

**State of Connecticut
Office of the Attorney General**

Third Addendum to RFP #2023-03

**Request for Proposals regarding Representation of the University of Connecticut
in Matters Related to Patent Services**

May 18, 2023

The Office of the Attorney General has received the following question concerning RFP #2023-03. The question, along with the responses of the Office of the Attorney General, are as follows:

Question 1: Section I of RFP # 2023-03 states that interested parties should not contact any employee of the State of Connecticut for additional information concerning this RFP.

May we list Employees of the University of Connecticut for references for this RFP, and may we contact them solely to confirm that they are agreeable to being listed as a reference?

Answer 1: Yes.

Question 2: The RFP refers to reviewing and evaluating the entire UConn portfolio but, highlights a desire for counsel experienced with patent infringement in the biomedical, entertainment, and manufacturing industries.

- a. Has UConn identified these or other particular technologies, portfolios, laboratories, or other subsets of its patent estate that are especially relevant for this RFP?
- b. Beyond routine activities through UConn Technology Commercialization Services, what analysis, if any, has the university already undertaken to evaluate its patent portfolio for licensing and enforcement?
- c. Has UConn identified particular companies that could not be pursued as targets in litigation for any reason?

- Answer 2:**
- a. No.
 - b. A preliminary assessment has been conducted and will only be shared with the selected contractor(s).
 - c. Not to the best of the OAG's knowledge.

Question 3: Typically, a litigation funder will first recoup its investment before proceeds are distributed to the university, the funder, and, where applicable, the law firm. What are the university's economic expectations regarding its relative share of potential recoveries from patent monetization, particularly in light of its Intellectual Property and Commercialization Policy?

Answer 3: OAG is willing to discuss various arrangements and any entity's entitlement to proceeds recovered from patent monetization would be contingent upon the final negotiated agreement. For purposes of any such agreement, UConn is solely responsible for distributing any applicable portion of income derived from patent litigation with the employee inventor in accordance with UConn's policy.

Question 4: With respect to disclosure of "past, present, or anticipated business or personal relationships between members of employees of [our firm] and any persons or entities to whom expenses are paid" in Section 3.5, are we required to disclose that our lawyers and staff have attended Connecticut universities, have season tickets or other similar relationships for athletic events, or that family members or friends work or worked at Connecticut state universities?

Answer 4: Attendance at the University of Connecticut is not a required disclosure nor is possessing season tickets to UConn sporting events. Firm employees who have past, present, or anticipated business relationships with UConn, or the State of Connecticut, should disclose the nature of those relationships. The disclosure of firm employees who have past or present familial, social, and/or personal relationships with current UConn employees and/or employees in the Attorney General's Office is not required.

**State of Connecticut
Office of the Attorney General**

Second Addendum to RFP #2023-03

**Request for Proposals regarding Representation of the University of Connecticut
in Matters Related to Patent Services**

May 8, 2023

The Office of the Attorney General has received the following question concerning RFP #2023-03. The question, along with the responses of the Office of the Attorney General, are as follows:

Question 1: Is there a targeted revenue number or range for this program?

Answer 1: No.

Question 2: Is there a budget that has been approved for this program? If so, how much? Has that budget been allocated and appropriated by the required entities (e.g. the legislature or an agency)?

Answer 2: No.

Question 3.a: What will happen to the competitive responses once the proposals are submitted?

Question 3.b: Will any information provided in response to the RFP be used for any other purpose than evaluating the RFP response?

Answer 3.a: Response will be maintained in accordance with Connecticut law and any proprietary information will be protected in accordance with the Connecticut Freedom of Information Act, as set forth in Chapter 14 (“FOIA”).

Answer 3.b: No.

Question 4: Are any employees of the State of Connecticut to receive bonus or any other compensation as the result of this program?

Answer 4: No.

Question 5: What entity(ies) will be the client for purposes of checking conflicts of interest?

Answer 5: University of Connecticut; State of Connecticut

Question 6: Are all patents that are the subject of the RFP assigned only to the University of Connecticut and/or University of Connecticut Technology Partnership & Licensing?

Answer 6: Yes.

Question 7: Are any patents that are the subject of the RFP licensed to third parties; if so how are licensees to be considered for purposes of analyzing conflicts of interest?

Answer 7: This question will be addressed with firms selected to interview.

Question 8: Are any such licensees required to waive any conflicts of interest as to CONTRACTOR?

Answer 8: This question will be addressed with firms selected to interview.

Question 9: Are any such licensees required to agree and cooperate/participate in asserting such patents?

Answer 9: This question will be addressed with firms selected to interview.

Question 10: Will matters adverse to the following agencies be considered to create conflicts of interest?

- a. Connecticut Department of Consumer Protection
- b. Connecticut Port Authority
- c. Office of Connecticut Attorney General
- d. Connecticut Department of Energy and Environmental Protection
- e. Connecticut Department of Revenue
- f. Connecticut Department of Economic Development
- g. Connecticut Social Equity Council

Answer 10: Conflicts of Interest will be determined on a case-by-case basis.

Question 11: Is an advance waiver available for any CONTRACTOR conflicts of interest arising from matters adverse to any relevant State of Connecticut agencies or entities where those matters are unrelated to the services provided under the RFP? If not, what is the procedure for securing conflict waivers for such adverse matters and how will waivers be evaluated?

Answer 11: Conflicts of Interest will be determined on a case-by-case basis. Waivers should be requested to OAG. OAG will consult with the University of Connecticut and will make a determination.

Question 12: What is the State's position and process for actual and prospective conflict waivers relating to administrative matters unrelated to the subject matter of this RFP?

Answer 12: Conflict waivers are determined on a case-by-case basis. OAG often grants conflict waivers for matters involving other agencies and/or unrelated to the subject matter of the RFP.

Question 13: If a potential infringer of a patent is identified to whom CONTRACTOR cannot be adverse (e.g. due to an un-waived conflict of interest), can the subject patent be excluded from the resulting agreement or passed to another law firm? What is the process for taking these steps?

Answer 13: This question will be addressed with firms selected to interview.

Question 14: Please describe the scope of the patent portfolio that is the subject of the RFP (e.g., all subject patents assigned to the University of Connecticut or University of Connecticut Technology Partnership & Licensing).

Answer 14: This question will be addressed with firms selected to interview.

Question 15: What technology areas are included within the patent portfolio that is the subject of the RFP and how many patent families are involved in each technology area?

Answer 15: This question will be addressed with firms selected to interview.

Question 16: Does the Attorney General intend to prioritize any technology areas or patents within the patent portfolio that is the subject of the RFP? If so, will they be identified as part of the RFP process or after an award?

Answer 16: Additional information will be provided during the interview stage of the RFP.

Question 17: Have any patents within the patent portfolio that is the subject of the RFP been licensed for commercialization in the last ten years? Please identify the licensees and the revenue that the UNIVERSITY (or other licensor) has received, including applicable royalty rates for any awarded licenses.

Answer 17: Additional information will be provided during the interview stage of the RFP.

Question 18: Are any patents within the patent portfolio that is the subject of the RFP co-owned or under any obligations of assignment to a third party or entity other than the UNIVERSITY or University of Connecticut Technology Partnership & Licensing?

Answer 18: Additional information will be provided during the interview stage of the RFP.

Question 19: Have any patents within the patent portfolio that is the subject of the RFP been challenged, either in court or in a USPTO proceeding (such as IPR or reexamination)? If so, what was the result?

Answer 19: No.

Question 20: Does the UNIVERSITY or State have a policy requiring that inventors of those patents assigned to it and that are the subject of the RFP make themselves available in case of disputes arising out of the patent?

Answer 20: Additional information will be provided during the interview stage of the RFP.

Question 21: Have any reviews, assessments, or opinions related to the patent portfolio that is the subject of the RFP been conducted, including but not limited to enforceability and valuation? Will they be shared with the CONTRACTOR?

Answer 21: Yes, a preliminary assessment has been done and will only be shared with the selected contractor(s).

Question 22: What is the process for obtaining approval to send a demand letter and/or commence litigation against a "potential infringer"?

Answer 22: It would be discussed on a case-by-case basis.

Question 23: Are there any entities that the State will not permit be approached or sued as a potential infringer?

Answer 23: Not to the best of OAG's knowledge.

Question 24: Will approval to send a demand letter include approval to sue?

Answer 24: It would be determined on a case-by-case basis.

Question 25: Is the Attorney General empowered to send a demand letter and/or commence litigation as to all of the patents that are the subject of the RFP or must other third parties also authorize enforcement of any patents that are the subject of the RFP? What is the process for obtaining that authorization to send a demand letter and/or commence litigation from the Attorney General/University and any third party?

Answer 25: Additional information will be provided during the interview stage of the RFP.

Question 26: Does the RFP contemplate any thresholds or levels of recovery before any patent demand is made or any patent is asserted against a potential infringer?

Answer 26: No.

Question 27: What is the process for making decisions on strategic questions (e.g., forum/venue selection, claims to be asserted, claim construction, dispositive motions)?

Answer 27: Firms will be expected to review all strategies and substantial decisions with UConn and the AG along with a recommendation that is subject to OAG approval.

Question 28: Are there any States or other jurisdictions where enforcement proceedings cannot take place due to statutes, Executive Orders, rules, etc. concerning the patents?

Answer 28: To the best of its knowledge, OAG is not aware of any such restrictions.

Question 29: What position will the Attorney General take on issues of sovereign immunity for purposes of asserting patents that are subject to the RFP in courts other than those of the State of Connecticut?

Answer 29: OAG will make any determinations on a case-by-case basis.

Question 30: Will CONTRACTOR have authority to hire local counsel, co-counsel, experts, consultants, and other third parties to assist in any analysis, assertion, litigation, etc.?

Answer 30: Yes, subject to the terms of the agreement.

Question 31: What is the process for obtaining approval of a settlement or license agreement?

Answer 31: OAG reserves the right to approval all settlements including any corresponding license agreement.

Question 32: Section 3.2 of the draft Professional Services Agreement provides that, if the CONTRACTOR achieves recovery and/or other remedies through a settlement or licensing arrangement, then the CONTRACTOR will seek payment of fees and reimbursement of expenses from the adverse parties, either by agreement or by court order.

If, in the CONTRACTOR's view, a settlement or license agreement does not sufficiently provide for payment of its fees and expenses, what ability does the CONTRACTOR have to require payment from the State or otherwise veto any such settlement?

Answer 32: The OAG will have sole discretion whether to accept a settlement and/or license agreement. Additional information will be provided during the interview stage of the RFP.

Question 33: Does the Attorney General consider Conn. Gen. Stat. § 52-251c and Conn. R. Prof'l Cond. 1.5(a) as relevant to any response to the RFP?

Answer 33: No.

Question 34: Are there any statutory limitations on costs, damages, or recoveries in contingency cases that the Attorney General considers relevant to any response to the RFP (other than – as asked above – Conn. Gen. Stat. § 52-251c and Conn. R. Prof'l Cond. 1.5(a))?

Answer 34: Firms are encouraged to conduct their own due diligence and raise additional questions during the interview process.

Question 35: Are there any Statutes, Executive Orders, rules, etc. other than those cited in the RFP that are considered relevant to any response to the RFP, including any concerning costs, damages, or recoveries in contingency cases?

Answer 35: Firms are encouraged to conduct their own due diligence and raise additional questions during the interview process.

Question 36: Are there maximum hourly rates under the RFP? Are there maximum hourly rates that the Attorney General will support in a proposed settlement or license agreement, or in a motion for fee recovery?

Answer 36: This would be contingent upon the final negotiated arrangement.

Question 37: Section 3.4 of the draft Professional Services Agreement provides that the CONTRACTOR may request a CONTINGENCY FEE, which must be memorialized in a separate agreement. Will the Attorney General negotiate CONTINGENCY FEE agreements that apply generally to all cases that might be brought, or only with respect to specific patents?

Answer 37: OAG is willing to discuss both arrangements.

Question 38: Will the Attorney General agree to an agreement that allows a contracting law firm to recover its agreed upon fees and costs prior to any disbursement to proceeds from a settlement or award?

Answer 38: OAG is willing to entertain such arrangements on a case-by-case basis.

Question 39: Will the Attorney General allow settlements and license payments to first be placed in a law firm's trust account so that the firm may recover its agreed upon fees and costs prior to disbursement to the State?

Answer 39: OAG is willing to entertain such arrangements on a case-by-case basis.

