

**STATE OF CONNECTICUT
OFFICE OF THE STATE COMPTROLLER
55 Elm Street
Hartford, CT 06106**

INVITATION TO BID #08OSC0001

ADDEDNDUM #1 Dated January 31, 2008

This addendum lists all the questions received relating to this Invitation to Bid and their answers. All other terms, conditions and specifications in this Invitation to Bid remain the same.

Question

Would it be possible to provide an estimate volume of servers that might be ordered through this award? We are not looking to hold that State accountable to any volume, however since we have historically not sold into the State many of our X86 products it would be valuable to know the potential volume that might come out of an award like this?

Answer

We anticipate purchasing up to (10) 2u and (5) 4u servers from this contract award.

Question

It mentions this contract may be used to purchase additional servers and options. I assume this means that any servers that we would propose would need to be available, however, configurations outside of the models we propose would be excluded? For example servers in the same product family but with faster and/or slow CPU speeds?

Answer

Yes, the servers that you propose should be available for purchase for the (6) month contract length. Yes, configurations outside of the models proposed would be excluded. We prefer that the servers are bid exactly as specified, but you may substitute components that exceed the specifications.

STATE OF CONNECTICUT
OFFICE OF THE STATE COMPTROLLER
55 Elm Street
Hartford, CT 06106

INVITATION TO BID

SPECIFICATIONS AND BID DOCUMENTS ATTACHED

Bid Number: **08OSC0001**

Bid Description: **Server Hardware and Support**

The Bid Opening Date is **Friday, January 25, 2008**

The Bid Closing Date is **Friday, February 8, 2008**

Sealed Bid No: 08OSC0001

NOT TO BE OPENED UNTIL:
FEBRUARY 8, 2008
3:00 P.M.

Return Bid To:

Office of the State Comptroller
Business Office
55 Elm Street, 1st floor
Hartford, CT 06106-1775
Attn: Sarah Ormerod

NOTE: Always use mailing label at left on all packages when returning the ORIGINAL & ONE COPY of your bid response.

Bids must be time and date stamped by the Office of the State Comptroller & cannot be accepted after specified Bid Opening Time.

Allow sufficient time if mailing your bid.

Hand-delivered bids must be brought to:

Office of the State Comptroller
Room 107
55 Elm Street
Hartford, CT 06106
Attn: Sarah Ormerod

Vendors will not be admitted to state buildings without a valid photo ID.

STATE OF CONNECTICUT - BIDDER'S CHECKLIST - READ CAREFULLY

IT IS SUGGESTED THAT YOU REVIEW AND CHECK OFF EACH ACTION AS YOU COMPLETE IT.

1. ____ The Bid must be signed by a duly authorized representative of the company. Unsigned bids may be rejected.
2. ____ The **Price Schedule must be included** with your bid and contain the following:
 - a. ____ VENDORS NAME **MUST BE** IN THE UPPER RIGHT CORNER OF ALL PRICE SCHEDULE PAGES.
 - b. ____ The bid prices you have offered have been reviewed and verified.
 - c. ____ The price extensions and totals have been checked. (In case of discrepancy between unit prices and total prices, the unit price will govern the bid evaluation).
 - d. ____ Any errors, alterations, corrections or erasures to unit prices, total prices, etc. **must be initialed** by the person who signs the bid proposal or his designee. Such changes made and not initialed mean automatic rejection of bid.
 - e. ____ The payment **terms are Net 45 Days** (You may offer cash discounts for prompt payment). Net Terms for periods less than 45 days (Ex. Net 30) may result in bid rejection. *Exception:* State of CT Small Business Set-Aside bids payment terms shall be in accordance with CGS 4a-60j.
 - f. ____ The **delivery information** block has been completed. Be specific: In most cases, “as ordered” or “as required” is not complete information.
3. ____ Any technical or descriptive literature, drawing or bid samples that are required have been included with the bid.
4. ____ If required the amount of bid surety has been checked and the surety has been included.
5. ____ CHRO Workplace Analysis Affirmative Action Report must be completed entirely regardless of the number of employees, even if the company is family owned and/or operated and must be submitted with each bid or bid may be rejected.
6. ____ Make sure to include the original price schedule pages along with one copy.
7. ____ The bid number on the pre-addressed mailing label or on your hand marked return envelope exactly matches the bid number inside the envelope.
8. ____ The pre-addressed mailing label has been used on your bid envelope or the bid envelope has been:
 - g. ____ marked with the Bid Number and Bid Opening Date &
 - h. ____ addressed to:

