation will vary by project phase. To a large extent this commitment will depend of the efficiency of the vendor’s solution. The Functional Lead staff will be engaged at about 60% of their total available effort, on average, with this allocation also varying throughout the project.

UConn functional and technical staff is union organized with employee contracts in place. This information is available at <http://vm.uconn.edu/~ucpea/contract/contract.pdf>. The normal work week is 35 hours. Work schedules vary somewhat within the University’s normal business hours of 8am-5pm.

## **5.3 Current Application Technical Specification**

In order to provide specific pricing information to UConn, we have provided a composite list of key technical information about our application and technical environment. This information is provided in Attachments as follows:

- Attachment D – Application and Technical infrastructure specification
- Attachment E – Technical infrastructure schematic - Development
- Attachment F – Technical infrastructure schematic - Production
- Attachment G – Applications Security Profile

## **5.4 Responses**

- A. UConn will permit a brief survey of UConn’s Peoplesoft technical environment in order for the vendor to more effectively respond to the information we are requesting for our situation. The survey requirements must be predefined by the vendor and be minimally intrusive. UConn reserves the right to limit the scope and duration of the survey.
- B. A written proposal for accomplishing the upgrade must be provided prior to the presentation portion of this evaluation and must include the following items.
  1. Company profile and staff capability including business locations and staff makeup
  2. Project profiles of similar projects to UConn’s and performed by the vendor
  3. Vendor track record on migrations of the type proposed

4. References with specific contact names that may be contacted to validate claims and effectiveness.
5. Proposal

A written proposal by the provider is required to accomplish the upgrade effort, in total or in part. This proposal should cover all aspects required for successful completion of the upgrade in our production environment. A statement for each work related aspect below should be provided stating the nature and level of vendor responsibility and involvement, as well as the nature and level of client involvement and responsibility that is required to accomplish the outcome. We expect that several aspects of this proposal will be further developed during the post Fit-Gap and Project Planning phase of the upgrade; however preliminary planning estimates are required. Sample documents, templates or procedures will be of interest. Each aspect below must include a response. Where no response is known or will not be addressed by the vendor, a statement so stating should be included. These aspects include:

  - a. Upgrade methodology
  - b. Account management and liaison
  - c. Project management and status reporting
  - d. Technical training needs and requirements
  - e. Functional training needs and requirements
  - f. Staff knowledge transfer strategy
  - g. Customizations strategy
  - h. Bundles strategy and bundles support
  - i. Preliminary project plan
    - i. Phases
    - ii. Activities
    - iii. Timelines
    - iv. Resources
    - v. Assignments
  - j. Staffing requirement estimates
    - i. UConn functional and technical
    - ii. Solutions Provider
  - k. Estimated UConn requirements and resources (non-staffing) for project success
  - l. Technical standards
  - m. Connectivity requirements
  - n. Contract requirements
  - o. Communications with project team members
  - p. Service level specifications
  - q. Warranty or service guarantee
  - r. Contingencies flexibility
  - s. Problems resolution
  - t. Change order process
  - u. Post implementation support, bugs and issues
  - v. Flexibility in conforming with and adapting to UConn's technical and business environment
  - w. Migration Lab facility
  - x. Other information that UConn should consider in its consideration and evaluation
6. Security Requirements

UConn expects to provide access to its production database to the vendor's staff for purposes of accomplishing the upgrade. This database contains confidential student information. We will require a confidentiality agreement and security assurance for us to protect this information. UConn's policy on Third Party Access to this information can be obtained at <http://policy.uconn.edu:8080/UConnPolicy/pages/findPolicy.jsp?policyId=364>.

UConn requires an understanding of the security protections and protocols applied by the provider for the protection of university confidential data as part of the RFP response.

C. Costs

1. Cost to accomplish the Assessment, Planning and Fit-Gap Activity and defined in the Schedule portion of this RFP.
  2. Unit costs for all other services proposed subsequent to the Assessment, Planning and Fit-Gap activity.
  3. Cost range estimates for the post-Fit-Gap phase based on unit costing and on reasonable projections of resource requirements based and the information available to the vendor provided in this RFP.
- D. A presentation of the proposal and discussion of up to 2 hours that provides the above information to a review group. The review group will consist of functional staff, technology management and technical staff and other stakeholders. Additional time may be provided for questions if needed.

**5.5 List of Attachments**

- ☒ Attachment A – Draft Project Charter
- ☒ Attachment B – Staff Organization
- ☒ Attachment C – Project Resource Estimates
- ☒ Attachment D – Application and Technical infrastructure specification
- ☒ Attachment E – Technical infrastructure schematic - Development
- ☒ Attachment F – Technical infrastructure schematic - Production
- ☒ Attachment G – Applications Security Profile

The successful Vendor will be required to sign the University of Connecticut's confidentiality agreement. A sample of the agreement can be found in Part XIV of this document

## **PART VI REQUIREMENTS**

### **6.0 Information Provided by the University:**

The University of Connecticut has, in this Request for Proposal and otherwise, provided proposers with information relating to the University, its current operations and initiative described herein.

The University assumes no responsibility or liability for the adequacy or accuracy of any information provided by the University, its agents, employees or representatives. The proposer agrees to waive any claim or defense to any claim relating to the adequacy or sufficiency of any information provided prior to the execution of the anticipated contract.

Subject to these limitations, this Request for Proposal contains information describing University communities, operations and planned programs. For your continuing reference, we have included additional information regarding University registration, demographics, student residence, faculty, staff and Campus on page 3 of this document.

### **6.1 Base Proposal Requirements:**

In support of its financial and operational goals and objectives, each Vendor will provide a detailed Plan. The Plan should also include assumptions and relationship commitments required to obtain those goals and objectives.

The Plan should describe the programs and/or resources, which support the likelihood of achieving the identified objectives. The Plan should also include support and reporting commitments, together with specific suggestions regarding communication, planning and performance review. The Plan represents an opportunity for each proposer to provide examples of its innovation operational opportunities and understanding of the University communities and objectives.

The future businesses of the selected Vendor might include an expanded or reduced complement of services and support. The Vendor is encouraged to anticipate the inevitability of change and provide specific recommendations for a dynamic relationship, which could take advantage of newly discovered opportunities without unduly limiting or committing each party to unforeseen circumstances that may preclude the intended outcome.

### **6.3 Software Site License definition**

A mandatory requirement of this proposal will be the Vendors contractual acknowledgement through the Software License Agreement, that the University of Connecticut and all its regional campuses, inclusive of the School of Law and the Health Center, will be considered a single 'Site' location for all software license agreements related directly or indirectly to this agreement.

### **6.4 Maintenance and Support**

The Vendor must also provide detailed information on support and maintenance of their proposed Solutions.

#### 6.5 Responsibility of those performing the work

The Vendor shall be responsible for the acts and omissions of all the Vendor's employees and all subcontractors, their agents and employees as well as all other persons performing any of the work under a contract with the **Prime Vendor**.

The Vendor shall at all times enforce strict discipline and good order among the Vendors employees and shall not employ any unfit person or anyone not skilled in the task assigned.

The Vendor, when so determined by the University shall dismiss incompetent or incorrigible employees from the project, and such persons shall be prohibited from returning to the project without written consent of the University.

#### 6.6 Purchase Orders and Subcontractors

Purchase Orders and payments will only be issued to the **Prime Vendor**. It is the **Prime Vendor's** responsibility to issue Purchase Orders, schedule services and pay all subcontractors and partners directly.

#### 6.7 Freight

All shipments will be FOB Destination-Full Freight Allowed. Cost of shipment will be imbedded in the purchase price of the item being purchased.

#### 6.8 Shipments

All shipments to the University will be delivered **inside to the room(s) designated upon contract award**.

#### 6.9 Payment Terms

The University's payment terms are 2% 15 days net 45 days. These terms will be honored unless otherwise stated on the Form of Bid. Cash discounts may be offered, by the Vendor, for prompt payment of invoices and will be taken into consideration in determining the low Vendor and in the awarding of tie bids

**PART VII  
PRICING**

**7.0 Evaluation**

The evaluation process outlined in Part IV will determine which vendor has proposed the best overall package, meeting all of the University's needs to provide **Oracle-Peoplesoft Campus Solutions Upgrade Services**.