Question 40: How long does the Attorney General's office take to pay a submitted invoice (e.g., for agreed-upon fees and costs from the proceeds of a settlement or license agreement)?

Answer 40: The OAG processes payments promptly upon receipt of all appropriate paperwork.

Question 41: What is the Attorney General's position on the involvement of a litigation funder with a law firm CONTRACTOR, or together with a law firm as CONTRACTOR, in response to the RFP?

Answer 41: It is expected that firms may include the utilization of one or more litigation funders. In such cases firms should respond jointly.

Question 42: If a potential infringer of a subject patent is identified and the awarded law firm cannot be adverse to that potential infringer (e.g. due to an un-waived conflict of interest), can the right to enforce the subject patent be passed to a litigation funder so it may work with another law firm pursuant to any resulting agreement?

Answer 42: No.

Question 43: Does the response depend on whether the law firm and funder are collectively considered the CONTRACTOR or whether the CONTRACTOR is only a law firm?

Answer 43: OAG is open to discussing multiple models.

Question 44: What is the Attorney General's position on a law firm and funder being collectively considered the CONTRACTOR?

Answer 44: OAG is open to discussion.

Question 45: What is the Attorney General's position on the involvement of consultants or third party services engaged by CONTRACTOR to identify possible infringers and/or to conduct economic analysis, e.g. with respect to damages and royalty streams?

Answer 45: Such services would be permitted if done as part of a contingency fee arrangement.

Question 46: Section a(3)a (page 5 of 47) refers to "patent prosecution litigation." We assume that this term refers to patent infringement litigation, and does not refer to patent prosecution (*i.e.*, writing and filing patent applications). Please confirm whether our understanding is correct.

Answer 46: Correct. This refers to prosecuting patent infringement matters.

Question 47: Section III(e)(7) states that “NO HOURLY FEES will be paid in connection with this Agreement.” Please confirm that this does not prevent a litigation funder from paying the law firm fees at least in part on an hourly basis.

Answer 47: Correct.

Question 48: Section 3.1 (page 24 of 47) states that “The State of Connecticut shall under no circumstances be responsible for any fees or costs, including expert fees or information technology fees of any sort, associated with the provision of the Services by CONTRACTOR under this Agreement.” Please confirm that this means that the State of Connecticut does not bear any responsibility for making direct payments to experts and contractors. Please also confirm that this does not preclude the law firm and/or funder from being reimbursed for any such fees and expenses out of any gross recovery.

Answer 48: Correct.

Question 49: Section 3.3 (page 25 of 47) states that “All expenses reimbursed out of the proceeds of any litigation, settlement, and/or licensing arrangement, must be reasonable, as determined by the Attorney General, and limited to actual net costs.” Typically, expenses are reimbursed to the party that advanced them from any gross recovery. Please confirm whether this understanding is consistent with the language of Section 3.3.

Answer 49: Correct, expenses will be reimbursed from any gross recovery. Unless otherwise agreed to in writing, expenses will be limited to the hard costs actually advanced in connection with litigation and do not include fees associated with attorney, paralegal and related staff’s work.

Question 50: Section 3.3 (page 25 of 47) refers to “net costs.” Please advise us of your definition of “net costs.”

Answer 50: Net costs = auditable actual costs advanced by the law firm and/or funder during prosecution of the infringement action for litigation expenses and/or related licensing activity.

Question 51: The section titled “Scope of Services” (pages 3-5 of 46) does not refer to or include fees or expenses for post grant proceedings, such as *inter partes* reviews or *ex parte* reexaminations. Please confirm that post grant proceedings are indeed not intended to be covered.

Answer 51: All post grant proceedings are to be covered under the Scope of Services including *inter partes* review or *ex parte* reexaminations.

Question 52: Section 6 (page 28 of 47) refers to “Setoff.” Please advise us of your definition and examples of “setoff.”

Answer 52: “Set off” means the University/State’s right to deduct all amounts the Contractor then owes to the University/State from any monetary recovery it is entitled to receive for Services performed pursuant to RFP #2023-03 (including those for fees, costs, etc.) to satisfy an existing debt.

Question 53: Section 11 (pages 32-33 of 47) refers to “Indemnification” and covers “Claims ... arising, directly or indirectly, in connection with the Agreement, including the acts of commission or omission ... of the CONTRACTOR or Contractor Agents” Please confirm that this covers only acts of the Contractor or Contractor Agents, not acts of the State or the University of Connecticut of their agents.

Answer 53: Correct.

Question 54: Does UConn have flexibility regarding the following underlined language (found on page 3 of the RFP), or are they requirements? "... the "Service Provider" must be either a full-service law firm with an established litigation funder; or a patent monetization funding service with an established relationship with outside legal counsel; either of which must be able to provide full scale representation. For all services described below, the Service Provider must be capable of funding the totality of services rendered on a CONTINGENCY BASIS without the UNIVERSITY incurring any out-of-pocket expenses."

Answer 54: Proposals must include sufficient evidence to demonstrate (1) that the designated law firm has the breadth of experience required to provide all necessary legal services and (2) the proposer has the wherewithal to finance all phases of a patent infringement prosecution or patent monetization claim.

Question 55: Under "Scope of Services" section a, the RFP states: "For all services described below, the Service Provider must be capable of the funding of the totality of services rendered on a CONTINGENCY BASIS without the UNIVERSITY incurring any out-of-pocket expenses." Would you please confirm if the contingency basis is applicable to all services mentioned in the RFP (1) Transactional – Intellectual Property – Pre-Litigation Due Diligence, (2) Litigation – Intellectual Property- Project Management, and (3) Litigation – Intellectual Property- Patent Prosecution Litigation? Is there any room for negotiation with this? Given there are multiple services outlined in section 1 that do not involve litigation, it would be helpful to gain clarity on this.

Answer 55: All of the services outlined in this RFP are sought for purposes of commencing patent infringement litigation. The "transactional – pre litigation due diligence" described in this RFP is sought only to prepare the University's patent portfolio for infringement litigation; the University is not seeking, through this RFP, separate transactional patent services. Likewise, Project Management refers to the administrative, documentary, and discovery related needs, that may arise in connection with patent infringement litigation. The University,

through this RFP, is not seeking those services on a separate basis.

Question 56: Under Section 23 “Miscellaneous” Section 14, it is stated that “where the ATTORNEY GENERAL determines that the CONTRACTOR’s representation of any client constitutes a conflict of interest, or creates an appearance of impropriety, the CONTRACTOR shall, within five (5) days of the posting of notice by the ATTORNEY GENERAL or his designee to the CONTRACTOR, withdraw from the representation of the client, unless such a withdrawal is barred by law or order of a court of competent jurisdiction or the ATTORNEY GENERAL waives such conflict.” Can you please confirm whether an “appearance of impropriety” can involve representations that otherwise comply in full with the Rules of Professional Conduct? If so, is this requirement non-negotiable?

Answer 56: OAG is willing to discuss some changes to this section.

**State of Connecticut
Office of the Attorney General**

First Addendum to RFP #2023-03

**Request for Proposals regarding Representation of the University of Connecticut
in Matters Related to Patent Services**

April 20, 2023

The Office of the Attorney General has received the following question concerning **RFP #2023-03**. The question, along with the response of the Office of the Attorney General, are as follows:

Question 1: The description on the cover page describes the need for legal services related to athletic programming and Title IX compliance but the scope of services does not mention Title IX at all. What is the scope, if any, for legal services related to Title IX compliance?

Answer: There was a typographical error on the cover page. This RFP #2023-03 is for representation of the University of Connecticut in matters related to Patent Services. Please see the "Revised RFP #2023-03" below which corrects the typographical error on the cover page.

ATTORNEY GENERAL STATE OF CONNECTICUT

REVISED

Request for Proposals for Legal Services

RFP # 2023-03

**(Representation of the University of Connecticut
in Matters Related to Patent Services)**

The State of Connecticut, Office of the Attorney General, is seeking proposals to provide certain legal services involving representation of the University of Connecticut in matters related to Patent Services. **PROPOSALS ARE DUE BY MAY 22, 2023, at 4:30 p.m. Eastern Time (ET), as detailed in the Request for Proposals.**

This Request for Proposals is available online at <https://portal.ct.gov/AG/RFPs>.

WILLIAM TONG, Attorney General

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**REQUEST FOR PROPOSALS
BY THE STATE OF
CONNECTICUT OFFICE OF
THE ATTORNEY GENERAL**

**Representation of the University of Connecticut
in Matters Related to Legal Services
RFP# 2023-03**

The State of Connecticut, Office of the Attorney General is seeking proposals to provide certain legal services for the State of Connecticut, University of Connecticut.

SCOPE OF SERVICES

- a. The Attorney General of Connecticut, pursuant to Conn. Gen. Stat. § 3-125, invites proposals from appropriately qualified service providers to furnish services to the State of Connecticut, University of Connecticut (“University” or “UConn”), in all of the following categories:

For purposes of this RFP, the “Service Provider” must be either a full-service law firm with an established litigation funder; or a patent monetization funding service with an established relationship with outside legal counsel; either of which must be able to provide full scale representation.

For all services described below, the Service Provider must be capable of funding the totality of services rendered on a CONTINGENCY BASIS without the UNIVERSITY incurring any out-of-pocket expenses.

(1) *Transactional – Intellectual Property – Pre-Litigation Due Diligence*

- a. Review, analyze and interpret existing UNIVERSITY patent portfolio in conjunction with Office of Vice President for Research (OVPR) leadership and team members.
- b. Assist, advise and provide legal counsel to UNIVERSITY in all aspects of patent due diligence and/or review of UNIVERSITY patent portfolio and status including but not limited to freedom to operate, infringement analysis, guidance on effective patent portfolio management strategies and identification of value propositions.
- c. Possess a deep knowledge of the resources spent on research and development of patents to evaluate desirable monetization strategies at sufficient earning points for the UNIVERSITY.
- d. Ability to advise on efficient utilization of UNIVERSITY resources including obsolete and idle patents which possess little or no possibility of marketability.

- e. Ability to advise the UNIVERSITY of the value of potential licenses through deep market analysis including market size determination for products, royalty rate analysis, discounted cash flow analysis, damages analysis and estimation of the net present value of licenses.
- f. Provide direct legal advice and support to the UNIVERSITY concerning all aspects of due diligence for patent monetization projects including but not limited to finding potential licensees through:
 - Evidence of use (EoU) or indication of use (IoU) in a diverse set of technologies that reflect UNIVERSITY's patent portfolio.
 - Ability to convert EoUs/IoUs to claims charts with detailed analysis for all claim elements for all relevant claims against products and providing a basis for those claims charts to be considered, Rule 11 charts.
 - Ability to perform validity analysis for patents that are ultimately selected in moving forward with a monetization litigation strategy.

(2) *Litigation– Intellectual Property – Project Management*

- a. Assist, advise and provide legal project management to the UNIVERSITY and ATTORNEY GENERAL throughout all pre-suit, active litigation, and post-suit appeals, including management of monetization stakeholders such as law firms, funders, and small and medium-sized entities (SMEs), UNIVERSITY constituents, adverse parties, and adverse party counsel.
- b. Demonstrate a high level of command of business processes, document management vendors, and third-party tools to assist the UNIVERSITY and ATTORNEY GENERAL with multiple, and potentially simultaneous, monetization projects. Requisite skills include:
 - Demonstrated business acumen and legal expertise to handle UNIVERSITY technology licensing campaign.
 - Ability to interact and engage with UNIVERSITY faculty and related stakeholders in different disciplines and with varying levels of expertise.
 - Ability to communicate complex technical and legal information clearly and concisely and to convey strategy to UNIVERSITY in a manner that fosters buy-in/consensus at decision-making junctures.

(3) *Litigation – Intellectual Property – Patent Prosecution Litigation*

- a. Provide representation and legal counsel to UNIVERSITY and ATTORNEY GENERAL in all aspects of patent prosecution litigation, including the provision of professionally excellent, comprehensive, and cutting-edge legal services, or in the case of a patent monetization funding Service Provider, the ability to demonstrate deep and enduring connections and/or contracts with leading US law firms with patent monetization experience across diverse technology industries.
- b. Service Providers must demonstrate a high level of consistent competency in the following areas:
 - Track record of successful patent litigations, familiarity with advantageous forums for commencing patent actions, and a deep understanding of the nuances of patent litigation strategy, risk analysis, including having deep bench of previously vetted legal and subject matter experts with experience in similar patent matters to those in UNIVERSITY portfolio.
 - Ability to work with the entire UConn portfolio and match the technological diversity needed for the UNIVERSITY.
 - Avoidance of conflicts of interest with a diverse set of potential licensees, adverse parties, and adverse counsel.
 - Deep connections and familiarity with a variety of legal experts who can collaborate with UNIVERSITY faculty, address the needs of the broader UNIVERSITY, and work collaboratively with the ATTORNEY GENERAL.
 - Demonstrated success and ability to defend UNIVERSITY patents across all stages of litigation, in all United States forums and jurisdictions and against all adversaries.
 - Preparation of compelling settlement propositions including detailed royalty analysis, strong licensing terms and meticulous agreements.