**Office of the State Comptroller
Business Office – Sarah Ormerod
55 Elm Street, 1st floor
Hartford, CT 06106-1775**
9. ____ The bid is mailed or hand-delivered in-time to be received and date stamped by OSC no later than the designated opening date and time. **Late bids are not accepted under any circumstances.** Please allow enough time if mailing in your bid. Hand-delivered bids must be delivered to the address above.
10. ____ **Do not** return pages that you are not quoting on. **THIS FORM IS NOT TO BE RETURNED WITH YOUR BID.**

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BID SPECIFICATION INFORMATION

Page 1 of 3

SPECIAL INSTRUCTIONS - PLEASE TAKE NOTE OF THE FOLLOWING:

- Bidders must be the Manufacturer or Resellers authorized to sell to Connecticut State and Local Government. Authorized Resellers must submit proof of such at the request of the Office of the State Comptroller at time of contract award.
- This will be a 6 Month Term Contract with (3) (2) two month options to extend. Contract may be used to purchase additional servers and Option Items.
- Bidders may submit questions about this Invitation to Bid to the Official Agency Contact on or before Thursday, January 31, 2008. Questions must be in writing and submitted via U.S. Mail, facsimile at 860-702-3699 or email at osc.rfp@po.state.ct.us. Questions will not be accepted over the telephone. Anonymous questions will not be answered. All questions and answers regarding this Invitation to Bid will be posted on the Office of the State Comptroller's website, www.osc.state.ct.us no later than Tuesday, February 5, 2008.

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BID SPECIFICATION INFORMATION

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	DESCRIPTION OF COMMODITY AND/OR SERVICES	QTY	UNIT OF MEASURE	UNIT PRICE	TOTAL PRICE
1	<i>2u Server: Quad Core Intel Xeon X5460 2x6MB Cache 3.16GHz, 1333MHz FSB</i> <i>2nd Processor: Quad Core Intel Xeon X5460 2x6MB Cache 3.16GHz, 1333MHz FSB</i> Memory: 16GB (4x4MB), Dual Ranked DIMMs Hard Drive Configuration: Integrated SAS/SATA RAID1/RAID1 Backplane: Backplane 1x6 3.5-Inch Hard Drives Primary Controller: Integrated RAID Controller Primary Hard Drive: 146GB SAS 15K RPM Hard Drive 2nd Hard Drive: 146GB SAS 15K RPM Hard Drive 3rd Hard Drive: 146GB SAS 15K RPM Hard Drive 4th Hard Drive: 146GB SAS 15K RPM Hard Drive Network Adapter: Dual Port Embedded Gigabit NIC Chassis Configuration: Rack Chassis w/ Rapid Quick Install Rails Power Supply: Redundant Hot Swap Power Supply with Dual Cords CD/DVD Drive: 16X DVD +/-RW Drive Operating System: No Operating System; Certified for RedHat Enterprise Linux 64bit Hardware Support: (4)Year 7x24 4-HR Onsite	2	Each		
	Options	1	Each		
a	Memory: 32GB (8x4MB), Dual Ranked DIMMs	1	Each		
b	2nd Network Adapter: Dual Port Gigabit NIC Copper	1	Each		
c	2nd Network Adapter: Quad Port Gigabit NIC Copper	1	Each		
d	HBA: Dual Channel 4GB Optical Fiber Channel	1	Each		
e	Primary Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
f	2nd Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
g	3rd Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
h	4th Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
i	Operating System: RedHat Enterprise Linux, RH Network Subscription, Non-Factory Installed, With Media, (3)Year 7x24 phone support, (2) sockets	1	Each		
j	Operating System: Oracle Unbreakable Linux,Unbreakable Linux Network Subscription, Non-Factory Installed, With Media, (3)Year 7x24 phone support, (2) sockets	1	Each		