**7.1 Cost**

**All costs and cost estimates associated with the proposed services as specified in Section 5.4 must be provided in a section titled "Response to Part VII - Pricing", separated from the rest of the proposal.**

Signature acknowledges acceptance of all specifications, terms and conditions stated in **Part VII PRICING** and that all pricing and related discounts offered are accurate and correct.

FIRM: \_\_\_\_\_ DATE: \_\_\_\_\_

BY: \_\_\_\_\_ TITLE: \_\_\_\_\_

\_\_\_\_\_  
Print Name TELEPHONE: \_\_\_\_\_

\_\_\_\_\_  
e-mail

**PART VIII  
REFERENCES**

Proposals should include five institutions, of similar or the same size, where your organization is currently providing **Oracle-Peoplesoft Campus Solutions Upgrade Services** comparable to the services you're proposing for the University of Connecticut. Please include name, title, telephone number **and e-mail address** of a contact person at each institution. **Providing the e-mail is a mandatory requirement, as references will be checked electronically via e-mail.**

References:   Institution   Contact   Telephone No.

Reference #1      \_\_\_\_\_

e-mail:              \_\_\_\_\_

Reference #2      \_\_\_\_\_

e-mail:              \_\_\_\_\_

Reference #3      \_\_\_\_\_

e-mail:              \_\_\_\_\_

Reference #4      \_\_\_\_\_

e-mail:              \_\_\_\_\_

Reference #5      \_\_\_\_\_

e-mail:              \_\_\_\_\_



**PART IX**  
**ATTENTION VENDORS**

The attached bid solicitation package includes forms which must be signed for your offer to be considered.

	<u>FORM NAME</u>	<u>WHERE TO SIGN</u>
	<u>FORM NAME</u>	<u>WHERE TO SIGN</u>
1.	Form of Proposal	Bottom of Document
2.	Notification to Bidders	Bottom of Document
3.	Affidavits*	Bottom of Document

Before sending your bid, please be sure all are signed.

\*Must be notarized

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NOTICE TO PROSPECTIVE BIDDERS

The University Purchasing Department will appreciate your assistance in making a careful study of this proposal and specifications for the purpose of offering suggestions as to the contract period, quantities, purchasing terms, details of specifications, trade customs, etc. which you believe to be in the best interest of the State. Suggestions or comments will be considered up to ten (10) days prior to the date of bid opening indicated in the bid package. In replying you must refer to the bid number. If no suggestions or comments are offered, the signing of the bid documents shall indicate your approval of these forms in their present content.

**PART X  
FORM OF PROPOSAL**

**TO:** University of Connecticut  
Purchasing Department  
3 North Hillside Road Unit 6076  
Storrs, CT. 06269-6076

1. The undersigned bidder, in response to our Request for Proposal for **Oracle-Peoplesoft Campus Solutions Upgrade Services** , having examined the bid documents and being familiar with the conditions surrounding the proposed project, hereby proposes to provide such services meeting the requirements outlined in this Request for Proposal, in accordance with the proposal attached hereto.
2. Bidder acknowledges receipt of the following addenda, which are a part of the bidding documents:  
\_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.
3. Bidder understands that the University reserves the right to reject any and all proposals, waive irregularities or technicalities in any offer, and accept any offer in whole or in part which it deems to be in its best interest.
4. Bidder agrees that this offer shall be good and may not be withdrawn for a period of 90 days after the public bid opening.
5. Bidder hereby certifies: (a) that this bid is genuine and is not made in the interest of or on behalf of any undisclosed person, firm or corporation; (b) that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham bid; (c) that the bidder has not solicited or induced any person, firm or corporation to refrain from bidding; and (d) that the bidder has not sought by collusion to obtain any advantage over any other bidder or over the University.
6. Bidder agrees that the response to this proposal is a legal and binding offer and the authority to make the offer is vested in the signer. Minor differences and informalities will be resolved by negotiation prior to acceptance of the offer.

**FIRM:** \_\_\_\_\_ **BY:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_ **TITLE:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ **DATE:** \_\_\_\_\_

**PHONE #:** \_\_\_\_\_ **FAX #:** \_\_\_\_\_

**F.E.I.N. #:** \_\_\_\_\_

**PART XI**  
**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.

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**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 ☐ 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.

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

<p><b>MANAGEMENT:</b> 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.</p> <p><b>BUSINESS AND FINANCIAL OPERATIONS:</b> 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.</p> <p><b>COMPUTER SPECIALISTS:</b> 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</p> <p><b>ARCHITECTURE AND ENGINEERING:</b> 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.</p> <p><b>OFFICE AND ADMINISTRATIVE SUPPORT:</b> 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.</p>	<p><b>BUILDING AND GROUNDS CLEANING AND MAINTENANCE:</b> 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.</p> <p><b>CONSTRUCTION AND EXTRACTION:</b> 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..</p> <p><b>INSTALLATION, MAINTENANCE AND REPAIR:</b> 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.</p> <p><b>MATERIAL MOVING WORKERS:</b> 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.</p>
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## 3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

<p><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.</p> <p><u>Black</u>(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p><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.</p> <p><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.</p>
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## PART I - Bidder Information

PART 1 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

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__
6. Does your company have a collective bargaining agreement with workers? Yes__ No__ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__	12. Does your company have a written affirmative action Plan? Yes__ No__ If no, please explain.  13. Is there a person in your company who is responsible for equal employment opportunity? Yes__ No__ If yes, give name and phone number. _____ _____

### Part III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes\_\_ No\_\_

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes\_\_ No\_\_

## PART IV - Bidder Employment Information

Date:

JOB CATEGORY	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

## 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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**PART XII**  
**ATTACHMENT A**  
**Provisions of this Contract Required by Connecticut General Statutes 4a-60**

(a) Every contract to which the State or any political subdivision of the State other than a municipality is a party shall contain the following provisions: (1) The Contractor agrees and warrants that in the performance of the contract such Contractor will not discriminate or permit discrimination against any persons 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 prevent 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 the 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 to state that 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 worker's 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 related to the provisions of this section and section (46a-56). If the contract is a public works contract, the Contractor agrees and warrants that they will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.

(b) For purposes of this section, "Minority Business Enterprise" means any small Contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) Who have the power to direct the management and policies of the enterprise and (3) who are member of a minority, as such term is defined in subsection (a) of section (32-9n); and "good faith efforts" shall include, but shall 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.

(c) Determination of a Contractor's good faith efforts shall include but 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 other such reasonable activities efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.

(e) The Contractor shall include the provisions of subsection (a) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on the subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any 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.

**Provisions of this Contract Required by Connecticut General Statutes 4a-60a**

(a) The Contractor agrees to the following provisions: (1) The Contractor agrees and warrants that in the performance of the contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) ) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission advising the labor union or worker's 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 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) of the General Statutes

(b) 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 related to the provisions of this section and section (46a-56). If the contract is a public works contract, the Contractor agrees and warrants that they will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.

(c) The Contractor shall include the provisions of subsection (a) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on the subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any 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.