TERM AND AMOUNT OF CONTRACT

Contracts awarded pursuant to this RFP will have an initial term (“Term”) of five (5) years, with an option to extend, by mutual consent, for one additional one (1) year period for a total of six (6) years, unless otherwise amended. The total value of contracts awarded will be on a contingency only basis with specific contingency terms to be agreed upon jointly by the Service Provider, the UNIVERSITY and/or ATTORNEY GENERAL during execution of a Professional Services Agreement (hereinafter referred to as “Contract” or “Agreement”). Once services commence under an Agreement, that

Agreement shall survive the Term described herein until final resolution of all litigated matters undertaken. These awards are not necessarily exclusive. The OAG reserves the right during the terms of these contracts to solicit and request additional proposals for legal services in the same or other areas of practice.

Attached as Appendix A is the UNIVERSITY's proposed Professional Services Agreement. When submitting a response to this RFP, the Service Provider should revise the letter as necessary. Submitted revisions will be discussed during the selection process and will be accepted or rejected at the sole discretion of the UNIVERSITY and/or ATTORNEY GENERAL. Submission of revisions is not deemed acceptance by the UNIVERSITY. Any revisions that are not submitted with the RFP response will be rejected.

Proposals must be received by the OAG by 4:30 p.m., Eastern Time (ET), on **MAY 22, 2023**. The OAG may invite some Service Providers to attend an interview shortly thereafter.

An evaluation committee will evaluate the proposals in accordance with the selection criteria set forth in this RFP, which explains other terms and requirements. The selected Service Provider(s) must enter into a contract with the OAG, substantially in the form of the draft contract set out in Appendix A. The OAG encourages minority, women-owned, and disadvantaged businesses to apply.

All communication with the OAG must be undertaken only as specified in this RFP.

SELECTION CRITERIA

The evaluation committee will evaluate Service Providers on the basis of any or all of the following: (1) their written responses to this RFP; (2) additional written information requested by the OAG; and (3) oral interviews. The goal of the evaluation will be to select the Service Provider or Service Providers which provide the best combination of qualifications, relevant experience, and cost.

The evaluation committee will also consider the following non-exclusive factors in making its determination:

- For all proposals:
 - Equal employment opportunity record as evidenced by the composition of Service Provider personnel and the Service Provider's affirmative action and equal employment opportunity policies and practices;
 - Record of compliance with all applicable ethical rules and rules of professional conduct;
 - The Service Provider's financial resources and commitment to carry out this undertaking, including any litigation which may result, and all associated fees, costs and expenses, to a successful completion on the basis of a fee arrangement in accordance with Section 3 of Appendix A;
 - Commitment to continuing client education through website information, blogs, webinars, in-person seminars, and participation in relevant professional organizations, such as the National Association of College and University Attorneys ("NACUA");
 - Ability to fully participate in all necessary discovery and litigation tasks both within and outside the State of Connecticut;
 - Ability to muster sufficient resources to respond to significant motions practice and discovery demands propounded by potential defendants;
 - Qualifications of personnel, including the experience and availability of the lead attorneys and the breadth and depth of other partners, associates and other professionals available to provide services to the State;
 - Demonstrated ability to work closely and cooperatively with clients in meetings and negotiation sessions;
 - Team organization and approach, including the ability of the Service Provider or Service Providers to adequately staff and promptly and vigorously pursue the litigation to conclusion;
 - Depth and quality of experience in serving as litigation and/or patent counsel to a variety of clients including large public institutions or other comparable clients;

- Qualifications and number of staff who will be assigned to this matter, including the percentage of their time to be devote to this matter;
- Licensure, or ability to obtain licensure or admission pro hac vice, as necessary to render the requested services;
- Results of reference checking;
- Reasonableness of rates and method of compensation proposed, and demonstrated efficiency in providing sound advice and counsel without unnecessary or excessive charges. Among substantially equally qualified proposers, rates and efficiency will weigh heavily in making a selection;
- Providing effective representation in Intellectual Property related litigation and specifically, patent prosecution matters.
- Assistance in resolving alleged patent infringement actions.
- Advising large public institutions in the ongoing review and evaluation of the entity's patent portfolio.
- Experience evaluating and negotiating licensing opportunities, including agreements with large professional licensing management and rights companies:
- Experience in resolving disputes involving alleged patent infringement with large commercial entities in the biomedical, entertainment, and manufacturing industries.
- Experience negotiating and resolving litigation through alternative dispute mechanisms such as pre-trial mediation and/or settlement.
- Workforce diversity, as evidenced by the Service Provider's current workforce diversity and its explanation of its current diversity and any plans or efforts it describes to improve or broaden its diversity; and
- Demonstrated successful utilization of legal research subscription services, document management systems, cybersecurity technology and
- A responsive Service Provider will not be considered to have an irreconcilable conflict of interest because its employees, including associated attorneys, have in the past brought or are currently bringing a claim, dispute, demand and/or litigation against the State of Connecticut, whether in court, mediation or arbitration, so long as that litigation does not concern the Service Provider's involvement in matters adverse to the State within the scope of described services sought in this RFP. However, all potential conflicts with the State of Connecticut must be fully described and discussed in the proposal.

INSTRUCTIONS TO PROPOSERS

I. Proposals Schedule

Release of RFP: **APRIL 19, 2023**

Proposals due: **MAY 22, 2023**

From the date the OAG issues this RFP until the date that it awards the contract to the successful proposer, interested parties should not contact any employee of the State of Connecticut for additional information concerning this RFP, except in writing directed only to Eileen Meskill, Deputy Attorney General, and Nicole Hart, Paralegal Specialist via email at Eileen.Meskill@ct.gov and Nicole.Hart@ct.gov. Interested parties should submit questions no later than **MAY 1, 2023**. Answers will be posted by **MAY 8, 2023**. Late questions may not receive answers. The OAG will answer questions only in the form of one or more addenda to this RFP posted on its website, at <https://portal.ct.gov/AG/RFPs>. Proposers have the responsibility to review that location for any addenda to this RFP.

For technical questions only, concerning issues or problems with access to or downloading of this RFP and associated information from the website, proposers may contact Muhannad Alsaqri by e-mail at Muhannad.Alsaqri@ct.gov.

II. Sealed Proposals

Proposers must submit an original copy of their proposal electronically to person(s) below, arriving no later than MAY 22, 2023, at 4:30 p.m. Eastern Time (ET). Proposals will not be publicly opened on the due date. Proposals received after that time may not be accepted. Postmark dates will not be considered as the basis for meeting any submission deadline. All proposals and other communications with the State regarding this RFP must be submitted in writing and clearly identify this RFP. Any material received that does not conform to this provision may not be considered.

Email to Eileen Meskill, Deputy Attorney General at Eileen.Meskill@ct.gov with a copy to Nicole Hart, Paralegal Specialist at Nicole.Hart@ct.gov.

Subject: Proposal to RFP # 2023-03, UConn – Patent Related Services

III. Submission of Proposals

- (a) To be considered, all submissions must include all of the following:
- (1) A list of the Categories for which the Service Provider is submitting a proposal;
 - (2) All information and documents requested by the RFP;
 - (3) A statement affirming specifically all of the representations and warranties set forth in Section XII (Independent Price Determinations) and Section XIII (Offer of Gratuities), below;

(4) All documents must be submitted in a format compatible with Microsoft Word, current version, and affording the user the capability of searching its contents; except that the signature pages and required or necessary forms not conveniently available in Microsoft Word may be provided in PDF format;

(5) The RFP requires submission by email with attachments, for a proposal submission less than 35MB, email to Eileen Meskill, Deputy Attorney General at Eileen.Meskill@ct.gov and Nicole Hart, Paralegal Specialist at Nicole.Hart@ct.gov but note that our email system cannot accept emails over 35MB, and so you may have to break your submission into smaller parts; or submission to an FTP secure file transfer site that we will establish for each submission, but only if you notify us by email (Eileen.Meskill@ct.gov and Muhannad.Alsaqri@ct.gov) of your request to do so no later than **3 pm EST, MAY 18, 2023**. Please do not make this request if your file can be submitted conveniently by email. Note that submissions must still comply with all other requirements, including the requirements that “all documents must be submitted in a format compatible with Microsoft Word, current version, and affording the user the capability of searching its contents; except that the signature pages and required or necessary forms not conveniently available in Microsoft Word may be provided in PDF format.”

Confirmation that an account has been created in the Connecticut Department of Administrative Services (“DAS”) Business Network (“CTSource”) system showing that all required forms have been completed and uploaded. The required forms may include, but may not be limited to: Ethic Affidavits and Certifications *and Workplace Analysis Affirmative Action Report/ Employment Information Forms*. **These documents are included in your CTSource account as fillable forms.** Copies of these completed forms do not need to be submitted with your proposal. Any proposer that does not make the certifications required may be disqualified. Information regarding the DAS CTSource System and required documents can be found at <https://portal.ct.gov/DAS/CTSource/CTSource>.

- (b) Concise answers are encouraged. Responses should be prepared on 8.5 x 11inch paper using at least 12 point type with standard margins.
- (c) The submission of proposals shall constitute, without any further act required of the proposers, UNIVERSITY or the OAG, acceptance of the requirements, administrative stipulations and all of the terms and conditions of this RFP. Proposals must reflect compliance with such requirements. Failure of the proposal to so comply may result in the OAG’s rejection of the proposal. The OAG will reject any proposal that deviates materially from the specifications, terms or conditions of this RFP. Proposers submitting proposals with any minor or immaterial deviations must identify and fully justify such deviations in order for the OAG to consider their proposal.
- (d) No additions or changes to any proposal will be allowed after the proposal

due date, unless the OAG specifically requests such modification. The OAG may, at his option, seek proposer retraction and/or clarification of any discrepancy or contradiction found during the review of proposals.

(e) Information Required in the Proposal:

- (1) Name the primary individuals who would work with the State, and explain their experience, relevant background and anticipated duties. Include brief resumes for each.
- (2) Explain the Service Provider's qualifications in light of the stated criteria detailed above.
- (3) Disclose any past or present assignments, relationships or other employment that your Service Provider or any employee of your Service Provider has or has had that may create a conflict of interest or the appearance of a conflict of interest in serving as counsel for the State in this matter.
- (4) If you find any term or provision of the proposed draft contract in Appendix A unacceptable, identify the term, explain why it is unacceptable, and state whether failure to modify this term would result in your Service Provider's failure to execute a contract in this matter.
- (5) Discuss any pending complaints or investigations, or any made or concluded within the past five (5) years, to or by any regulatory body or court regarding the conduct of your Service Provider or its predecessors, or any of its present or former attorneys or employees.
- (6) State whether your Service Provider owns or operates, or participates in the ownership or operation of, any business entity, affiliate, subsidiary or the like which provides lobbying or any other products or services. If so, state whether that related business entity is a vendor to UConn or has the potential to become a vendor and explain.
- (7) Hourly Fees. For elimination of doubt, NO HOURLY FEES will be paid in connection with this Agreement. However, the Service Provider should maintain records of hours worked, including a description of the task undertaken, the time associated and the timekeeper performing the task. The Service Provider will provide the UNIVERSITY with monthly time reports and preferably utilize legal project management software to provide an overview of cases, work flows, individual work tasks, and reduce risk through automated task population, deadline tracking, and electronic file organization.
- (8) Provide names and contact information of three (3) client references for whom you have performed services reasonably comparable to those sought in this RFP.

- (f) Conformity and Completeness of Proposals. To be considered acceptable, proposals must be complete and conform to all material RFP instructions and conditions. The OAG, in its sole discretion, may reject in whole or in part any proposal if in its judgment the best interests of the State will be served.

IV. Amendment or Cancellation of this RFP

The OAG reserves the right to cancel, amend, modify or otherwise change this RFP at any time if it deems it to be in the best interest of the State to do so.