STATE OF CONNECTICUT

BID SPECIFICATION INFORMATION

Page 3 of 3

	DESCRIPTION OF COMMODITY AND/OR SERVICES	QTY	UNIT OF MEASURE	UNIT PRICE	TOTAL PRICE
2	<i>4u Server: (2) Quad Core X7350 Xeon, 2.93GHz, 8M Cache 1066Mz FSB</i>	1	Each		
	Memory: 32GB (16x2MB), Dual Ranked DIMMs				
	Hard Drive Configuration: Integrated SAS/SATA RAID1/RAID1				
	Backplane: Backplane 1x8 3.5-Inch Hard Drives				
	Primary Controller: Integrated RAID Controller				
	Primary Hard Drive: 146GB SAS 15K RPM Hard Drive				
	2nd Hard Drive: 146GB SAS 15K RPM Hard Drive				
	3rd Hard Drive: 146GB SAS 15K RPM Hard Drive				
	4th Hard Drive: 146GB SAS 15K RPM Hard Drive				
	Network Adapter: Dual Port Embedded Gigabit NIC				
	Chassis Configuration: Rack Chassis w/ Rapid Quick Install Rails				
	Power Supply: Redundant Hot Swap Power Supply with Dual Cords				
	CD/DVD Drive: 16X DVD +/-RW Drive				
	Operating System: No Operating System; Certified for RedHat Enterprise Linux 64 bit				
	Hardware Support: (4)Year 7x24 4-HR Onsite				
	Options				
a	Processor Upgrade: (4) Quad Core X7350 Xeon, 2.93GHz, 8M Cache 1066Mz FSB	1	Each		
b	Memory: 64GB (32x2MB), Dual Ranked DIMMs	1	Each		
c	<i>HBA: Dual Channel 4GB Optical Fiber Channel</i>	1	Each		
d	Primary Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
e	2nd Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
f	3rd Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
g	4th Hard Drive: 300GB SAS 15K RPM Hard Drive	1	Each		
h	Additional Network Adapter: Dual Port Gigabit NIC Copper	1	Each		
i	Additional Network Adapter: Quad Port Gigabit NIC Copper	1	Each		
j	Operating System: RedHat Enterprise Linux, RH Network Subscription, Non-Factory Installed, With Media, (3)Year 7x24 phone support, (2) sockets	1	Each		
k	Operating System: RedHat Enterprise Linux, RH Network Subscription, Non-Factory Installed, With Media, (3)Year 7x24 phone support, unlimited sockets	1	Each		
l	Operating System: Oracle Unbreakable Linux,Unbreakable Linux Network Subscription, Non-Factory Installed, With Media, (3)Year 7x24 phone support, (2) sockets	1	Each		
m	Operating System: Oracle Unbreakable Linux,Unbreakable Linux Network Subscription, Non-Factory Installed, With Media, (3)Year 7x24 phone support, unlimited sockets	1	Each		

STATE OF CONNECTICUT

BIDDER INFORMATION FORM

Complete Bidder Legal Business Name: _____

Principal Place of Business: _____

Taxpayer ID# (TIN): _____

Business Name, Trade Name, Doing Business as (if different from above):

Principal Place of Business (if different from above): _____

Bidder Telephone Number: _____

Bidder Facsimile Number: _____

Bidder Email Address: _____

Bidder Website: _____

Business Entity: ☐ LLC ☐ Non-Profit ☐ Partnership ☐ Individual/Sole Proprietorship
(Attach names and titles of all partners)

☐ Corporation *Type of Corporation:*

State Organized In:

Note: If Individual or Sole Proprietor, Individual's name (as owner) must appear in the legal business name above.