Pur.17 (Rev.3/9/99)

## **PART XIII**

### **INSTRUCTIONS TO BIDDERS**

1. All bids must be submitted on and in accordance with this form. If more space is required to furnish a description of the commodities and/or services offered or delivery terms, the bidder may attach a letter hereto which will be made part of the bid.
2. Bids and amendments thereto, or withdrawal of bids submitted, if received by the University after the date and time specified for the bid opening, will not be considered.
3. Prices should be stated in units of quantity specified, with packing and delivery to destination included.
4. The time of proposed delivery must be stated in definite terms. If time of delivery for different commodities varies, the bidder shall so state.
5. Samples, when requested, must be furnished free of expense and if not destroyed, will, upon request, be returned at the bidder's risk and expense.
6. Bids must show unit price, amount and grand total or bid may be rejected.
7. Unless qualified by the provision "NO SUBSTITUTE" the use of the name of a manufacturer, brand, make or catalog designation in specifying an item does not restrict bidders to the manufacturer, brand, make or catalog designation identification. This is used simply to indicate the character, quality and/or performance equivalence of the commodity desired, but the commodity on which proposals are submitted must be of the same character, quality and/or performance equivalence that it will serve the purpose for which it is to be used equally as well as that specified. In submitting a proposal on a commodity other than as specified, bidder shall furnish complete data and identification with respect to the alternate commodity he proposes to furnish. Consideration will be given to proposals submitted on alternate commodities to the extent that such action is deemed to serve best the interests of the State. If the bidder does not indicate that the commodity he proposes to furnish is other than specified, it will be construed to mean that the bidder proposes to furnish the exact commodity described.
8. In the event that you are unable to submit a proposal against this bid, we will appreciate your advising this office to that effect. Failure to submit proposals against three consecutive bids will result in your name being removed from the mailing list, unless a specific request is made in writing for the retention of your name on said list.
9. The contractor agrees and warrants that in the performance of this contract he will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religion, national origin, sex, age, physical disability, including but not limited to blindness, or learning disability, unless it is shown by such contractor that such disability prevents performance of the work involved in any manner prohibited by the laws of the United States or of the State of Connecticut, and further agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission concerning the employment practices and procedures of the contractor as related to the provisions of this contract.
10. This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971 and, as such, this contract may be canceled, terminated or suspended by the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Three, or any state of federal law concerning nondiscrimination, notwithstanding that the State Labor Commissioner is not a party to this contract. The parties to this contract, as part of the consideration hereof, agree that Executive Order No. Three is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the State Labor Commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination, until the contract is completed or terminated prior to completion. The contractor agrees, as part consideration hereof, that this contract is subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. Three, and that he will not discriminate in his employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the state labor commissioner.
11. This contract is subject to the provisions of Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, and, as such, this contract may be canceled, terminated or suspended by the contracting agency of the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Seventeen, notwithstanding that the State Labor Commissioner may not be a party to this contract. The parties to this contract, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have a joint and several continuing jurisdiction in respect to contract performance in regard to listing all employment openings with the Connecticut State Employment Service.
12. The University of Connecticut is an equal opportunity employer.



## **PART XIV**

### **AWARD AND CONTRACT**

1. The University reserves the right to award by item, groups of items or total bid; to reject any and all bids in whole or in part, and to waive any informality or technical defects if, in its judgment, the best interests of the University will be served.
2. Cash discounts may be offered by bidder for prompt payment of bills, but such discount will not be taken into consideration in determining the low bidder but will be taken into consideration in awarding tie bids. The discount period will be computed from the date delivery is accepted at destination or from date correct invoice is received by the consignee, whichever is the later date.
3. ACCEPTANCE OF A BID BY THE UNIVERSITY IS NOT AN ORDER TO SHIP.
4. Each bid is received with the understanding that the acceptance in writing by the University of the offer to furnish any or all of the commodities and/or services described therein, shall constitute a contract between the bidder and the University, which shall bind the bidder on his part to furnish and deliver the articles quoted on at the prices stated and in accordance with the conditions of said accepted bid; and the University on its part to order from such contractor, except for causes beyond reasonable control; and to pay for , at the agreed prices, all articles specified and delivered.
5. In event of default by the contractor, the University reserves the right to procure the commodities and/or services from other sources, and hold the contractor liable for any excess cost occasioned thereby. If, however, public necessity requires use of material or supplies not conforming to the specifications, they may be accepted and payment therefore shall be made at a proper reduction in price.
6. The contractor guarantees to save the University, its agents or employees, harmless from liability of any nature or kind, for use of any copyrighted or uncopyrighted composition, secret process, patented or unpatented invention, articles or appliances furnished or used in the performance of the contract, of which the contractor is not the patentee, assignee or licensee.
7. It is understood and agreed that the contractor shall not be held liable for any failure or delays in the fulfillment of his contract arising from strikes, fires, or acts of God, or any other cause or causes beyond his reasonable control.
8. In the event there is a need for material bonding, performance bonding and/or insurance, the bidder will provide the bonding and/or insurance when requested and do this within fifteen (15) days after receipt of our notification of apparent low bidder, otherwise, the University reserves the right to go to the next qualified bidder who can comply.

**UConn/VENDOR {Insert Vendor Name} AGREEMENT  
{Insert University Department/Division}**

The University agrees to provide the following information:

{Insert specifics of the data that is being provided to the Vendor} , and data associated with prospective and enrolled students which may be protected by the Family Educational Rights and Privacy Act (FERPA), to {Vendor Name} \_\_\_\_\_ for the sole purpose of \_\_\_\_\_ and for the time period of \_\_\_\_\_.

In the course of performing this function for the University, \_\_\_\_\_ {Insert Vendor Name} \_\_\_\_\_ is acting as a legal agent (“school official”) of the University and will not release any information contained in the database to any outside source. {Note: If there are circumstances under which information may be released, the specifics should be specified here as well as the specific persons/organizations to whom it can be released.}

The information submitted to \_\_\_\_\_ {Vendor Name} \_\_\_\_\_ by the University is confidential information and shall be used only for the purposes stated in this agreement. \_\_\_\_\_ {Vendor Name} \_\_\_\_\_ agrees not to share or disclose this data with any third-party outside of the purposes stated in this agreement, unless required to do so by law or other University regulations. Failure to comply with the requirement not to release information, except for the sole purpose stated above, will result in cancellation of this agreement and the eligibility for \_\_\_\_\_ {Vendor Name} \_\_\_\_\_ to receive any University information from the University for a period of not less than five (5) years. In addition, \_\_\_\_\_ {Vendor Name} \_\_\_\_\_ agrees to indemnify and hold the University harmless for any loss, cost, damage or expense suffered by the University as a direct result of \_\_\_\_\_ {Vendor Name} \_\_\_\_\_ failure to comply with the requirement not to release information, except for the sole purpose stated above. In addition certain penalties associated with the FERPA legislation may apply. Should a security breach occur that potentially exposes University data \_\_\_\_\_ {Vendor Name} \_\_\_\_\_ will immediately notify the University and provide details of the breach. {Vendor Name} \_\_\_\_\_ agrees to securely transfer the information to the University, via an agreed upon media, upon the expiration of this agreement and to destroy any copies of the University’s information in a manner that completely protects the confidentiality of the University’s information.

\_\_\_\_\_  
Vendor Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
University Representative

\_\_\_\_\_  
Date

**STATE OF CONNECTICUT  
OFFICE OF POLICY AND MANAGEMENT  
Policies and Guidelines**

**Gift Certification**

*Gift certification to accompany State Contracts with a value of \$50,000 or more in a calendar or fiscal year, pursuant Conn. Gen. Stat. §§ 4-250 and 4-252, and Governor M. Jodi Rell's Executive Order No. 7C, para. 10.*

I, Type/Print Name, Title and Name of Firm or Corporation, am authorized to execute the attached contract on behalf of the Name of Firm or Corporation (the "Contractor"). I hereby certify that between mm/dd/yy (planning date) and mm/dd/yy (date of the execution of the attached contract) that neither myself, the Contractor, nor any of its principals or key personnel who participated directly, extensively and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation of this contract, nor any agent of the above, gave a gift, as defined in Conn. Gen. Stat. § 1-79(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), to (1) any public official or state employee of the contracting state agency or quasi-public agency who participated directly, extensively, and substantially in the preparation of the bid solicitation or request for proposals for the contract (if applicable) or in the negotiation or award of this contract; or (2) any public official or state employee of any other state agency who has supervisory or appointing authority over the state agency or quasi-public agency executing this contract, except the gifts listed below:

<u>Name of Benefactor</u>	<u>Name of recipient</u>	<u>Gift Description</u>	<u>Value</u>	<u>Date of</u>
<u>Gift</u>				

List information here

Further, neither I nor any principals or key personnel of the Contractor, nor any agent of the above, knows of any action by Contractor to circumvent such prohibition on gifts by providing for any other principals, key personnel, officials, employees of Contractor, nor any agent of the above, to provide a gift to any such public official or state employee.