V. Presentation of Supporting Evidence

Proposers must be prepared to provide evidence of experience, performance, ability, financial resources or other factors as the OAG deems to be necessary or appropriate concerning the performance capabilities represented in their proposals.

VI. Misrepresentation or Default

The OAG may reject the proposal and void any award resulting from this RFP to a Service Provider which makes any material misrepresentation in its proposal or other submittal in connection with this RFP.

VII. Errors

The OAG reserves the right to correct clerical or administrative errors that may be made during the evaluation of proposals or during the negotiation of the contract and to change the contract award accordingly. In addition, the OAG reserves the right to re-evaluate proposals and the award of the contract in light of information either not previously known or otherwise not properly having been taken into account prior to contract award. In any case, this may include, in extreme circumstances, revoking the awarding of the contract already made to a Service Provider and subsequently awarding the contract to another Service Provider.

Such action on the part of the OAG shall not constitute a breach of contract on the part of the OAG since the contract with the initial Service Provider would be deemed void and of no effect as if no contract ever existed between the OAG and such Service Provider.

The OAG may waive minor irregularities found in proposals or allow the proposer to correct them, depending on which is in the best interest of the state. "Minor irregularities" means typographical errors, informalities that are matters of form rather than substance and evident from the proposal itself, and insignificant mistakes that can be waived or corrected without prejudice to other proposers, as determined in the discretion of the OAG.

VIII. Ownership of Proposals

All proposals shall become the sole property of the State and will not be returned.

IX. Execution of Contract

- a. This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP only serves as the instrument through which proposals are solicited. Once the evaluation of the proposals is complete and a Service Provider or Service Providers are selected, the selected proposal and this RFP may then serve as the basis for the Contract(s) that will be negotiated and executed between the OAG and the selected Service Provider(s). If the OAG and the initial selected Service Provider(s) fail to reach agreement on all issues relative to the Contract within a time determined solely by the OAG, then the OAG may commence and conclude contract negotiations with other proposers. The OAG may decide at any time to start this RFP process again.
- b. Pursuant to section 4-252 of the Connecticut General Statutes and Acting

Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:

- i. That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi- public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, 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-publicagency;
 - ii. That no such principals and key personnel of the Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and
 - iii. That the Contractor is submitting bids or proposals without fraud or collusion with any person.
 - iv. This Section IX(b) is set forth here only for purposes of providing notice of the requirements of Conn. Gen. Stat. § 4-252. Accordingly, it is neither intended nor should it be interpreted or relied upon to be a complete and full reiteration of the statute's contents. Any interpretation or understanding of the statute's requirements or content by any party must come only from reading the full text of the statute itself.
- c. Pursuant to section 4a-81 of the Connecticut General Statutes, the person signing this Contract on behalf of the Contractor represents, to their best knowledge and belief and subject to the penalty of false statement as provided in section 53a-157b of the Connecticut General Statutes, that the Contractor has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below or in an attachment to this Contract. "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 contracts. "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 as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes.

Consultant's Name and Title _____ Name of Service Provider (if applicable) _____

Start Date _____

End Date _____

The basic terms of the consulting agreement are:

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

- d. Pursuant to Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, every contractor is required to provide the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the contractor's nondiscrimination agreements and warranties which are included in such contractor's contract pursuant to said statutes.

- e. Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the State has provided to the Contractor the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of this Contract as if the summary had been fully set forth in this Contract; (b) the Contractor represents that the chief executive officer or authorized signatory of the Contract and all key employees of such officer or signatory have read and understood the summary and agree to comply with the provisions of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Contractor shall provide the summary to all subcontractors and consultants and each such contract entered into with a subcontractor or consultant on or after July 1, 2021, shall include a representation that each subcontractor or consultant and the key employees of such subcontractor or consultant have read and understood the summary and agree to comply with the provisions of state ethics law; (d) failure to include such representations in such contracts with subcontractors or consultants shall be cause for termination of the Contract; and (e) each contract with such contractor,

subcontractor or consultant shall incorporate such summary by reference as a part of the contract terms. Contractor (<https://portal.ct.gov/-/media/Ethics/Guides/2021/Contractors-Guide-to-the-Code-of-Ethics-Rev-11-2021.pdf>)

- X. (1) Pursuant to section 4-252a of the Connecticut General Statutes, the Contractor certifies that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date.

(2) If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section then the Contractor shall not be deemed to be in breach of the Contract or in violation of this section. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the Contract.

- XI. In addition, an **IRS W-9** and **State of Connecticut Agency Vendor** forms must be completed and attached to the proposal. Copies of previously submitted IRS W-9 and/or Agency Vendor forms may be resubmitted if the information contained on the forms is still current.

XII. Oral Agreement or Arrangements

Any alleged oral agreements or arrangements made by Service Providers with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

XIII. Independent Price Determinations

In the proposals, Service Providers must warrant, represent, and certify that the following requirements have been met in connection with this RFP:

- a. The fees and costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor.
- b. Unless otherwise required by law, the fees and costs quoted have not been knowingly disclosed by the Service Provider prior to the deadline for submission of proposals directly or indirectly to any other organization or to any competitor; and

- c. No attempt has been made, or will be made, by the Service Provider to induce any other person or Service Provider to submit or not to submit a proposal for the purpose of restricting competition.

XIV. Offer of Gratuities

In the proposals, Service Providers must represent that no elected or appointed official or employee of the State of Connecticut has, or will, benefit financially or materially from the Contract. The Contract may be terminated by the OAG if it is determined that gratuities of any kind were either offered to, or received by, any of state officials or employees from the Service Provider, the law Service Provider's agent(s), representatives(s) or employees(s). Such action on the part of the OAG shall not constitute a breach of contract on the part of the OAG.

XV. Subletting or Assigning of Contract

The Contract or any portion thereof, or the work provided for therein, or the right, title, or interest of the Service Provider therein or thereto may not be sublet, sold, transferred, assigned or otherwise disposed of to any person or entity without the prior written consent of the OAG. No person or entity, other than the Service Provider to which the contract was awarded, is permitted to perform work pursuant to the Contract without the prior written approval of the OAG.

XVI. Freedom of Information

The OAG is a public agency and its records, including responses to this RFP, are public records. See Conn. Gen. Stat. §§ 1-200, et seq., and especially § 1-210(b)(4) and § 1-210(b)(5)(B). Due regard will be given for the protection of proprietary or confidential information contained in all proposals received. However, all materials associated with this RFP are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all applicable rules, regulations and administrative decisions. If a Service Provider is interested in preserving the confidentiality of any part of its proposal, it will not be sufficient merely to state generally in the proposal that the proposal is proprietary or confidential in nature and not, therefore, subject to release to third parties. Instead, those particular sentences, paragraphs, pages or sections that a Service Provider believes to be exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with Section 1-210(b) of the FOIA must accompany the proposal. The rationale and explanation must be stated in terms of the reasons the materials are legally exempt from release pursuant to the FOIA. Service Providers should not request that their entire proposal, nor the majority of the proposal, be confidential. Any submitted proposal, once execution of a contract is complete, and any completed contract will be considered public information. The OAG has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The Service Provider has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall the OAG have any liability for the disclosure of any documents or information in its possession which the OAG believes are required to be disclosed pursuant to the FOIA or other requirements of law.

XVII. Conformance with Federal, State and Other Requirements

In the Contract, the Service Provider will represent and warrant that, at all pertinent and relevant times to the contract, it has been, is and will continue to be in full compliance with all Federal, State, municipal or other governmental department, commission, board, bureau, agency or instrumentality codes, statutes, acts, ordinances, judgments, decrees, injunctions and regulations.

XVIII. Executive Orders and Other Enactments

- a. All references in this Contract to any Federal, State, or local law, statute, public or special act, executive order, ordinance, regulation or code (collectively, "Enactments") shall mean Enactments that apply to the Contract at any time during its term, or that may be made applicable to the Contract during its term. This Contract shall always be read and interpreted in accordance with the latest applicable wording and requirements of the Enactments. Unless otherwise provided by Enactments, the Contractor is not relieved of its obligation to perform under this Contract if it chooses to contest the applicability of the Enactments or the Client Agency's authority to require compliance with the Enactments.
- b. This Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.
- c. This Contract may be subject to (1) Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services; and (2) Executive Order No. 61 of Governor Dannel P. Malloy promulgated December 13, 2017 concerning the Policy for the Management of State Information Technology Projects, as issued by the Office of Policy and Management, Policy ID IT-SDLC-17-04. If any of the Executive Orders referenced in this subsection is applicable, it is deemed to be incorporated into and made a part of this Contract as if fully set forth in it.
- d. This Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.

- e. This Contract may be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services. If applicable, Executive Order No. 14 is deemed to be incorporated into and made a part of this Contract as if fully set forth in it.

XIX. Americans with Disabilities Act

The Service Provider(s) to which contracts are awarded shall comply with the Americans with Disabilities Act and any other applicable federal laws and regulations.

XX. Affirmative Action and Contract Compliance Reporting

Service Providers are advised that in addition to evaluating their qualifications, experience, capabilities, competitiveness of cost and conformance to this RFP specification, weight may also be given to Service Providers which demonstrate a commitment to affirmative action by full compliance with the CHRO regulations.

XXI. Campaign Contribution and Solicitation Ban

For all State contracts, defined in section 9-612 of the Connecticut General Statutes as 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 Contract represents that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice.

APPENDIX A TO REQUEST FOR PROPOSALS 2023-XX

PROFESSIONAL SERVICES AGREEMENT
BETWEEN THE STATE OF CONNECTICUT,
ACTING BY ITS ATTORNEY GENERAL,
AND
[SERVICE PROVIDER NAME]

This Agreement is made by and between the STATE OF CONNECTICUT, acting by its ATTORNEY GENERAL, William Tong, duly authorized pursuant to Section 3-125 of the Connecticut General Statutes, with an office at 165 Capitol Avenue, Hartford, CT 06106 and _____, acting by _____, with its principal place of business at _____ (hereinafter referred to as the (hereinafter referred to as the “CONTRACTOR”).

In consideration of these premises and for other good and valuable consideration, the receipt and sufficiency of which are acknowledged, the parties agree as follows:

SECTION 1: SCOPE OF SERVICES

- 1.1 As assigned by the Attorney General or his designee, the services to be performed by the CONTRACTOR shall consist of the following categories of full service representation, collectively referred to as “Services:”

(1) *Transactional – Intellectual Property – Pre-Litigation Due Diligence*

- a. Review, analyze and interpret existing UNIVERSITY patent portfolio in conjunction with Office of Vice President for Research (OVPR) leadership and team members.
- b. Assist, advise and provide legal counsel to UNIVERSITY in all aspects of patent due diligence and/or review of UNIVERSITY patent portfolio and status including but not limited to freedom to operate, infringement analysis, guidance on effective patent portfolio management strategies and identification of value propositions.
- c. Possess a deep knowledge of the resources spent on research and development of patents to evaluate desirable monetization strategies at sufficient earning points for the UNIVERSITY.
- d. Ability to advise on efficient utilization of UNIVERSITY resources including obsolete and idle patents which possess little or no possibility of marketability.
- e. Ability to advise the UNIVERSITY of the value of potential licenses through deep market analysis including market size determination for products, royalty rate analysis, discounted cash flow analysis, damages analysis and estimation of the net present value of licenses.
- f. Provide direct legal advice and support to the UNIVERSITY concerning

all aspects of due diligence for patent monetization projects including but not limited to finding potential licensees through:

- Evidence of use (EoU) or indication of use (IoU) in a diverse set of technologies that reflect UNIVERSITY's patent portfolio.
- Ability to convert EoUs/IoUs to claims charts with detailed analysis for all claim elements for all relevant claims against products and providing a basis for those claims charts to be considered, Rule 11 charts.
- Ability to perform validity analysis for patents that are ultimately selected in moving forward with a monetization litigation strategy.

(2) *Litigation– Intellectual Property – Project Management*

- a. Assist, advise and provide legal project management to the UNIVERSITY and ATTORNEY GENERAL throughout all pre-suit, active litigation, and post-suit appeals, including management of monetization stakeholders such as law firms, funders, and small and medium-sized entities (SMEs), UNIVERSITY constituents, adverse parties and adverse party counsel.
- b. Demonstrate a high level of command of business processes, document management vendors, and third-party tools to assist the UNIVERSITY and ATTORNEY GENERAL with multiple, and potentially simultaneous, monetization projects. Requisite skills include:
 - Demonstrated business acumen and legal expertise to handle UNIVERSITY technology licensing campaign.
 - Ability to interact and engage with UNIVERSITY faculty and related stakeholders in different disciplines and with varying levels of expertise.
 - Ability to communicate complex technical and legal information clearly and concisely and to convey strategy to UNIVERSITY in a manner that fosters buy-in/consensus at decision-making junctures.