Bidder's Authorized Official (*Person authorized to sign bids on behalf of the above named bidder*)

Name

Title

Authorized Official's Telephone Number(s): _____

Authorized Official's Facsimile Number: _____

Authorized Official's Email Address: _____

STATE OF CONNECTICUT

Standard Terms and Conditions – page 1 of 3

The following Terms and Conditions govern the Invitation To Bid issued by the Office of the State Comptroller (OSC). Incorporated by reference into these Terms and Conditions are applicable provisions of the Connecticut General Statutes, including but not limited to, those in Title 4a, Chapter 58 and applicable provisions of the Regulations of Connecticut State Agencies, including but not limited to, those that begin with and follow Section 4a-52-1.

Bidders shall comply with the statutes and regulations as they exist on the date of their bid and as they may be modified from time to time during the term of the contract, as it may be amended.

Submission of Bids

1. Bids must be submitted on forms supplied by OSC and must be submitted no later than the date and time specified in the Invitation To Bid. Telephone or facsimile bids will not be accepted in response to an Invitation To Bid.

2. Bids received after the time and date of bid opening specified in each Invitation To Bid shall not be accepted for consideration and shall be returned unopened. Bid envelopes must clearly indicate the bid number as well as the date and time of the opening of the bid. The name and address of the Bidder should appear in the upper left hand corner of the envelope.

3. Incomplete bid forms may result in the rejection of the bid. Amendments to bids received by OSC after the time specified for opening of bids shall not be considered. An original and one copy of the price schedule shall be returned to OSC. Bids shall be computer prepared, typewritten or handwritten in ink. Bids submitted in pencil shall be rejected. All bids shall be signed by a person duly authorized to sign bids on behalf of the bidder. Unsigned bids may be rejected. Errors, alterations or corrections on both the original and one copy of the price schedule to be returned must be initialed by the person signing the bid proposal or their authorized designee. If an authorized designee initials the correction, there must be written authorization from the person signing the bid to the person initialing the erasure, alterations, or correction. Failure to do so shall result in rejection of bid for those items erased, altered or corrected and not initialed.

4. Conditional bids shall be rejected. A conditional bid is one which limits, modifies, expands or supplements any of the terms and conditions and/or specifications of the Invitation To Bid.

5. Alternate bids will not be considered unless the Invitation To Bid specifically requests alternate bids. An alternate bid is one which is submitted in addition to and

is not dependent upon the bidder's primary response to the Invitation To Bid.

6. In the event of a discrepancy between the unit price and the extension, the unit price shall govern. Prices should be extended in decimal form, not fractions, to be net, and shall include transportation and delivery charges fully prepaid by the Contractor to the destination specified in the Invitation To Bid, and subject only to cash discount.

7. Pursuant to Section 12-412 of the Connecticut General Statutes, the State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal Government and/or the State. Such taxes must not be included in bid prices.

8. All bids will be opened and read publicly on the date specified in the Invitation To Bid and, upon award, are subject to public inspection.

9. The Bidder fully acknowledges and agrees with all of the terms and conditions contained in this invitation to bid, standard terms and conditions and Contract #08OSC0001. Further, if the bidder is awarded a contract for the goods and/or services called for in the invitation to bid, the bidder's signature on Bid Information Form shall mean that the bidder shall be bound by and perform fully in accordance with all of the terms and conditions set forth in the invitation to bid, these standard terms and conditions and Contract #08OSC0001 as if the bidder had actually executed the standard terms and conditions and Contract #08OSC0001 itself.

Guaranty or Surety

10. Bid and or performance bonds may be required. Bonds must meet the following requirements: Corporation - must be signed by an official of the corporation above their official title and the corporate seal must be affixed over the signature; Firm or Partnership - must be signed by all the partners and indicate they are "doing business as"; Individual - must be signed by the owner and indicated as "Owner". The surety company executing the bond or countersigning must be licensed in Connecticut and the bond must be signed by an official of the surety company with the corporate seal affixed over their signature. Signatures of two witnesses for both the principal and the surety must appear on the bond. Power of attorney for the official signing the bond for the surety company must be submitted with the bond.