Further, the Contractor made its bid or proposal without fraud or collusion with 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

**STATE OF CONNECTICUT**  
**OFFICE OF POLICY AND MANAGEMENT**  
**Policies and Guidelines**

**Campaign Contribution Certification**

*Campaign contribution certification to accompany State Contracts with a value of \$50,000 or more in calendar or fiscal year, pursuant to Conn. Gen. Stat. § 4-250 and Governor M. Jodi Rell's Executive Orders No. 1, para 8 and No. 7C, para 10.*

I, Type/Print Name, Title and Name of Firm or Corporation, hereby certify that during the two-year period preceding the execution of the attached contract, neither myself nor any principals or key personnel of the Name of Firm or Corporation who participated directly, extensively and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation or award of this contract, nor any agent of the above, gave a contribution to a candidate for statewide public office or the General Assembly, as defined in Conn. Gen. Stat. §9-601a, except as listed below:

<u>Contributor</u>	<u>Recipient</u>	<u>Amount/Value</u>	<u>Date of Contribution</u>	<u>Contribution Description</u>
--------------------	------------------	---------------------	-----------------------------	---------------------------------

List information here

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

**STATE OF CONNECTICUT**  
**OFFICE OF POLICY AND MANAGEMENT**  
**Policies and Guidelines**

**Consulting Agreement Affidavit**

*Consulting agreement affidavit to accompany state contracts for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Conn. Gen. Stat. §4a-81.*

*This affidavit is required if a bidder or vendor has entered into any consulting agreements whereby the duties of the consultant include 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. Pursuant to Conn. Gen. Stat. §4a-81, "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the general statutes as of the date such affidavit is submitted in accordance with the provisions of this section.*

I, Type/Print Name, Title and Name of Firm or Corporation, hereby swear that I am the chief official of the bidder or vendor of the Contract or authorized to execute such Contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except the agreements listed below:

Contractor's Name, Title and Firm or Corporation:

Terms of Consulting Agreement (Date of Execution, Amount, Expiration Date):

Brief Description of Services Provided (Purpose, Scope, Activities, and Outcomes):

☐ Yes ☐ No Is the Consultant a former state employee or public official?

*If yes, provide the following information about the former state employee or public official:*

- Former Agency:
- Date Such Employment Terminated:

**Attach additional sheets if necessary. This affidavit must be amended if Contractor enters into any new consulting agreements during the term of this Contract**

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

**STATE OF CONNECTICUT  
OFFICE OF POLICY AND MANAGEMENT  
Policies and Guidelines**

This form is **MANDATORY** and must be completed, signed, and returned before the Contractor's bid can be considered by the State. **NO STATE AGENCY SHALL ACCEPT A BID FOR A LARGE STATE CONSTRUCTION OR PROCUREMENT CONTRACT WITHOUT SUCH AFFIRMATION.**

**AFFIRMATION OF RECEIPT OF SUMMARY OF STATE ETHICS LAWS  
(Bid or Proposal)**

INSTRUCTION: Contractor must sign the affirmation below, and return this form to the awarding State agency.

The undersigned duly authorized representative of the bidding Contractor affirms (1) receipt of the summary of State ethics laws available at [http://www.ct.gov/ethics/lib/ethics/contractors\\_guide\\_final2.pdf](http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf), (2) that key employees of such Contractor have read and understand the summary and (3) that Contractor agrees to comply with the provisions of State ethics laws.

*(Please print name under signature line.)*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**On behalf of:**

\_\_\_\_\_  
Contractor Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City State Zip

\_\_\_\_\_  
Federal Employer Identification Number  
(FEIN/SSN)

This form is **MANDATORY** and must be completed, signed, and returned to the awarding State agency pursuant to Section 37 of Public Act. No. 05-287.

## 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](http://www.das.state.ct.us), and the Office of Policy and Management, [www.opm.state.ct.us](http://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](http://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.



M. JODI RELL  
GOVERNOR

STATE OF CONNECTICUT  
EXECUTIVE CHAMBERS

**MEMORANDUM**

To: Vendors Conducting Business with the State of Connecticut  
From: M. Jodi Rell, Governor *[Signature]*  
Subject: State Ethics Policy  
Date: September 28, 2004

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As you are undoubtedly aware, state government is striving to improve how it conducts its business. The task force charged with analyzing the state contracting process recently recommended to me several areas which require improvement. I expect to implement a number of those recommendations. Your assistance is needed in order to facilitate change.

While the state ethics code does not prohibit gifts to state employees altogether—for example, the law permits employees to accept a gift in celebration of a major life event and up to \$50 per calendar year in food and beverage—the intent of the code is clear. State employees should not just avoid impropriety, but even the mere appearance of impropriety, and should forego accepting gifts from those with whom the state does business.

I would also call your attention to section 1-84(m) of the Connecticut General Statutes, which prohibits state employees from accepting gifts from those who do business, or seek to do business, with the employee's agency or department. Vendors and prospective vendors are also prohibited from knowingly giving gifts to state employees in violation of this section.

My request to you is this, no matter how well-intentioned or appreciative you may be of an employee's assistance, I would ask that you refrain from offering a state employee a gift of any kind, including, but not limited to, meals and beverages. Offering a gift to an employee puts the employee in the rather uncomfortable position of having to decline the gift or ascertain its monetary value and consult with an attorney and/or the state Ethics Commission.

I expect—and indeed the residents of this state deserve—state government employees to adhere to the highest ethical standards, which may entail more stringent practices than even the ethics code provides. With your assistance, the state should be well on its way to restoring the public's faith in state government.

I would appreciate it if you would communicate this message to your employees. Thank you for your cooperation and understanding.

STATE CAPITOL, HARTFORD, CONNECTICUT 06106  
TEL: (860) 566-4840 • FAX: (860) 524-7396  
[www.state.ct.us/governor](http://www.state.ct.us/governor)

**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](http://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

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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.



## DRAFT Project Charter

*Please refer to the Project Charter Instructions document for help.*

### Project Name & High Level Summary

*Please provide the name of the project and a few descriptive sentences summarizing what the project will accomplish.*

**Project Title:** Student Administration 9.0 Upgrade  
**Summary:** Install, configure and upgrade Oracle-Peoplesoft version 8.0 to 9.0.  
**Required Completion Date:** Implementation: October 17, 2008; Project Completion: January 31, 2009

**UITS Service Request Number:** PM621

**Alternate Tracking Number:**

**Charter Submission Date:** 4/1/2007

**Alternate Tracking Number Owner:**

### Business Requirements

*Identify and explain the business needs driving this project, what the project is expected to accomplish (not how), and how the project fits with the university's overall strategic business objectives.*

Oracle support for the Campus Solutions 8.0 product line, which includes the array of Student Administration system modules and regulations updates required to manage the university's almost \$250M Financial Aid program, will end on August, 2008. We must accomplish an upgrade to a new vendor-supported release at or near that time in order to remain compliant with regulations and ensure continuous product support. In addition to these mission critical requirements, version 9.0 offers some significantly improved functionality in all module areas.

We deferred our upgrade to version 8.9 last year due to a lack of funding, the need for stabilization of the overall 8.0 implementation, including the reduction and past reliance on consulting support, and the opportunities to take advantage of the version 9.0 upgrade enhancements, which are significant.

Release 9.0 has been identified by Oracle as an upgrade path to its planned "Fusion" release (so was 8.9). Fusion will be an integration of at least three separate Oracle product lines with a new technical architecture that includes several new technology components for UConn. The Fusion release is currently scheduled for release sometime in late 2008 or early 2009. However, we are not interested in being an early adopter of this release due to the extent of changes and high risk of disruption and failure. Fusion is likely to require significant investments in staff retraining and technology infrastructure.

### Expected Project Outcome(s)

*Describe the high-level outcome expected from this project.  
 Define formal deliverables and resulting impacts to the university's business, its clients, and state citizens.*

The UConn Student Administration system will be upgraded to version 9.0. This version will be supported for the foreseeable future, i.e. 2013 and beyond.

In conjunction with this upgrade effort, but separate from it, is a replacement of the SADM Datamart to Oracle's EPM solution.

We will realize a significant improvement in system usability resulting from and enhanced navigation. This aspect has been one of the most troublesome for users of the current release.

Each module area has the potential to benefit from an array of functional improvements available in the new release. However, the availability of these improvements in the new version is dependent on our ability to configure and deploy them and therefore their availability will be impacted by the level of funding availability, implementation timelines and technical and functional staffing and user priorities.