(3) *Litigation – Intellectual Property – Patent Prosecution Litigation*

- a. Provide representation and legal counsel to UNIVERSITY and ATTORNEY GENERAL in all aspects of patent prosecution litigation (the "Actions"), including the provision of professionally excellent, comprehensive, and cutting-edge legal services, or in the case of a patent monetization funding Service Provider, the ability to demonstrate deep and enduring connections and/or contracts with leading US law

firms with patent monetization experience across diverse technology industries.

- b. Service Providers must demonstrate a high level of consistent competency in the following areas:
- Track record of successful patent litigations, familiarity with advantageous forums for commencing patent actions, and a deep understanding of the nuances of patent litigation strategy, risk analysis, including having deep bench of previously vetted legal and subject matter experts with experience in similar patent matters to those in UNIVERSITY portfolio.
 - Ability to work with the entire UConn portfolio and match the technological diversity needed for the UNIVERSITY.
 - Avoidance of conflicts of interest with a diverse set of potential licensees, adverse parties, and adverse counsel.
 - Deep connections and familiarity with a variety of legal experts who can collaborate with UNIVERSITY faculty, address the needs of the broader UNIVERSTIY, and work collaboratively with the ATTORNEY GENERAL.
 - Demonstrated success and ability to defend UNIVERSITY patents across all stages of litigation, in all United States forums and jurisdictions and against all adversaries.
 - Preparation of compelling settlement propositions including detailed royalty analysis, strong licensing terms and meticulous agreements.

(4) Additional Services Inclusive to All Categories

- (a) Conduct all review, analysis, investigation and research necessary to carry out the Services;
- (b) Preparing, writing and providing to the UNIVERSITY, the ATTORNEY GENERAL or his designee all documents and instruments, in electronic, magnetic, paper and any other form, which are necessary or appropriate to carry out said Services;
- (c) Upon receipt of written approval of the ATTORNEY GENERAL and or UNIVERSITY, making all court and agency appearances and filings and representing the State in all related actions, pending or threatened, suits, claims, investigations, legal, administrative, mediation or arbitration proceedings, whether at law or in equity, in

any forum (collectively, "Actions") as determined to be necessary and/or appropriate in consultation with the UNIVERSITY and/or the ATTORNEY GENERAL and/or his designee, including any appeals.

- (d) Providing all necessary expert, technical, paralegal, clerical, document retrieval and analysis and other litigation support, including ability to use discovery management, litigation management or trial management software or information technology that is necessary.
- (e) Providing staff, equipment, and expertise to minimize the administrative burdens imposed on state employees, officials, and agencies in the course of rendering the Services.
- (f) Hiring and consulting with expert witnesses, consultants, mediators and investigators as may be reasonably and necessarily required and as approved by the ATTORNEY GENERAL subject to the following requirements and limitations:
 - (A) Terms of subcontracts over five thousand dollars (\$5000.00) must be approved in writing and in advance by the ATTORNEY GENERAL. In requesting approval, the CONTRACTOR must include the following information:
 - (i) Why it is necessary to hire a subcontractor;
 - (ii) How the proposed subcontractor was selected;
 - (iii) Proposed rates and reimbursements for the subcontractor;
and
 - (iv) Comparison of these rates to those of other qualified subcontractors.
 - (B) Subcontracts or agreements must include terms which are substantially similar to the billing terms in the Compensation and Reimbursement Section of this Agreement.
 - (C) The CONTRACTOR'S bills for subcontracted work must include full detailed itemizations of all fees and expenses for the subcontracted work, with appropriate supporting documentation.
- (g) Perform all tasks under this Agreement in coordination with the UNIVERSITY and ATTORNEY GENERAL.
- (h) Provide all necessary paralegal and clerical support to carry out said Services.

SECTION 2: AGREEMENT ADMINISTRATION

2.1 The person in charge of administering this Agreement on behalf of the ATTORNEY GENERAL is _____, Assistant Attorney General, and his/her successors in office, whose contact information is as follows:

Office of the Attorney General
165 Capitol Avenue
Hartford, CT 06106
Telephone: _____
Email: _____

2.2 The person in charge of administering this Agreement on behalf of [agency] is _____, and his/her successors in office, whose contact information is as follows:

Telephone: _____
Email: _____

2.3 The person in charge of administering this Agreement on behalf of the CONTRACTOR is: _____, whose contact information is as follows:

Telephone: _____
Email: _____

2.4 The professional staff members of the CONTRACTOR primarily responsible for the performance of this Agreement are _____. The CONTRACTOR may not change these individuals without the prior written consent of the ATTORNEY GENERAL.

2.5 Within seven (7) days after receiving a request by the ATTORNEY GENERAL, the CONTRACTOR shall remove from assignment to this Agreement any specified professional or other staff member and, at the ATTORNEY GENERAL'S request, shall augment the remaining staff with such other staff member(s) as is acceptable to the ATTORNEY GENERAL.

SECTION 3: COMPENSATION AND REIMBURSEMENT

3.1 CONTRACTOR shall prosecute this matter on behalf of the State of Connecticut on the fee basis described herein and shall advance all fees and costs of Services provided under this RFP. The State of Connecticut shall under no circumstances be responsible for any fees or costs, including expert fees or information technology fees of any sort, associated with the provision of the Services by CONTRACTOR under this Agreement.

- 3.2 CONTRACTOR may seek to recover in any litigation that may arise as part of the Services, its fees and expenses for Services. In the event the Actions result in judgment for the State of Connecticut, CONTRACTOR shall seek payment of fees and reimbursement of expenses with respect to the Services provided under this Agreement through an award from the Court pursuant to any applicable law. It is expressly understood that any such award will be sought against adverse parties only. In the event CONTRACTOR achieves recovery and/or other remedies on behalf of the State of Connecticut through settlement and/or licensing arrangement, CONTRACTOR will seek payment of fees and reimbursement of expenses from the adverse parties, either by agreement of the adverse parties or order of the court.
- 3.3 All expenses reimbursed out of the proceeds of any litigation, settlement, and/or licensing arrangement, must be reasonable, as determined by the Attorney General, and limited to actual net costs. All fees and expenses should be documented by timekeepers on a daily basis and provided to the UNIVERSITY on a quarterly basis, or as requested by the UNIVERSITY and/or ATTORNEY GENERAL. Prior to seeking fees and expenses by order of any court, CONTRACTOR shall provide the proposed request to the ATTORNEY GENERAL. Upon filing of any such request with the applicable court the ATTORNEY GENERAL is free to take any position he deems warranted.
- 3.4 In addition to actual net costs, the CONTRACTOR may request an additional fee that consists of a portion of the net recovered proceeds (the "CONTINGENCY FEE"). No CONTINGENCY FEE will be paid unless the CONTRACTOR (1) submits a written request for a CONTINGENCY FEE, (2) the UNIVERSITY and ATTORNEY GENERAL agree to pay a CONTINGENCY FEE, and (3) the terms for the CONTINGENCY FEE are memorialized in a separate letter agreement signed by the CONTRACTOR, UNIVERSITY, and ATTORNEY GENERAL.
- 3.5 CONTRACTOR must fully disclose to the Attorney General, in regard to all expenses, the existence of any past, present, or anticipated business or personal relationships between members or employees of contractor and any persons or entities to whom expenses are paid, the existence and nature of any applicable discounts or bonuses, or markups, and any inducements or gifts received by any member or employee of contractor, directly or indirectly, to enter into any agreement resulting in any claimed expenses.
- 3.6 The ATTORNEY GENERAL or his designee or the UNIVERSITY shall approve for payment all undisputed fees and costs in accordance with the terms described herein, as soon as the documentation can properly be

processed in accordance with usual State practice.

- 3.7 Maximum payments under this Agreement shall not exceed actual net costs or the CONTIGENCY FEE. For the elimination of any doubt, if CONTRACTOR does not recover a monetary sum in the Actions sufficient to pay the actual net costs incurred plus the CONTIGENCY FEE, CONTRACTOR will not receive any fee and/or reimbursement for its previously advanced fees and costs related to any Services herein.
- 3.8 The ATTORNEY GENERAL shall have the right, without the need of prior notice to the CONTRACTOR, to assign the performance of some aspect of the Services to an Associate or Assistant Attorney General where the ATTORNEY GENERAL, in his sole discretion, finds that such an assignment would best serve the interests of the State of Connecticut. This assignment shall not be deemed to be a breach of contract by the ATTORNEY GENERAL.
- 3.9 Compensation and reimbursement provided under this Section constitutes full and complete payment for all costs and expenses incurred or assumed by the CONTRACTOR in performing this Agreement. No other costs, expenses or overhead items shall be reimbursed by the UNIVERSITY or ATTORNEY GENERAL without the prior written approval of the UNIVERSITY or ATTORNEY GENERAL or his designee.

SECTION 4: TERMINATION

- 4.1 The ATTORNEY GENERAL, through a duly authorized employee, may terminate the Agreement whenever the ATTORNEY GENERAL makes a written determination that such termination is in the best interests of the State. The ATTORNEY GENERAL shall notify the CONTRACTOR in writing of termination pursuant to this Section, which notice shall specify the effective date of termination and the extent to which the CONTRACTOR must complete performance of the Services prior to such date.
- 4.2 The CONTRACTOR'S entitlement to its previously billed fees and incurred net costs shall survive this Section with compensation paid on a pro-rata basis if the matters for which the CONTRACTOR provided Services conclude successfully and with sufficient monetary judgment to compensate the Service Provider under this Agreement and any Agreement with a future Service Provider rendering services on those same matters.
- 4.3 Upon termination of the Agreement, for any reason, including the expiration of this contract, all rights and obligations shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive termination. All representations, warranties, agreements and rights of the parties under the Agreement shall survive such termination to the extent not otherwise limited in the

Agreement and without each one of them having to be specifically mentioned in the Agreement.

- 4.4 Termination of the Agreement pursuant to this Section shall not be deemed to be a breach of contract by the ATTORNEY GENERAL.
- 4.5 Upon receipt of written notification from the ATTORNEY GENERAL of termination or expiration of this contract, the CONTRACTOR shall immediately cease to perform the Services unless otherwise directed by the ATTORNEY GENERAL or to the extent necessary to prevent the State from failing to make timely filings or otherwise failing to comply with court orders or the law. The Records, as that term is defined in the Indemnification section of this Agreement, are deemed to be the property of the State. The CONTRACTOR shall assemble and deliver to the ATTORNEY GENERAL all Records in electronic, magnetic, paper or any other form, that may be in his possession or custody, and shall transmit the same to the ATTORNEY GENERAL or his designee as soon as possible in a non-proprietary format no later than the fifteenth day following the receipt of the above-written notice, together with a detailed hourly description of the Services performed and expenses reasonably incurred.
- 4.6 The CONTRACTOR, on sixty (60) days' prior written notice to the ATTORNEY GENERAL, may terminate this Agreement.
- 4.7 If the CONTRACTOR terminates this Agreement, the CONTRACTOR shall not be entitled to any fees, costs, expenses, or other compensation for Services that are rendered and/or incurred during any period of this Agreement. For elimination of any doubt, in the event the CONTRACTOR terminates this Agreement for any reason the CONTRACTOR will receive nothing and expressly waives any and all claims for such fees, costs, expenses, or other compensation through the act of its termination.

SECTION 5: TIME OF PERFORMANCE

- 5.1 The CONTRACTOR shall perform the Services at such times and in such sequence as may be reasonably directed by the ATTORNEY GENERAL and the UNIVERSITY.
- 5.2 This Agreement will run from its effective date until the tasks defined and confirmed as set forth in Section 1.1 of this Agreement are performed or completed to the satisfaction of the ATTORNEY GENERAL, or unless sooner terminated in accordance with the Termination section of this Agreement, but in no event beyond five (5) years, unless otherwise amended. Any litigation Services assigned to the CONTRACTOR under this Agreement that have not been completed by the Agreement's end date, shall be allowed to continue to completion with all the terms and conditions of this Agreement set forth herein remaining in full force and effect including any applicable CONTINGENCY FEE agreement, provided a

written amendment has been executed prior to the expiration date of this Agreement.