Samples

11. The quality of accepted bid samples does not supersede specifications for quality in the Invitation to Bid unless the sample is superior in quality. All deliveries shall have at least the same quality as the accepted bid sample.

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Standard Terms and Conditions – page 2 of 3

12. Samples are furnished free of charge. Bidders must indicate if their return is desired, which OSC shall do provided that they are returned at Bidder's sole cost and expense, FOB Bidder's destination, and that they have not been made useless by testing. If they are made useless by testing, the State may dispose of the samples as it deems to be appropriate. Samples may be held for comparison with deliveries.

Award

13. Award of a contract will be made to the lowest responsible qualified bidder and shall be based on quality of the goods or services to be supplied, their conformance with specifications, delivery terms, price, administrative costs, past performance, and financial responsibility.

14. OSC may reject any bidder in default of any prior contract or guilty of misrepresentation or any bidder with a member of its firm in default or guilty of misrepresentation.

15. OSC may correct inaccurate awards resulting from clerical or administrative errors.

16. Bidders have ten days after notice of award of the contract to reject the award; after ten days the contract will be binding on the Contractor. If the Contractor rejects the award within the ten day period, OSC will award the contract to the next lowest responsible qualified bidder.

Other Requirements

17. Conn. Gen. Stat. § 4a-81 (the "Act") requires that the Invitation to Bid of which these Terms and Conditions are a part include a notice of the consulting affidavit requirements described in the Act. Accordingly, pursuant to the Act, vendors are notified as follows:

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

(b) (1) The chief official of the vendor awarded a contract described in subsection (a) of this section or the individual awarded such contract who is authorized to execute such contract, shall attest in an affidavit as to whether any consulting agreement has been entered into in connection with such contract. Such affidavit shall be required if any duties of the consultant included communications concerning business of such state agency, whether or not direct contact with a state agency, state or public official or state employee was expected or made. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing

counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction or requests for information or (C) any other similar activity related to such contract. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of Chapter 10 of the Connecticut General Statutes concerning the State's Codes of Ethics, as of the date such affidavit is submitted. (2) Such affidavit shall be sworn as true to the best knowledge and belief of the person signing the certification on the affidavit and shall be subject to the penalties of false statement. (3) Such affidavit shall include the name of the consultant, the consultant's firm, the basic terms of the consulting agreement, a brief description of the services provided, and an indication as to whether the consultant is a former state employee or public official. If the consultant is a former state employee or public official, such affidavit shall indicate his or her former agency and the date such employment terminated. (4) Such affidavit shall be amended whenever the vendor awarded the contract enters into any new consulting agreement during the term of the contract. (c) If a vendor refuses to submit the affidavit required under subsection (b) of this section, then the state agency shall not award the Contract to such vendor and shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.

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

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

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

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

STATE OF CONNECTICUT
Standard Terms and Conditions page 3 of 3

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

(2) That no such principals and key personnel of the person, firm or corporation, or agent of such person, firm or corporation or principals and key personnel, knows of any action by the person, firm or corporation to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the person, firm or corporation to provide a gift to any such public official or state employee; and

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

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

(e) The date that the state agency or quasi-public agency

began planning the project, services, procurement, lease or licensing arrangement to be covered by the contract is **January 22, 2008**.

19. The existence of the contract shall be determined in accordance with the requirements set forth above. However, the award of the contract is not an order to ship. Contractors may not begin to perform under the awarded contract until the Contractor and the State have executed the contract and thereafter the Contractor receives a written purchase order from an appropriate State entity.

20. 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 Contract Exhibit C, SEEC Form 11.

21. Public Act 07-142 and Public Act 07-245 have amended the nondiscrimination provisions of the Connecticut General Statutes to add civil unions to the existing protected classes and to require State contractors to adopt policies in support of the new statutes by means of a resolution. Accordingly, attached as Form NDC is a form certification that the successful contractor must deliver executed at the time that it executes the Contract. The execution and submittal of this certificate is a condition precedent to the State's executing the Contract, unless the contractor is exempt from this statutory requirement, in which case the contractor must obtain a written waiver from the State's Commission on Human Rights and Opportunities.