The potential enhancements include:

- Student and Faculty “Centers” that consolidate and simplify system entry points for advising, faculty-specific and student information;
- Enrollment “Backpack” for improved student planning, advising and discovery of enrollment options available to them now and in the future;
- Simplified and more flexible transcript processing;
- Improved course management capabilities for overrides and restrictions;
- Ability to create flexible student groups;
- Improvements in underlying technology to permit higher degrees of system integration and information sharing with other applications;
- Improved financial aid packaging capabilities;
- Improved applicant prospect management capabilities;
- Improved student financial processing capabilities including enhanced payment plans and service indicators.

### **General Project Scope**

*Provide a sentence or two stating what will be included in this project and what will be outside the expectations of this project (e.g. types of activities, institutional policies, specific services or processes, etc.)*

- This upgrade includes tasks needed to provide an operational production instance of the Peoplesoft Campus Solutions 9.0 system.
- Our goal is to accomplish the upgrade as rapidly as possible. This goal will be driven by the requirement to adopt new functionality that is displaced by the new version and eliminating customizations that are convenient to eliminate at that time where these efforts do not add significantly to the upgrade timeframe and cost. The extent of this redeployment is not understood or defined at this time.
- Included in the upgrade are changes required to all interfaces between the Student Administration system and other systems, including the integration with the new EPM Datamart solution (a separate implementation project).
- An essential component to this effort is the absorption by UConn technical and functional staff of the operation, modifications and newly deployed functionality. A significant component of this effort is a requirement for knowledge transfer and training from the implementation consultants. This training must be sufficient for UConn staff to be able to provide ongoing support and maintain continuity of operations, maintenance and continued development support for this new system going forward.
- A fit-gap assessment will be required for functional training, customizations review, business process realignment and project planning purposes.
- A major aspect of this work is the migration of UConn-developed customizations. We will strive to eliminate existing customizations to the extent reasonable where the same or similar functionality is provided in the new version. However, we will minimize the impact on project timelines and costs to accomplish this.
- The Human Resources application will remain on a separate instance on version 8.9 and is not affected by this upgrade, except for the need to modify interfaces.

## Project Assumptions and Constraints

*Identify pre-conditions, understandings, or limitations that project participants should presume before proceeding with the project.*

- Funding will be available for upgrade and supplemental consulting and backfill support to accomplish the upgrade.
- The specific approach to the upgrade will be a two stage upgrade as follows:
  - Stage 1: Technical upgrade – Lab upgrade with deployment of displaced functionality and elimination of selected customizations.
  - Stage 2: Functional upgrade – the deployment of additional functionality provided by the new version. The timeframe for this will be determined by the Stage 1 results and funding availability.
- We expect to implement a “freeze” on current system applications development and modifications, except for mission critical changes, during the time work begins in earnest on applying customizations and during the immediate post production period. We expect the duration of this freeze to be approximately six (6) months however this timeframe is an estimate and dependent on planning that will be refined during the detailed planning phase of this project.
- We expect a significant technical and functional staff involvement that may average 50%, and possibly more depending on project timeframe, of the overall of the SA technical staffing, and a comparable involvement level from the functional lead staff. Individual business areas will also engage other functional staff in this effort at various levels as required. Business areas are aware of this need. However, the involvement of this staff is dependent on functional consulting support to assist with comprehensive testing during the upgrade process. Backfill requirements will also be required.
- A functional and technical staff retraining program will be required.
- An upgrade user training program will be required.
- Functional staff in conjunction with project consultants will identify business process changes required to accomplish the upgrade. Business process changes will be the responsibility of the respective functional areas.

## Decision Responsibilities

*Identify how project decisions will be made and by whom, including scope, budget, schedule, and performance. This may include daily decisions, policy decisions, financial commitments, etc. Include how these decisions will be communicated to university constituents.*

- |                                   |                        |
|-----------------------------------|------------------------|
| • Project direction               | Mooney                 |
| • Project management/coordination | Copley                 |
| • Module fit-gap solutions        | Functional Leads, SMEs |
| • Priorities resolutions          | SAPPRG                 |

## Expected Project Timeframes

*Define the broad timeframe by which the project is expected to be completed. Include primary interim milestones and internal or external drivers affecting timeframes. If there is no timeframe, define the process that will be used to establish one.*

- |   |                                   |
|---|-----------------------------------|
| • Planning and funding                        | Oct 1, 2006 – Apr 30, 2007        |
| • RFI/RFP on upgrade approaches and resources | Dec 1, 2006 – Apr 30, 2007        |
| • Consulting support/solutions engagement     | TBD                               |
| • Freeze                                      | TBD, (Apr 1, 2008 – Dec 31, 2008) |
| • Cutover to 9.0                              | Oct 17, 2008                      |

- Post implementation stabilization
- Project completion

Oct 17, 2008 – Dec 31, 2008

January 31, 2009

### Project Organization and Staffing

*Describe the expected organizational structure of the project.*

*List known project participants, their departments, and their expected roles and responsibilities.*

**Project Initiator:** Dan Mooney

**Project Sponsor:** Enrollment Management

**UITs Management Lead:** Dan Mooney

**Project Manager:** Copley

**Project Teams and Lead(s):** 9.0 Upgrade Team, Services-provider functional and technical support team.

**Functional User Area(s) Involved:** Enrollment Management, Bursar, Regional campuses, SAIT, Law School, Grad School, School of Social Work

Admissions:

(1) Func Lead, 75%; (1) SME's 40%;

Consulting support, TBD

Backfill support, TBD

Student Records, Advising, Law, SSW, Regionals:

(1) Func Lead, 90%; (3) SME's, 20%;

(7) SME, 10-60%

Consulting support, TBD

Backfill support, TBD

Financial Aid:

(1) Func Lead, 60%; (3) SME's, 20-100%

Consulting support, TBD

Graduate Admissions/PASS:

(1): Func Lead, 25%; (2) SME's, 25%

Consulting support, TBD

Student Financials:

(1) Func Lead, 80%; (3) SME's, 20-40%

Consulting support, TBD

Training

(1) Trainer, 75%

Consulting support, TBD

#### Anticipated UITs Support Required:

#### Estimated Effort

Network Engineering (network connections, equipment)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Network Services (voice connections, phone/video service, circuits, etc.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Server Support	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	(1) SSG OpSys tech, TBD (1) SSG Windows tech, TBD
Operations (power, space, connections, etc)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Enterprise Administrative Applications (application support/upgrades, etc.)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	(1) Proj Lead, 60% (3) Tech Lead, 75% (2) Tech Spec, 50% (2) Tech Dev, 70% (1) Trainer, 75%
Customer Business Applications	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	WebCT and applications interfaces. TBD.



Customer Support & Relations (help center call routing, desktop support, SLA, etc.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Data Management Services (DBA support, data warehouse services, etc.)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	(1) SA DBA, TBD
Business Office (hiring, travel/training, budget tracking, RFP/RFI, vendor/consultant contracts, software licenses, purchases, etc.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
ISMC/VPET	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Project Management Office	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Security Office	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	