SECTION 6: SETOFF

- 6.1 In addition to all other remedies that the ATTORNEY GENERAL may have, the ATTORNEY GENERAL, in his sole discretion, may setoff (i) any costs or expenses that the State incurs resulting from the CONTRACTOR'S unexcused non-performance under the Agreement and under any other agreement or arrangement that the CONTRACTOR has with the State and (ii) any other amounts that are due or may become due from the State to the CONTRACTOR, against amounts otherwise due or that may become due to the CONTRACTOR under the Agreement, or under any other agreement or arrangement that the CONTRACTOR has with the State. The State's right of setoff shall not be deemed to be the State's exclusive remedy for the CONTRACTOR'S breach of the Agreement, all of which shall survive any setoffs by the State.

SECTION 7: CROSS DEFAULT

- 7.1 If the CONTRACTOR breaches, defaults or in any way fails to perform satisfactorily under the Agreement, then the ATTORNEY GENERAL may, in his sole discretion, without more and without any action whatsoever required of the ATTORNEY GENERAL, treat any such event as a breach, default or failure to perform under any or all other agreements or arrangements ("Other Agreements") that the CONTRACTOR has with the ATTORNEY GENERAL. Accordingly, the ATTORNEY GENERAL may then exercise at his sole option any and all of its rights or remedies provided for in the Agreement or Other Agreements, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the ATTORNEY GENERAL, as if the CONTRACTOR had suffered a breach, default or failure to perform under the Other Agreements.
- 7.2 If the CONTRACTOR breaches, defaults or in any way fails to perform satisfactorily under any or all Other Agreements with the ATTORNEY GENERAL or the State, then the ATTORNEY GENERAL may, in his sole discretion, without more and without any action whatsoever required of the ATTORNEY GENERAL, treat any such event as a breach, default or failure to perform under the Agreement. Accordingly, the ATTORNEY GENERAL may then exercise at his sole option any and all of its rights or remedies provided for in the Other Agreements or the Agreement, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the ATTORNEY GENERAL or the State, as if the CONTRACTOR had suffered a breach, default or failure to perform under the Agreement.

SECTION 8: REPRESENTATIONS AND WARRANTIES

- 8.1 The CONTRACTOR represents and warrants to the ATTORNEY GENERAL for itself and for the Contractor Agents, as defined in the Indemnification Section of this Agreement, as applicable, that:
- (a) The CONTRACTOR is duly and validly existing under the laws of its state of organization and is authorized to conduct business in the State of Connecticut in the manner contemplated by the Agreement. Further, it has taken all necessary action to authorize the execution, delivery and performance of the proposal and the Agreement and has the power and authority to execute, deliver and perform its obligations under the Agreement;
 - (b) It will comply with all applicable State and Federal laws and municipal ordinances in satisfying its obligations under and pursuant to the Agreement, including, but not limited to Connecticut General Statutes Title 1, Chapter 10, concerning the State's Codes of Ethics; The execution, delivery and performance of the Agreement will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable: (i) any provision of law; (ii) any order of any court or the State; or (iii) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
 - (c) It is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental entity;
 - (d) The CONTRACTOR and Contractor Agents have not, within the three (3) years preceding the Agreement, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract with any governmental entity. This includes, but is not limited to, violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (e) The CONTRACTOR and Contractor Agents are not presently indicted or, to the best of their knowledge, under investigation for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above;
 - (f) The CONTRACTOR and Contractor Agents have not within the three (3) years preceding the Agreement had one or more contracts with any governmental entity terminated for cause;

- (g) To the best of its knowledge, there are no Claims, as defined in the Indemnification Section of this Agreement, involving the CONTRACTOR that might reasonably be expected to materially adversely affect its businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Agreement;
- (h) It shall disclose, to the best of its knowledge, to the ATTORNEY GENERAL in writing any Claims involving them that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Agreement, no later than ten (10) days after becoming aware or after they should have become aware of any such Claims;
- (i) Its participation in the request for proposal process is not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State's Code of Ethics;
- (j) The proposal was not made in connection or concert with any other person, entity or proposer submitting a proposal and is in all respects fair and without collusion or fraud;
- (k) It has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
- (l) It owes no past due unemployment compensation contributions;
- (m) It is not delinquent in the payment of any taxes owed to the State of Connecticut.
- (n) It shall not copy or divulge to any third party any information or any data in any form obtained or produced in connection with the performance of its duties and responsibilities pursuant to this Agreement other than in connection with the performance of those duties and responsibilities. The CONTRACTOR shall keep all confidential or privileged the Records in secured areas and shall take reasonable precautions to protect the Records from the dangers of fire, theft, flood, natural disasters and other physical threats, as well as unauthorized access.
- (o) During the course of this Agreement, the CONTRACTOR shall not represent any other client if such representation will materially affect its duties or obligations to the State of Connecticut or the ATTORNEY GENERAL or create an appearance of impropriety.
- (p) The CONTRACTOR will not knowingly enter into or retain any business relationships or enterprise in which an employee of the ATTORNEY GENERAL holds an interest, other than a nominal

interest in a publicly held corporation, without the prior written consent of the ATTORNEY GENERAL.

SECTION 9: STATUS REPORTS AND RECORDS

- 9.1 Upon written or oral request by the ATTORNEY GENERAL or his designee, the CONTRACTOR will promptly report on the status of the Services performed, including, but not limited to, problems, strategy, analysis and the like.
- 9.2 The above-described reports shall be provided in writing or orally, as directed by the person requiring a work status report.
- 9.3 The CONTRACTOR, upon the request of the ATTORNEY GENERAL or his designee, shall give to the ATTORNEY GENERAL or his designee all original documentation, or, in the sole discretion of the ATTORNEY GENERAL or his designee, copies thereof, filed in the course of, or arising out of, the CONTRACTOR's performance of the Services. The CONTRACTOR shall otherwise maintain all original documentation, or copies thereof in the manner specified in the Representations and Warranties section of this Agreement, for a period of at least six (6) years after the termination of this Agreement.

SECTION 10: INSURANCE

- 10.1 Before commencing performance of the Services, the CONTRACTOR shall obtain and maintain at its own cost and expense for the duration of the Agreement, the following insurance:
 - (a) Commercial General Liability: One million dollars (\$1,000,000) combined single limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include, Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Broad Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply separately to the work covered by this Agreement or the general aggregate limit shall be twice the occurrence limit.
 - (b) Automobile Liability: One million dollars (\$1,000,000) combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the CONTRACTOR does not own an automobile, but one is used in the performance of the Services, then only hired and non-owned coverage is required. If a vehicle is not used in the performance of the Services, then automobile coverage is not required.
 - (c) Workers' Compensation and Employers Liability: Coverage in compliance with applicable workers compensation laws. Coverage shall include Employer's Liability with minimum limits of one hundred

thousand dollars (\$100,000) each accident, five hundred thousand dollars (\$500,000) Disease – Policy limit, one hundred thousand dollars (\$100,000) each employee.

- (d) Professional Liability: The CONTRACTOR shall secure and maintain, at no cost or expense to the State, a professional liability insurance policy in a form acceptable to the ATTORNEY GENERAL in the minimum amount of _____ dollars (\$_____) with a deductible not to exceed _____ (\$_____). This policy shall insure the CONTRACTOR against damages and costs resulting from negligent acts, errors, and omissions in the work performed by the CONTRACTOR on and after the effective date of, and under the terms of, this Agreement. The CONTRACTOR may, at its election, obtain a policy containing a maximum _____ dollars (\$_____) deductible clause, but if so, the CONTRACTOR shall be liable, as stated above herein, to the extent of the deductible amount.

- 102 No later than thirty (30) days after the effective date of this Agreement, the CONTRACTOR shall furnish to the ATTORNEY GENERAL, on a form or forms acceptable to the ATTORNEY GENERAL, a Certificate of Insurance, including amendment(s), fully executed by an insurance company or companies satisfactory to the ATTORNEY GENERAL for the insurance policy or policies required in the Status Reports and Records Section of this Agreement, which policy or policies shall be in accordance with the terms of the Certificate of Insurance.

SECTION 11: INDEMNIFICATION

- 11.1 The CONTRACTOR shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims, as defined below, arising, directly or indirectly, in connection with the Agreement, including the acts of commission or omission (collectively, the "Acts") of the CONTRACTOR or Contractor Agents, as defined below; and (2) liabilities, damages, losses, costs and expenses, including, but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Agreement. The CONTRACTOR shall use attorneys and contractors reasonably acceptable to the State in carrying out its obligations under this Section. The CONTRACTOR'S obligations under this Section to indemnify, defend and hold harmless the State against Claims includes Claims concerning the confidentiality of any part or all of the proposal or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions or articles furnished or used in the performance of the Agreement.
- 11.2 The CONTRACTOR shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the CONTRACTOR or any Contractor Agents. The State shall give the

CONTRACTOR reasonable notice of any such Claims.

- 11.3 The CONTRACTOR'S duties under this Section shall remain fully in effect and binding in accordance with the terms and conditions of the Agreement, without being lessened or compromised in any way, even where the CONTRACTOR is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
- 11.4 The rights provided in this Section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.
- 11.5 This section shall survive the Termination, Cancellation or Expiration of the Agreement, and shall not be limited by reason of any insurance coverage.
- 11.6 The term "Claims" means all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum.
- 11.7 The term "Contractor Agents" means the CONTRACTOR'S members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the CONTRACTOR is in privity of oral or written contract and whom the CONTRACTOR intends to perform services under the Agreement in any capacity.
- 11.8 The term "Records" means all working papers and such other information and materials as may have been accumulated by the CONTRACTOR or Contractor Agents in performing the Agreement, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.
- 11.9 The CONTRACTOR shall not use, raise, or plead the defense of sovereign or governmental immunity in the adjustment or settlement of any Claims against the CONTRACTOR arising out of the work performed under this Agreement, or as a defense in any Claims, unless specifically authorized to do so in writing by the ATTORNEY GENERAL or his designee.

SECTION 12: CHANGES TO THIS AGREEMENT

- 12.1 Any and all amendments, changes, extensions, revisions or discharges of this Agreement, in whole or in part, on one or more occasions, must be in writing and executed by all the parties to this Agreement in order to be enforceable.

SECTION 13: REQUIRED PERSONNEL/OFFICE

- 13.1 On or before the effective date of this Agreement, the CONTRACTOR shall have secured, and shall maintain during the term of this Agreement, all at

its sole cost and expense (i) such appropriately skilled and competent personnel and supporting staff in adequate numbers; and (ii) such equipment as are reasonably necessary or appropriate to fully perform the Services to the satisfaction of the ATTORNEY GENERAL.

132 The personnel shall not be employees of or have any contractual relationship with the ATTORNEY GENERAL.

133 All the Services shall be performed by the CONTRACTOR or under its supervision, and all personnel engaged in the Services shall be fully qualified and shall be authorized or permitted under law to perform the applicable Services.

SECTION 14: NONDISCRIMINATION

14.1 (a) For purposes of this Section, the following terms are defined as follows:

- i. "Commission" means the Commission on Human Rights and Opportunities;
- ii. "Contract" and "contract" include any extension or modification of the Contract or contract;
- iii. "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
- iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
- v. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- vii. "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- viii. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;

- ix. “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 members of a minority, as such term is defined in subsection (a) of Conn.Gen. Stat. § 32-9n; and
- x. “public works contract” means any agreement between any individual, Service Provider or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms “Contract” and “contract” do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, unless the contract is a municipal public works contract or a quasi-public agency project contract, (2) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. § 1-267, (3) the federal government, (4) a foreign government, or (5) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), or (4).

- (b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status as a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status as a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all

solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an “affirmative action equal opportunity employer” in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers’ representative of the Contractor’s commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Conn. Gen. Stat. §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Conn. Gen. Stat. § 46a-56. If the contract is a public works contract, municipal public works contract or contract for a quasi-public agency project, the Contractor agrees and warrants that he or she will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works or quasi-public agency projects.

- (c) Determination of the Contractor’s good faith efforts shall include, but shall not be limited to, the following factors: The Contractor’s employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (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 (b) 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 a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 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.

- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g) (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 on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Conn. Gen. Stat. § 46a-56.
- (h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 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.