**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.

The State of Connecticut's Contract Compliance Forms applicable to State contracts are available at www.state.ct.us/chro under "Contract Compliance." The following forms are mandatory and must be completed and returned to the Office of the State Comptroller with the proposal:

- **Notification to Bidders Form (attached to this Invitation to Bid)**
- **Bidder Contract Compliance Monitoring Report (on CHRO’s website)**

This form is **MANDATORY** and must be completed, signed, and returned with the vendor's bid.

**ACKNOWLEDGMENT OF CONTRACT COMPLIANCE
NOTIFICATION TO BIDDERS**

INSTRUCTION: Bidder must sign acknowledgment below, and return this form to the awarding agency with the bid proposal.

The undersigned duly authorized representative of the bidding vendor acknowledges receiving and reading a copy of the **NOTIFICATION TO BIDDERS**. *(Please print name under signature line.)*

Signature

Title

Date

On behalf of:

Vendor Name

Street Address

City State Zip

Federal Employee Identification Number
(FEIN/SSN)

This form is **MANDATORY** and must be completed, signed, and returned with the vendor's bid.

STATE OF CONNECTICUT

Individual Contractor Nondiscrimination Certification – Page 1 of 1

I, _____, of _____
Signer's Name *Business Address*

am entering into a contract (or an extension or other modification of an existing contract) with the State of Connecticut (the "State") in my individual capacity for Contract Number 08PSX0014. I hereby certify that I support the nondiscrimination agreements and warranties required under Connecticut General Statutes Sections 4a-60(a)(1) and 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

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

Signature
Effective June 25, 2007

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Nondiscrimination Certification – Page 1 of 1

I, _____, _____ of
Signer's Name Title

_____, an entity lawfully organized and existing under the laws of
Name of Entity

_____, do hereby certify that the following is a true and correct copy of a
Name Of State Or Commonwealth

resolution adopted on the _____ day of _____, 20____ by the governing body of

_____, in accordance with all of its documents of governance and management
Name Of Entity

and the laws of _____ and further certify that such resolution has not been modified,
Name Of State Or Commonwealth

rescinded or revoked, and is at present in full force and effect.

RESOLVED: That _____ hereby adopts as its policy to support the
Name of Entity

nondiscrimination agreements and warranties required under Conn. Gen. Stat. § 4a-60(a)(1) and § 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

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

Signature
Effective June 25, 2007

STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

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

INSTRUCTIONS:

Complete all sections of the form. Attach additional copies of this certification, if necessary, to provide full disclosure about any gifts made to any public official or employee of the awarding State agency. Sign and date form in the presence of a Commissioner of the Superior Court or Notary Public. Submit completed form to the awarding State agency at the time of contract execution.

CHECK ONE:

Initial gift and campaign contribution certification.

Annual update of initial gift and campaign contribution certification. (Multi-year contracts only.)

CERTIFICATION: [Number of Certifications Sworn and Subscribed On This Day: _____]

I, the undersigned, am the official authorized to execute the attached contract on behalf of the contractor (named below). I hereby certify that no **gifts** were made, as defined and described in C.G.S. §§ 4-250(1) and 4-252(c)(1), between the date (indicated below) that the awarding State agency began planning the project, services, procurement, lease or licensing arrangement covered by this contract and the execution date of this contract, **except for the gift(s) listed below:**

Date of Gift	Name of Gift Giver	Name of Recipient	Value	Gift Description
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I further certify that neither I, nor any principals or key personnel of the contractor, nor any principals or key personnel of the agents of such contractor, know of any action by such contractor to circumvent the above prohibition on **gifts** by providing for any other principals, key personnel, officials, employees or agents of such contractor to provide a gift to any public official or employee, as described in C.G.S. § 4-250(c).