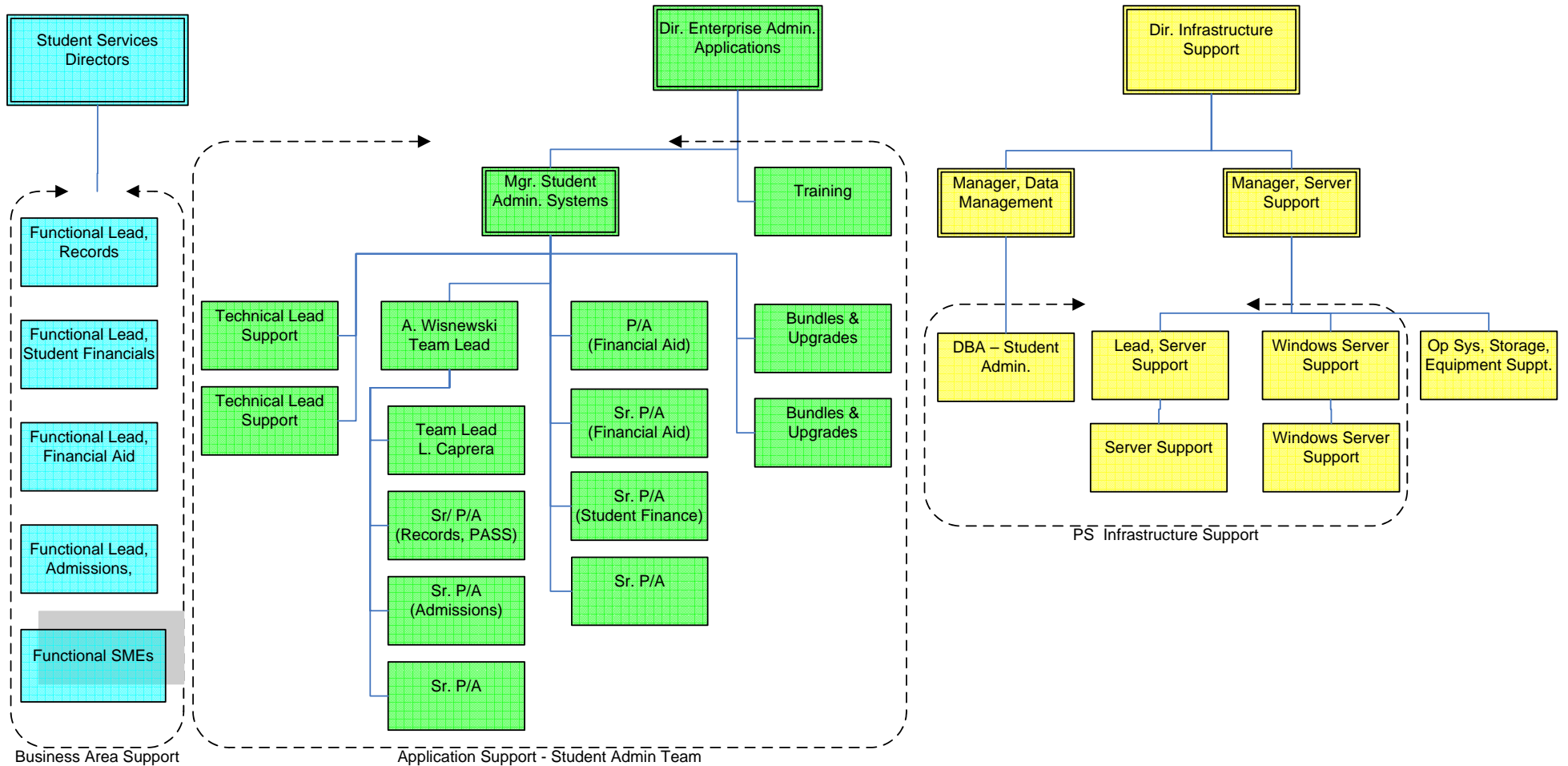
<b>Charter Review</b> <b>This section is to be completed by University Information Technology Services.</b> <i>A review of the Project Charter and documentation of next steps to be taken will be conducted by the Department of Information Technology. The results will be shared with the project stakeholders.</i>	
<b>Review by Required Technology Management</b> <i>This area should be signed by an ITS Director, Assistant or Associate Director. This signature indicates that the Charter has been received and reviewed for completeness.</i> <i>Depending on the scope of the project and next steps identified, submission of further project details may be warranted.</i>	
<b>Reviewed By:</b> _____	<b>Date:</b> _____

Project Approval				
	<i>Approved</i>		<i>Required</i>	
Information Services Management Council	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Vice President's Executive Team	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Project Sponsor	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Customer Representative:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Customer Representative:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Other:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		
<b>Notes</b> <i>This is a free-form section for additional information that may not have been covered in prior sections.</i> <i>Additional documents should be attached as needed.</i>				

Attachments: ☐ Yes ☒ No

## ATTACHMENT B

### University Information Technology Services PS SA Enterprise Applications Support – Staffing Profile



## ATTACHMENT C

UNIVERSITY OF CONNECTICUT					
Student Administration 9.0 Upgrade Project					
Estimate of Functional and Technical Resources Available to Project (Headcount) and Average per-head FTE allocation %					
<i>Module</i> <i>Resource</i>	<i>Admissions</i>	<i>Graduate Admissions and PASS</i>	<i>Student Records and Advising</i>	<i>Student Financials</i>	<i>Financial Aid</i>
Functional Lead	(1) 75%	(1) 25%	(1) 90%	(1) 80%	(1) 60%
SME	(1) 40%	(2) 25%	(3) 20% (7) 10-60%	(3) 20-40%	(3) 20-100%
	<i>A l l M o d u l e s</i>				
Project Lead/Coordinator	(1) 60%				
Trainer	(1) 75%				
Technical Lead	(3) 75%				
Technical Specialists	(2) 50%				
Technical Developer	(2) 70%				
Technical Bundle/Upgrade Tech	(1) 80%				
Server Support Tech, OpSys	(1) 80%				
Server Support Tech, Windows	(1) 50%				
DBA	(1) 50%				

**ATTACHMENT D**  
**UNIVERSITY OF CONNECTICUT**  
**Peoplesoft Campus Solutions**  
**Applications and Technical Infrastructure Profile**

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**PeopleSoft Software Releases**

- **Original Implementation Release** – PeopleSoft Enterprise Campus Solutions 7.6
- **Target Application Release** – HRMS and Campus Solutions 9.0
- **Current Tools Release** – PeopleTools 8.22.14
- **Current Application Release** – PeopleSoft Enterprise Campus Solutions 8.0 SP1

**UConn Licensed Modules**

- |                       |                       |                            |
|-----------------------|-----------------------|----------------------------|
| ▪ Academic Advisement | ▪ Admissions          | ▪ Campus Community         |
| ▪ Community Access    | ▪ Community Directory | ▪ Personal Portfolio       |
| ▪ Financial Aid       | ▪ Learner Services    | ▪ Learning Management      |
| ▪ Outreach            | ▪ Student Financials  | ▪ Student Records          |
| ▪ Human Resources     | ▪ eProfile            | ▪ eProfile Mgr             |
| ▪ Time and Labor      | ▪ Payroll             | ▪ Benefits Administrations |

**Infrastructure Middleware and Hardware**

- **Database** – Oracle Version 9.2.0.6 64 bit upgrading to 10.2 64 bit Production on 4/21/2007
- **Physical Server** – IBM p690 7040-681 (20 CPU's; 39 GB of memory), Application Server BEA 8.1 rp291 jolt patch
- **Usage** – Database, Application Server, Process Scheduler, Webserver & Reporting Server
- **Type** – IBM pSeries AIX
- **Version** - 5.3 TL04 CSP
- **Memory/usage during normal and peak** – 7 GB & 20 GB
- **CPU/usage during normal and peak** – 15% & 60%
- **Disk San usage and anticipated growth** – 85 GB / 1.5 GB per month

**Application Server and UNIX Process Scheduler**

- **Disk San usage and anticipated growth** – 4.25 GB / none

**Webserver**

- **Type** – BEA Weblogic
- **Version** – 8.1 SP5 Patch 3
- **Webserver Disk San usage and anticipated growth** – 5.25 GB / none

## **NT Process Scheduler**

- **OS Type Physical** – Windows 2003
- **Physical Server** – IBM Version x346
- **Memory/usage during normal and peak** – 2GB RAM
- **CPU/usage during normal and peak** – Dual Xeon Processors approx 2GHz each
- **Disk Local usage and anticipated growth** – Raid 5 Disk Array (3 – 73GB Hard drives)  
/ none

## **Environments**

There is one non-production environment, two if there is a bundle available e.g. psoft1, psoft2.  
The migration path for implementation – Development -> Test -> Production.

### ***Test Database***

- **Size** - 4 test copies of production database (85 GB each) and 1 Demo database
  - SADV (test copy of production)
  - SATR (test copy of production)
  - SACN (test copy of production)
  - SADV (test copy of production)
  - SADP(Demo)
- **App Server Number of Processes** e.g. APPSERV, PUB/SUB – 56
- **Number of App Servers** – Multiple application servers on one physical server - one application server per database (4) no redundancy.
- **Pre-Loaded disk cache** – no
- **Number of Process Schedulers** – NT Windows 2003 one Process Scheduler per database on one physical server. UNIX – Multiple Process Schedulers on one physical server – one per database.
- **Webserver** - Number of PIAs – one; 4 sites in PIA – one for each database. There are no Web Profiles in use for PT8.22.14.