- (i) Pursuant to subsection (c) of section 4a-60 and subsection (b) of section 4a-60a of the Connecticut General Statutes, the Contractor, for itself and its authorized signatory of this Contract, affirm that it understands the obligations of this section and that it will maintain a policy for the duration of the Contract to assure that the Contract will be performed in compliance with the nondiscrimination requirements of such sections. The Contractor and its authorized signatory of this Contract demonstrate their understanding of this obligation by (A) having provided an affirmative response in the required online bid or response to a proposal question which asks if the contractor understands its obligations under such sections, and/or (B) signing this Contract.

SECTION 15: CAMPAIGN CONTRIBUTIONS

- 15.1 For all State contracts, defined in section 9-612 of the Connecticut General Statutes as 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 Contract represents that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice.

SECTION 16: APPLICABLE EXECUTIVE ORDERS OF THE GOVERNOR

- 16.1 All references in this Contract to any Federal, State, or local law, statute, public or special act, executive order, ordinance, regulation or code (collectively, "Enactments") shall mean Enactments that apply to the Contract at any time during its term, or that may be made applicable to the Contract during its term. This Contract shall always be read and interpreted in accordance with the latest applicable wording and requirements of the Enactments. Unless otherwise provided by Enactments, the Contractor is not relieved of its obligation to perform under this Contract if it chooses to contest the applicability of the Enactments or the Client Agency's authority to require compliance with the Enactments.
- 16.2 This Contract is subject to the provisions of Executive Order No. 3 of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.

- 16.3 This Contract may be subject to (1) Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services; and (2) Executive Order No. 61 of Governor Dannel P. Malloy promulgated December 13, 2017 concerning the Policy for the Management of State Information Technology Projects, as issued by the Office of Policy and Management, Policy ID IT-SDLC-17-04. If any of the Executive Orders referenced in this subsection is applicable, it is deemed to be incorporated into and made a part of this Contract as if fully set forth in it.

SECTION 17: LARGE STATE CONTRACT REPRESENTATION FOR CONTRACTOR

- 17.1 Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:
- (1) That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi- public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, 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 Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and
 - (3) That the Contractor is submitting bids or proposals without fraud or collusion with any person.

SECTION 18: LARGE STATE CONTRACT REPRESENTATION FOR OFFICIAL OR EMPLOYEE OF STATE AGENCY

- 18.1 Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the State agency official or employee represents that the selection of the person, Service Provider or corporation was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

SECTION 19: CONSULTING AGREEMENT REPRESENTATIONS

19.1 Pursuant to section 4a-81 of the Connecticut General Statutes, the person signing this Contract on behalf of the Contractor represents, to their best knowledge and belief and subject to the penalty of false statement as provided in section 53a-157b of the Connecticut General Statutes, that the Contractor has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below or in an attachment to this Contract. "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 contracts. "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 as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes.

Consultant's Name and Title
(applicable)

Name of Service Provider (if
applicable)

Start Date

End Date

Cost

The basic terms of the consulting agreement are:

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

SECTION 20: SUMMARY OF STATE ETHICS LAWS

20.1 Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the State has provided to the Contractor the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of this Contract as if the summary had

been fully set forth in this Contract; (b) the Contractor represents that the chief executive officer or authorized signatory of the Contract and all key employees of such officer or signatory have read and understood the summary and agree to comply with the provisions of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Contractor shall provide the summary to all subcontractors and consultants and each such contract entered into with a subcontractor or consultant on or after July 1, 2021, shall include a representation that each subcontractor or consultant and the key employees of such subcontractor or consultant have read and understood the summary and agree to comply with the provisions of state ethics law; (d) failure to include such representations in such contracts with subcontractors or consultants shall be cause for termination of the Contract; and (e) each contract with such contractor, subcontractor or consultant shall incorporate such summary by reference as a part of the contract terms.

SECTION 21: IRAN ENERGY INVESTMENT CERTIFICATION

21.1 Pursuant to section 4-252a of the Connecticut General Statutes, the Contractor certifies that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date.

21.2 If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section then the Contractor shall not be deemed to be in breach of the Contract or in violation of this section. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the Contract.

SECTION 22: CONFIDENTIALITY

22.1 All of the reports, information, data, and other papers and materials, in whatever form, prepared or assembled by the CONTRACTOR under this Agreement are confidential, and the CONTRACTOR shall not make them available to any individual or organization, other than in connection with the performance of those duties and responsibilities, without the prior written approval of the ATTORNEY GENERAL or his designee.

22.2 The ATTORNEY GENERAL will afford due regard to any request of the CONTRACTOR for the protection of proprietary or confidential information which the ATTORNEY GENERAL receives from the CONTRACTOR. However, all materials associated with the Agreement are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. In making such a request, the CONTRACTOR may not merely state generally that the

materials are proprietary or confidential in nature and not, therefore, subject to release to third parties. Those particular sentences, paragraphs, pages or sections that the CONTRACTOR believes are exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA must accompany the request. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the CONTRACTOR that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the FOIA. To the extent that any other provision or part of the Agreement, especially including the Records, conflicts or is in any way inconsistent with this Section, this Section controls and shall apply and the conflicting provision or part shall not be given effect. The ATTORNEY GENERAL shall not have any obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The CONTRACTOR shall have the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall the ATTORNEY GENERAL or the State have any liability for the disclosure of any documents or information in its possession which the ATTORNEY GENERAL believes are required to be disclosed pursuant to the FOIA or other requirements of law.

SECTION 23: MISCELLANEOUS

- 23.1 The sole and exclusive means for the presentation of any Claim, as defined in the Indemnification Section of this Agreement, against the State arising from this Agreement shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State). The CONTRACTOR shall not initiate any legal proceedings in any State or Federal Court in addition to, or in lieu of, said Chapter 53 proceedings.
- 23.2 The Agreement shall be deemed to have been made in the City of Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of the Agreement to be, and that it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that Chapter 53 of the Connecticut General Statutes does not apply and to the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The CONTRACTOR waives any objection which it may now have or will have to the laying of venue of any Claims, as defined in the Indemnification Section of this Agreement, in any forum and further irrevocably submits to such jurisdiction in any suit,

action or proceeding.

- 23.3 The parties each bind themselves, their partners, successors, assigns, and legal representatives with respect to all covenants of this Agreement.
- 23.4 This Agreement incorporates all the understandings of the parties and supersedes any and all agreements relating to the Services and reached by the parties prior to the effective date of this Agreement, whether oral or written.
- 23.5 If any provision of this Agreement, or application to any party or circumstances, is held invalid by any court of competent jurisdiction, the balance of the provisions of this Agreement, or their application to any party or circumstances, shall not be affected, but only if the balance of the provisions of this Agreement would then continue to conform to the requirements of applicable laws.
- 23.6 The ATTORNEY GENERAL and the CONTRACTOR shall not be excused from their obligation to perform in accordance with the Agreement except in the case of force majeure events and as otherwise provided for in the Agreement. In the case of any such exception, the nonperforming party shall give immediate written notice to the other, explaining the cause and probable duration of any such nonperformance. "Force majeure events" shall be defined as events that materially affect the time schedule within which to perform and are outside the control of the party asserting that such an event has occurred, including, but not limited to, labor troubles unrelated to the CONTRACTOR, failure of or inadequate permanent power, unavoidable casualties, fire not caused by the CONTRACTOR, extraordinary weather conditions, disasters, riots, acts of God, insurrection or war.
- 23.7 The CONTRACTOR shall not refer to services provided to the State for advertising or promotional purposes, including, but not limited to, posting any material or data on the Internet, without the ATTORNEY GENERAL'S prior written approval.
- 23.8 The CONTRACTOR shall notify the ATTORNEY GENERAL in writing no later than ten (10) days from the effective date of any change in (i) its certificate of incorporation or other organizational document or (ii) a controlling interest in the ownership of the CONTRACTOR. No such change shall relieve the CONTRACTOR of any responsibility for the accuracy and completeness of the performance. The CONTRACTOR shall deliver such documents to the ATTORNEY GENERAL in accordance with the terms of the ATTORNEY GENERAL'S written request. The ATTORNEY GENERAL may also require, and the CONTRACTOR shall deliver, a financial statement showing that solvency of the CONTRACTOR is maintained.
- 23.9 The parties shall provide such information, execute and deliver any instruments and documents, and take such other actions as may be

necessary or reasonably requested by the other party which are not inconsistent with the provisions of this Agreement and which do not involve the vesting of rights or assumption of obligations other than those provided for in the Agreement, in order to give full effect to the Agreement and to carry out the intent of the Agreement.

- 23.10 The CONTRACTOR shall maintain accurate Records and shall make all of the Records available at all reasonable hours for audit and inspection by the State. This includes, but is not limited to accurate records and accounts of all expenditures under this Agreement as well as satisfactory evidence of payment to assure proper accounting. Such records and accounts shall be kept in the manner specified in the Representations and Warranties Section, made available for at least six years after the termination of this Agreement, and shall be made available and furnished upon request to the ATTORNEY GENERAL or his designee on or before the tenth business day following the date of the written request. The CONTRACTOR will cooperate fully with any and all audit or review of billing by the ATTORNEY GENERAL or any other agency, person, or entity acting on behalf of the ATTORNEY GENERAL or the STATE, and shall, upon request, provide billing in a format which will facilitate audit or review.
- 23.11 The CONTRACTOR shall continue to perform its obligations under the Agreement while any dispute concerning the Agreement is being resolved.
- 23.12 The CONTRACTOR shall be responsible for the entire performance under the Agreement. The CONTRACTOR shall be the sole point of contact concerning the management of the Agreement, including performance and payment issues. The CONTRACTOR is solely and completely responsible for adherence by the Contractor Agents to all applicable provisions of the Agreement.
- 23.13 The waiver of a term or condition by the ATTORNEY GENERAL or his designee shall not (i) entitle the CONTRACTOR to any future waivers of the same or different terms or conditions; (ii) impose any duties, obligations or responsibilities on the ATTORNEY GENERAL or any State department or agency not already in the Agreement, as amended, modified or superseded; or (iii) subject the ATTORNEY GENERAL or the State of Connecticut or any department or agency thereof to any Claims.
- 23.14 If a disagreement arises between the parties to this Agreement as to whether or not the CONTRACTOR has or may, in the foreseeable future, have a conflict of interest or there exists or may exist in the foreseeable future, an appearance of impropriety, the ATTORNEY GENERAL'S determination shall be final and dispositive of the issue. Where the ATTORNEY GENERAL determines that the CONTRACTOR'S representation of any client constitutes a conflict of interest, or creates an appearance of impropriety, the CONTRACTOR shall, within five (5) days of the posting of notice by the ATTORNEY GENERAL or his designee to the CONTRACTOR, withdraw from the representation of the client, unless such

a withdrawal is barred by law or order of a court of competent jurisdiction or the ATTORNEY GENERAL waives such conflict. Nothing in this subsection shall be construed as restricting or otherwise limiting the CONTRACTOR'S rights under the Termination Section of this Agreement.

- 23.15 Unless the ATTORNEY GENERAL designates otherwise in writing, all Records generated or collected by the CONTRACTOR, the Contractor's Agent or any subcontractor, in the scope of their work under this Agreement are the exclusive property of the State of Connecticut and no one else shall have any right, including but not limited to, intellectual property, copyright and trademark rights, in those Records.
- 23.16 The CONTRACTOR acknowledges that the ATTORNEY GENERAL has relied upon all of the CONTRACTOR'S representations in its proposal, submitted in response to the ATTORNEY GENERAL'S Request for Proposals concerning this matter and all subsequent information supplied to the ATTORNEY GENERAL in writing thereafter, as the basis for entering into this Agreement with the CONTRACTOR. Any material misrepresentation, omission, mistake or error in those submittals shall be deemed to be a breach of this Agreement, which the ATTORNEY GENERAL may, in his sole discretion, waive or afford the CONTRACTOR the opportunity to cure in accordance with the written notice of such breach sent to the CONTRACTOR.
- 23.17 References in the masculine gender shall also be construed to apply to the feminine and neutral genders, as the content requires.
- 23.18 The parties acknowledge and agree that nothing in the ATTORNEY GENERAL'S request for proposals or the Agreement shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the Agreement. To the extent that this Section conflicts with any other section, this Section shall govern.
- 23.19 Any notice required or permitted to be given under this Agreement shall be deemed to have been given when hand delivered or one (1) business day after pickup by any express delivery service. Such notice must be addressed to the persons identified in the Agreement Administration Section of this Agreement, or to such other person or address as either party may designate by giving notice in writing to the other party. Telephone and facsimile numbers are for informational purposes only. Effective notice will be deemed given only as provided above. All notices, demands, requests, consents, approvals or other communications required or permitted to be given or which are given with respect to this Agreement (for the purpose of this Section collectively called "Notices") shall be deemed to have been effected at such time as the notice is placed in the U.S. mail, first class and postage pre-paid, return receipt requested, or placed with a

recognized express delivery service that provides for a return receipt. All such Notices shall be in writing and shall be addressed as follows:

If to the ATTORNEY GENERAL:

Attention: _____

If to the CONTRACTOR:

Attention: _____

23.20 The captions in this Agreement are inserted only as a matter of convenience and for reference and in no way define, limit or describe the scope of this Agreement or the scope of content of any of its provisions.