I further certify that, on or after December 31, 2006, neither I, nor any principals or key personnel of the contractor, nor any principals or key personnel of the agents of such contractor, made a contribution to, or solicited a contribution on behalf of, any **campaigns** of candidates for statewide public office or the General Assembly.

I further certify that the contractor made the 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.

Printed Contractor Name

Signature of Authorized

Official Date

Federal Employer ID Number (FEIN) or
Social Security Number (SSN)

Printed Name of Authorized Official

Awarding State Agency

Start Date of Agency Planning

Contract Execution Date

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

Commissioner of the Superior Court or Notary Public

STATE OF CONNECTICUT CONSULTING AGREEMENT AFFIDAVIT

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

INSTRUCTIONS:

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

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

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

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

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

Consultant's Name and Title

Name of Firm (if applicable)

Start Date

End Date

Cost

Description of Services Provided:

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

If YES: _____

Name of Former State Agency

Termination Date of Employment

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

Printed Name of Bidder or Vendor

Signature of Chief Official or Individual

Date

Federal Employer ID No. (FEIN)
or Social Security Number (SSN)

Printed Name (of above)

Awarding State Agency

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

Commissioner of the Superior Court or Notary Public

STATE OF CONNECTICUT
Certificate of Compliance with
Connecticut General Statute Section 31 - 57b

I hereby certify that all of the statements herein contained below have been examined by me, and to the best of my knowledge and belief are true and correct.

The _____ **HAS / HAS NOT**
Company Name (Cross out Non-applicable)

been cited for three (3) or more willful or serious or serious violations of any Occupational Safety and Health Act (OSHA) or of any standard, order or regulation promulgated pursuant to such act, during the three year period preceding the bid, provided such violations were cited in accordance with the provisions of any State Occupational Safety and Health Act of 1970, and not abated within the time fixed by the citation and such citation has not been set aside following appeal to the appropriate agency of court having jurisdiction or **HAS / HAS NOT** (Cross out Non-applicable) received one or more criminal convictions related to the injury or death of any employee in the three-year period preceding the bid.

The list of violations (if applicable) is attached.

(Name of Firm, Organization or Corporation)

Signed:

Written Signature:

Name Typed:

(Corporation Seal)

Title:

(Title of Above Person, typed)

Dated:

State of _____)

County of _____) **ss:** **A.D., 20** _____

)

Sworn to and personally appeared before me for the above, _____,
(Name of Firm, Organization, Corporation)

Signer and Sealer of the foregoing instrument of and acknowledged the same to be the free act and deed of

_____, and his/her free act and deed as
(Name of Person appearing in front of Notary or Clerk)

(Title of Person appearing in front of Notary or Clerk)

My Commission Expires:

(Notary Public)

(Seal)

STATE OF CONNECTICUT
BIDDER'S STATEMENT OF QUALIFICATIONS page 1 of 2

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

COMPANY NAME:

&

ADDRESS:

Number of years company has been engaged in business under this name: _____ years

List any contract awards to your company by the State of Connecticut within the last three (3) years. Indicated which state agency, and provide contract name and number, and the name and telephone number of the purchasing agent administering the contract.

CONTRACT NO.	CONTRACT NAME	STATE AGENCY	PURCHASING AGENT	TEL. NO.
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

List other names your company goes by:

List Previous Company Name (s)

List at least three completed projects similar in nature to this Invitation to Bid which demonstrates your company's ability to perform the required services.

Company Name and Address	Telephone No.:	Dollar Value:
1. _____	_____	_____
_____	_____	_____
2. _____	_____	_____
_____	_____	_____
3. _____	_____	_____
_____	_____	_____

STATE OF CONNECTICUT
BIDDER'S STATEMENT OF QUALIFICATIONS page 2 of 2

Company Name: _____

Size of Company or Corporation:

Number of Employees: Full Time _____ Part Time _____

Company Value: Equipment Assets _____ Total Assets _____

Is your company registered with the Office of the Connecticut Secretary of State? _____ YES _____ NO

Registration Date, if available: _____

If requested, would your company provide a "Good Standing" Certificate issued by the Connecticut Secretary of State's Office?
_____ YES _____ NO

List any criminal convictions, guilty pleas or nolo contendere against your company and any of your company's officers, principal shareholders, directors, partners, LLC members and LLC managers.