### ***Production Database***

- **Size** – 1 database 85 GB, 1 reporting copy of production database (85 GB) and 1 database 85 GB for infrastructure testing.
  - SAPR (production)
  - SARE (reporting copy of production)
  - SABU (test copy of production)
- **App Server Number of Processes** e.g. APPSERV, PUB/SUB – 66

- **Number of App Servers** – 4 for production redundant, 1 for reporting and 1 for infrastructure no redundancy. Multiple application servers on one physical server.
- **Pre-Loaded disk cache** – yes
- **Number of Process Schedulers** – NT Windows 2003 one Process Scheduler per database on one physical server. UNIX – Multiple Process Schedulers on one physical server – one per database.

### **Web Server**

- Number of PIAs – 4; 2 each for student and admin users.
- Web Profiles: Web1, Web2.

### **Cobol Compiler**

- **Version** – Server Express 4.0 SP1 Fix Pack 16

### **UConn Customizations**

<i>PeopleSoft Modified Delivered and UConn Customized Bolt-On's</i>		
<i>Objects</i>	<i># of Modified Objects</i>	<i># of Customized Bolt-on Objects</i>
Activities		1
App Engine Programs	1	95
Application Engine Sections	1	288
Approval Rule Sets		
Business Interlink		
Business Processes		1
COBOL	7	
COBOL DMS Scripts	13	
Component	59	393
Component Interfaces	1	6
Crystal Reports	12	51
Field	42	415
Field Format		
File Layouts Definitions		2
File References	1	3
HTML	11	
Images	7	1

<i>PeopleSoft Modified Delivered and UConn Customized Bolt-On's</i>		
<i>Objects</i>	<i># of Modified Objects</i>	<i># of Customized Bolt-on Objects</i>
Index	3	
Job Definitions	12	7
Mass Change	6	4
Menu	7	2
Messages	139	
Message Channels		
Message Definitions		
nVision		
Pages	177	438
PeopleCode (ALL TYPES)	377	143
Permissions Lists	9	
Process Definitions	327	
Queries	124 Private 3580	68 Private 3570
Query Trees	12	
Records	302	667
Recurrence Definitions	21	
Role	7	
SQL	67	172
SQR programs	82	538
Stylesheet		
Translate Value XLAT	298	474
URL Definitions	5	
Web Server files (HTML,JS,JPG,PDF)	24	29
Workflow		1

## **UConn Integrations and Interfaces**

Between Campus Solutions 8.0 SP1 and other systems. (receiving and initiating):

### ***Integrations***

- TouchNet credit card processing

### ***Interfaces***

- From PeopleSoft AD

Dialogue Plus

- From PeopleSoft SR

ID System – Student data

ID System – Adjunct Faculty

ID System – HS coop instructors

ID System – SSN and Emplid

Genesys (HR / Payroll) Grad Assistance

Health Services (HIPAA)

Residential Life

SADM

Graduation Senior File for Alumni and Coop

NSLC send UGRD population

NSLC send Degree Verification

Coop – Student class schedules for textbook system

SEVIS – International Student Data

WebCT Vista – specific populations

LMS extract – Vista course and student data

Create Pass List Serve

Faculty Evaluation Surveys

Faculty Evaluation sent to Anacom for micro fiche

Registrars office schedule of classes feed

Registration Diploma software

Regional Student list serves

Link and Authenticate to NSC website

Telecom

AdAstra



## Athletics

- From PeopleSoft SF
  - SF-to-FRS - Payment Appl Feed
  - SF-to-FRS - Refund/Void Checks
  - SF-to-FRS - Cash Receipts
  - Move in Day feed to Reslife
  - SF-to-Payroll - Grad Asst Deduction Feed
  - Collections feed of inactive students with debt to tax office
  - Feed to BOA of all checks written
  - Feed of inactive Students to fee to Collection agencies
- From PeopleSoft FA
  - ISIR corrections, errors – USDOE Central Processing Service
  - NSLDS Transfer Monitor Alert
  - GENESYS student payroll / Work-study detail records & student labor report
  - WINJA feed from Financial Aid
  - College Board feed for FAST
- To PeopleSoft AD
  - XAP – online application load – inbound EC Agent TS 189
  - ACT – test scores
  - SAT – test scores
  - AP – Advance Placement testing
  - Junior Search loads
  - Sophomore Search loads
  - Tour Data
  - Web Inquiry – for admissions mailing list
  - Open House RSVP
- To PeopleSoft SR
  - ID System
  - Genesys (HR / Payroll) instructors and grad assistance
  - Health Services (HIPAA)
  - Residential Life
  - SEVIS – International Student Data

WebCT Vista – update PS w/ calculus survey

Faculty Evaluation Surveys

AdAstra

Athletics

Legacy Mud Table (Dept info)

- To PeopleSoft SF

Library Fines and Fees Load

Grad Asst Payroll Load

TMS Payments Load

LockBox Payments Load

Housing Breakage Charges Load

Anticipated Aid Load

Storrs Ugrad - Dorm & Meal Charges Load

Storrs Grad - Dorm & Meal Charges Load

Generic Dept. Charges Load

Generic Dept. Charges Load (different file format

E-Check(TMS) Payments Load

Health Waiver files

Late Fees Processing

Load TMS Deferrals

Load Grad Payroll Deferrals

SHS Pyramed Charge Load

Dorm & Meal Waivers Load - from Housing Director system

Dorm & Meal Charges Load - from Housing Director system

Bookstore Refund File

Bookstore Membership File

Feed from HR of students with dependent waivers

Feed from the Collections agencies of payments received

Lift and Set Service Indicators based on a feed from outside

Feed of payments from DAS

- To PeopleSoft FA

ISIR load – USDOE Central Processing Service

ISIR corrections, errors – USDOE Central Processing Service

AGG/SMART grants – originations, responses, changes and disbursements –  
UCDOE COD System

Pell Grants originations, responses, changes and disbursements – USDOE COD  
System

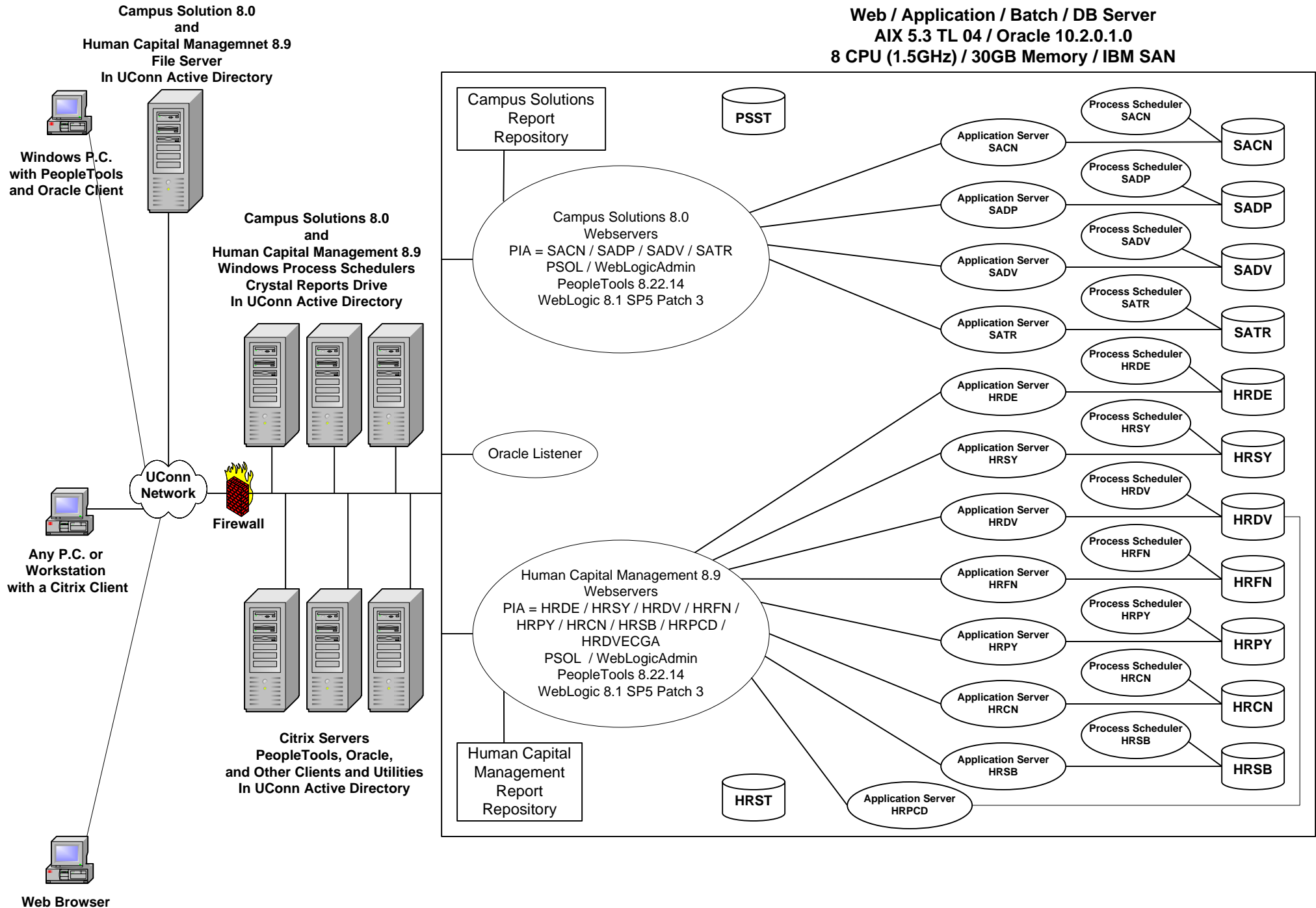
Loans – Originations, responses, changes and disbursements – Agencies are  
SallieMae and ELM

NSLDS Transfer Monitor Alert

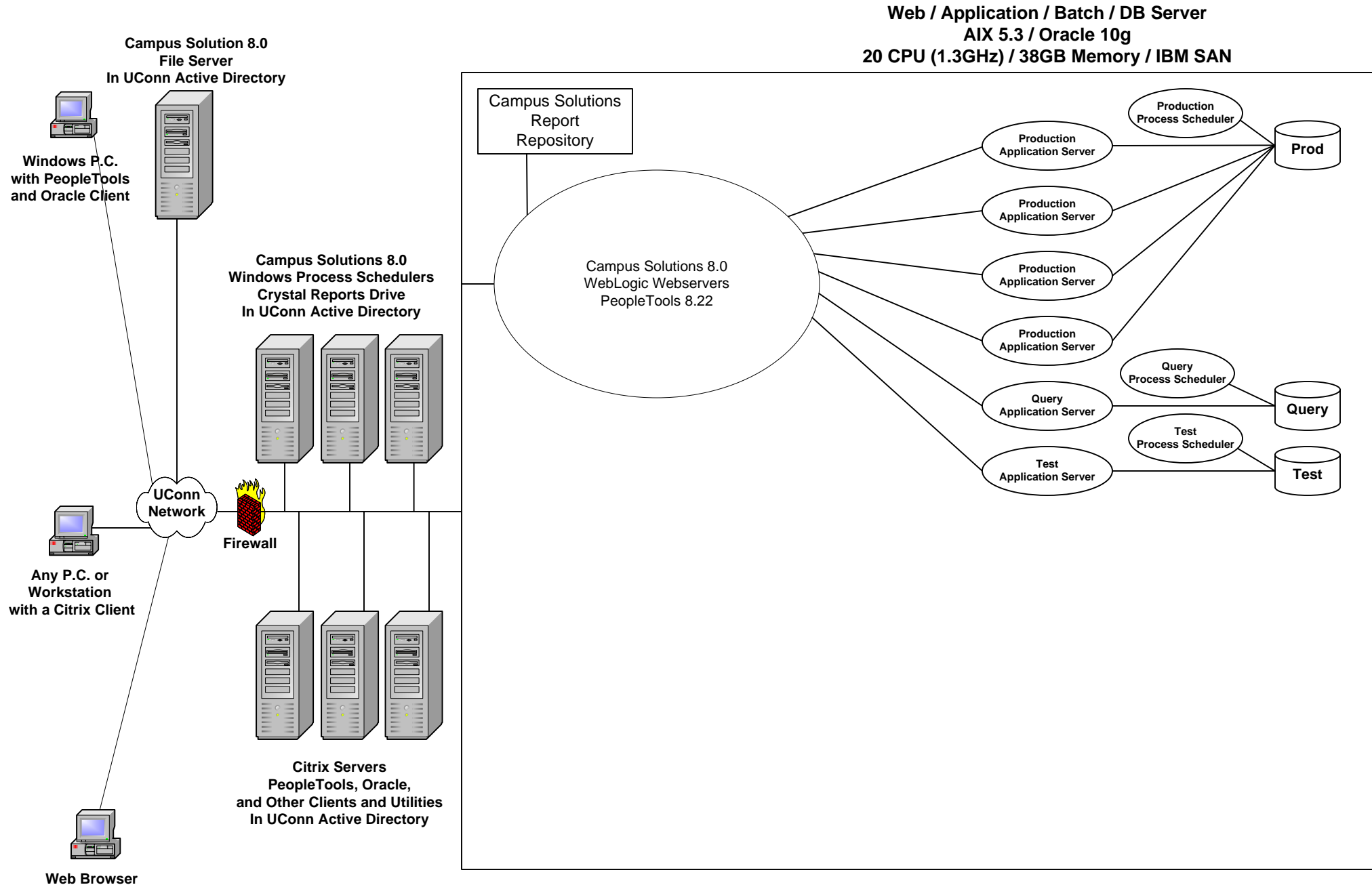
### **General**

- UConn is current on all Bundles and fixes. Required for Installation and Upgrade.
- There are 93,194 defined users in PSOPRDEFN record. We have retained student EMPLID's on PSOPRDEFN since 2003.
- SA Self Service approximately 33,000 students and 3500 faculty/advisors. There are 45 developers and 855 Administrative Business Analysts.
- Number of Client VPN Users (Technical and Functional) – 30
- Client locations LAN mostly 100 megabit connections used for application client access by developers.
- Web access from anywhere in the world. Web servers have 1 gigabit network connections. Most campus users have 10/100 megabit.
- In Production environment there are currently no other applications running on existing PeopleSoft hardware. However, HCM 8.9 will run with SA 8.0 in production when it goes live (Dec. 2007).
- In the Development environment, PeopleSoft HCM 8.9 runs along with SA 8.0 in a separate instance of the application.
- We use the PeopleSoft delivered Process Scheduler for our scheduled processes. Uconn's Batch Schedule is controlled by Control-M on our z/OS system.
- UConn's PeopleSoft Enterprise tuning, debugging and stabilization is well maintained.
- Due to the object deployment turnaround of using Change Assistant hub/agents our preference is to upgrade the Demo database to the current HRMS and Campus Solutions 9.0 Bundle and Payroll Tax Update before Go-Live weekend and not after the upgrade. Maintenance Packs are generally 3.5 months behind and that will not be acceptable to our standards. We need to be current with Financial Aid Regulations and Payroll Tax Updates and fixes in our Production environment.

# UConn PeopleSoft Applications Development Architecture



# RFP-UConn PeopleSoft Applications Production Architecture



## ATTACHMENT G

### Security Profile

#### Peoplesoft Student Administration 8.0

UConn has implemented one or more options within Application, Reporting, and Developer Security. The following matrix identifies what features UConn has implemented.

Security Components	UConn Use	Statistics
<b><u>Application</u></b>		
Table/Columns	Y	# Administrative Users = ~915 # Self Service Users = ~93000 with valid IDs but ~28,000 current users. # Roles = ~220 # Permission Lists = ~264
Row-level	N	
Field level	N	
<b><u>Reporting</u></b>		
Query	N	
PS/nVision	N	
Process Scheduler	Y	# Process Groups = ~23
<b><u>Developer</u></b>	Y	#Developers & Func Leads = ~49

Administrative users are entered into the system manually. Administrative users are granted security after they have attended a training class. The user identifies their access needs at the training. The Functional Lead for each module is responsible for maintaining and granting security for their module.

Self Service users are granted access to Self Service based primarily on their program status. Access is granted via a nightly batch program. We are currently granting initial access when a student is admitted.