(Attach additional sheets if necessary)

List any administrative actions either pending review by the State or determinations that the State has made regarding your company or any of your company's officers, principal shareholder, directors, partners, LLC members or LLC managers. This would include court judgments, actions, suits, claims, demands, investigations and legal, administrative or arbitration proceedings pending in any forum. Include a listing of OSHA violations and any actions or orders pending or resolved with any State agency such as the Department of Consumer Protection, the Department of Environmental Protection, etc. Detail this information on a separate sheet of paper. Such information should be for the last three (3) years.

(Attach additional sheets if necessary)

I HEREBY CERTIFY UNDER PENALTY OF FALSE STATEMENT THAT ALL THE INFORMATION SUPPLIED IS COMPLETE AND TRUE.

SIGNATURE

DATE

TITLE

STATE OF CONNECTICUT

Vendor Authorization Guidelines

All contracts must include appropriate vendor documentation that does the following three things:

- A. Authorizes the vendor to enter into contracts,
- B. Authorizes a particular officer to execute contracts on behalf of the vendor and
- C. Evidences that the officer signing in fact holds his/her office.

CORPORATIONS - Appropriate vendor documentation usually involves a certificate from the Secretary or other appropriate officer setting forth a copy of a board resolution. Sometimes this is not possible, in which case the vendor should observe the following:

1) In lieu of the secretary's certificate, the vendors must submit:

- a) a current certified copy of the applicable section of the corporation's bylaws which authorizes the execution of contracts by the signing person and
- b) a current certification that the officer signing the assignment agreement in fact holds that office.

2) In lieu of the certified resolution or bylaws, the vendor must include a certified copy of the corporate minutes of their respective boards of directors, which must specifically authorize the person signing the assignment agreement to execute it.

NOTE: If the bylaws or resolutions cannot be found, a formal legal opinion must be obtained attesting to:

- a. the authority of the company and
- b. the officer's ability to bind the company to enter into a contract.

LIMITED LIABILITY COMPANIES (LLC'S) – LLC's that do not have boards of directors, must submit the following:

1) a document indicating unanimous consent from all members or managers or

2) a certified copy of all of those relevant portions of their management agreement or operations agreement that identify which members or managers have the authority to bind the LLC in contracts. The certification must also show that the signing party is in fact a manager/member or that a manager/member has duly (in accordance with the management agreement or operations agreement) delegated signatory authority to the signing person.

If the company can't find the management agreement or operations agreement, a formal legal opinion must be obtained attesting to:

- a. the authority of the company and
- b. the signing party's ability to bind the company

to enter into a contract.

PARTNERSHIPS – Partnerships, like LLC's, do not have boards of directors. Generally, any general partner can bind the partnership. However, it is prudent to make every effort to obtain a partnership authorization that includes some evidence of a partner's authority to bind the partnership. This can include partnership resolutions that read very much like a corporation's resolutions or a copy of the partnership agreement (or all relevant sections) that address the authority of partners to bind the partnership, again taking into account any limitations, or a consent from the appropriate partners. The partnership agreement governs in the same way as the LLC's management or operations agreement.

SOLE PROPRIETORS - Sole Proprietors do not need to submit any documentation with regards to vendor authorization or certification. Sole Proprietors must submit a letter on company letterhead stating:

1) that the company holds Sole Proprietor status,

2) the name(s) of those authorized to execute contracts on behalf of the company and

3) the signature of Sole Proprietor.

EXHIBIT C SEEC FORM 11

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

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

Campaign Contribution and Solicitation Ban

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

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

Duty to Inform

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

Penalties for Violations

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

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

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

Contract Consequences

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

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

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

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

Definitions:

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

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations

duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

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

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

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

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

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

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