23.21 Time is of the essence in this Agreement.

23.22 This Agreement may be executed and delivered in any number of counterparts, each of which so executed and delivered shall be deemed to be an original and all of which shall constitute one and the same instrument.

IN WITNESS WHEREOF, the parties have executed two (2) counterparts of this Agreement.

SERVICE PROVIDER

By: _____

STATE OF CONNECTICUT

Date

By: _____
William Tong, Attorney General

ATTORNEY GENERAL STATE OF CONNECTICUT

ORIGINAL

Request for Proposals for Legal Services

RFP # 2023-03

**(Representation of the University of Connecticut
in Matters Related to Patent Services)**

The State of Connecticut, Office of the Attorney General, is seeking proposals to provide certain legal services involving representation of the University of Connecticut in one or more categories of services related to intercollegiate athletic programming and Title IX compliance. **PROPOSALS ARE DUE BY MAY 22, 2023, at 4:30 p.m. Eastern Time (ET), as detailed in the Request for Proposals.**

This Request for Proposals is available online at <https://portal.ct.gov/AG/RFPs>.

WILLIAM TONG, Attorney General

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**REQUEST FOR PROPOSALS
BY THE STATE OF
CONNECTICUT OFFICE OF
THE ATTORNEY GENERAL**

**Representation of the University of Connecticut
in Matters Related to Legal Services
RFP# 2023-03**

The State of Connecticut, Office of the Attorney General is seeking proposals to provide certain legal services for the State of Connecticut, University of Connecticut.

SCOPE OF SERVICES

- a. The Attorney General of Connecticut, pursuant to Conn. Gen. Stat. § 3-125, invites proposals from appropriately qualified service providers to furnish services to the State of Connecticut, University of Connecticut (“University” or “UConn”), in all of the following categories:

For purposes of this RFP, the “Service Provider” must be either a full-service law firm with an established litigation funder; or a patent monetization funding service with an established relationship with outside legal counsel; either of which must be able to provide full scale representation.

For all services described below, the Service Provider must be capable of funding the totality of services rendered on a CONTINGENCY BASIS without the UNIVERSITY incurring any out-of-pocket expenses.

(1) *Transactional – Intellectual Property – Pre-Litigation Due Diligence*

- a. Review, analyze and interpret existing UNIVERSITY patent portfolio in conjunction with Office of Vice President for Research (OVPR) leadership and team members.
- b. Assist, advise and provide legal counsel to UNIVERSITY in all aspects of patent due diligence and/or review of UNIVERSITY patent portfolio and status including but not limited to freedom to operate, infringement analysis, guidance on effective patent portfolio management strategies and identification of value propositions.
- c. Possess a deep knowledge of the resources spent on research and development of patents to evaluate desirable monetization strategies at sufficient earning points for the UNIVERSITY.
- d. Ability to advise on efficient utilization of UNIVERSITY resources including obsolete and idle patents which possess little or no possibility of marketability.

- e. Ability to advise the UNIVERSITY of the value of potential licenses through deep market analysis including market size determination for products, royalty rate analysis, discounted cash flow analysis, damages analysis and estimation of the net present value of licenses.
- f. Provide direct legal advice and support to the UNIVERSITY concerning all aspects of due diligence for patent monetization projects including but not limited to finding potential licensees through:
 - Evidence of use (EoU) or indication of use (IoU) in a diverse set of technologies that reflect UNIVERSITY's patent portfolio.
 - Ability to convert EoUs/IoUs to claims charts with detailed analysis for all claim elements for all relevant claims against products and providing a basis for those claims charts to be considered, Rule 11 charts.
 - Ability to perform validity analysis for patents that are ultimately selected in moving forward with a monetization litigation strategy.

(2) *Litigation– Intellectual Property – Project Management*

- a. Assist, advise and provide legal project management to the UNIVERSITY and ATTORNEY GENERAL throughout all pre-suit, active litigation, and post-suit appeals, including management of monetization stakeholders such as law firms, funders, and small and medium-sized entities (SMEs), UNIVERSITY constituents, adverse parties, and adverse party counsel.
- b. Demonstrate a high level of command of business processes, document management vendors, and third-party tools to assist the UNIVERSITY and ATTORNEY GENERAL with multiple, and potentially simultaneous, monetization projects. Requisite skills include:
 - Demonstrated business acumen and legal expertise to handle UNIVERSITY technology licensing campaign.
 - Ability to interact and engage with UNIVERSITY faculty and related stakeholders in different disciplines and with varying levels of expertise.
 - Ability to communicate complex technical and legal information clearly and concisely and to convey strategy to UNIVERSITY in a manner that fosters buy-in/consensus at decision-making junctures.

(3) *Litigation – Intellectual Property – Patent Prosecution Litigation*

- a. Provide representation and legal counsel to UNIVERSITY and ATTORNEY GENERAL in all aspects of patent prosecution litigation, including the provision of professionally excellent, comprehensive, and cutting-edge legal services, or in the case of a patent monetization funding Service Provider, the ability to demonstrate deep and enduring connections and/or contracts with leading US law firms with patent monetization experience across diverse technology industries.
- b. Service Providers must demonstrate a high level of consistent competency in the following areas:
 - Track record of successful patent litigations, familiarity with advantageous forums for commencing patent actions, and a deep understanding of the nuances of patent litigation strategy, risk analysis, including having deep bench of previously vetted legal and subject matter experts with experience in similar patent matters to those in UNIVERSITY portfolio.
 - Ability to work with the entire UConn portfolio and match the technological diversity needed for the UNIVERSITY.
 - Avoidance of conflicts of interest with a diverse set of potential licensees, adverse parties, and adverse counsel.
 - Deep connections and familiarity with a variety of legal experts who can collaborate with UNIVERSITY faculty, address the needs of the broader UNIVERSTIY, and work collaboratively with the ATTORNEY GENERAL.
 - Demonstrated success and ability to defend UNIVERSITY patents across all stages of litigation, in all United States forums and jurisdictions and against all adversaries.
 - Preparation of compelling settlement propositions including detailed royalty analysis, strong licensing terms and meticulous agreements.

TERM AND AMOUNT OF CONTRACT

Contracts awarded pursuant to this RFP will have an initial term (“Term”) of five (5) years, with an option to extend, by mutual consent, for one additional one (1) year period for a total of six (6) years, unless otherwise amended. The total value of contracts awarded will be on a contingency only basis with specific contingency terms to be agreed upon jointly by the Service Provider, the UNIVERSITY and/or ATTORNEY GENERAL during execution of a Professional Services Agreement (hereinafter referred to as “Contract” or “Agreement”). Once services commence under an Agreement, that

Agreement shall survive the Term described herein until final resolution of all litigated matters undertaken. These awards are not necessarily exclusive. The OAG reserves the right during the terms of these contracts to solicit and request additional proposals for legal services in the same or other areas of practice.

Attached as Appendix A is the UNIVERSITY's proposed Professional Services Agreement. When submitting a response to this RFP, the Service Provider should revise the letter as necessary. Submitted revisions will be discussed during the selection process and will be accepted or rejected at the sole discretion of the UNIVERSITY and/or ATTORNEY GENERAL. Submission of revisions is not deemed acceptance by the UNIVERSITY. Any revisions that are not submitted with the RFP response will be rejected.

Proposals must be received by the OAG by 4:30 p.m., Eastern Time (ET), on **MAY 22, 2023**. The OAG may invite some Service Providers to attend an interview shortly thereafter.

An evaluation committee will evaluate the proposals in accordance with the selection criteria set forth in this RFP, which explains other terms and requirements. The selected Service Provider(s) must enter into a contract with the OAG, substantially in the form of the draft contract set out in Appendix A. The OAG encourages minority, women-owned, and disadvantaged businesses to apply.

All communication with the OAG must be undertaken only as specified in this RFP.

SELECTION CRITERIA

The evaluation committee will evaluate Service Providers on the basis of any or all of the following: (1) their written responses to this RFP; (2) additional written information requested by the OAG; and (3) oral interviews. The goal of the evaluation will be to select the Service Provider or Service Providers which provide the best combination of qualifications, relevant experience, and cost.

The evaluation committee will also consider the following non-exclusive factors in making its determination:

- For all proposals:
 - Equal employment opportunity record as evidenced by the composition of Service Provider personnel and the Service Provider's affirmative action and equal employment opportunity policies and practices;
 - Record of compliance with all applicable ethical rules and rules of professional conduct;
 - The Service Provider's financial resources and commitment to carry out this undertaking, including any litigation which may result, and all associated fees, costs and expenses, to a successful completion on the basis of a fee arrangement in accordance with Section 3 of Appendix A;
 - Commitment to continuing client education through website information, blogs, webinars, in-person seminars, and participation in relevant professional organizations, such as the National Association of College and University Attorneys ("NACUA");
 - Ability to fully participate in all necessary discovery and litigation tasks both within and outside the State of Connecticut;
 - Ability to muster sufficient resources to respond to significant motions practice and discovery demands propounded by potential defendants;
 - Qualifications of personnel, including the experience and availability of the lead attorneys and the breadth and depth of other partners, associates and other professionals available to provide services to the State;
 - Demonstrated ability to work closely and cooperatively with clients in meetings and negotiation sessions;
 - Team organization and approach, including the ability of the Service Provider or Service Providers to adequately staff and promptly and vigorously pursue the litigation to conclusion;
 - Depth and quality of experience in serving as litigation and/or patent counsel to a variety of clients including large public institutions or other comparable clients;

- Qualifications and number of staff who will be assigned to this matter, including the percentage of their time to be devote to this matter;
- Licensure, or ability to obtain licensure or admission pro hac vice, as necessary to render the requested services;
- Results of reference checking;
- Reasonableness of rates and method of compensation proposed, and demonstrated efficiency in providing sound advice and counsel without unnecessary or excessive charges. Among substantially equally qualified proposers, rates and efficiency will weigh heavily in making a selection;
- Providing effective representation in Intellectual Property related litigation and specifically, patent prosecution matters.
- Assistance in resolving alleged patent infringement actions.
- Advising large public institutions in the ongoing review and evaluation of the entity's patent portfolio.
- Experience evaluating and negotiating licensing opportunities, including agreements with large professional licensing management and rights companies:
- Experience in resolving disputes involving alleged patent infringement with large commercial entities in the biomedical, entertainment, and manufacturing industries.
- Experience negotiating and resolving litigation through alternative dispute mechanisms such as pre-trial mediation and/or settlement.
- Workforce diversity, as evidenced by the Service Provider's current workforce diversity and its explanation of its current diversity and any plans or efforts it describes to improve or broaden its diversity; and
- Demonstrated successful utilization of legal research subscription services, document management systems, cybersecurity technology and
- A responsive Service Provider will not be considered to have an irreconcilable conflict of interest because its employees, including associated attorneys, have in the past brought or are currently bringing a claim, dispute, demand and/or litigation against the State of Connecticut, whether in court, mediation or arbitration, so long as that litigation does not concern the Service Provider's involvement in matters adverse to the State within the scope of described services sought in this RFP. However, all potential conflicts with the State of Connecticut must be fully described and discussed in the proposal.

INSTRUCTIONS TO PROPOSERS

I. Proposals Schedule

Release of RFP: **APRIL 19, 2023**

Proposals due: **MAY 22, 2023**

From the date the OAG issues this RFP until the date that it awards the contract to the successful proposer, interested parties should not contact any employee of the State of Connecticut for additional information concerning this RFP, except in writing directed only to Eileen Meskill, Deputy Attorney General, and Nicole Hart, Paralegal Specialist via email at Eileen.Meskill@ct.gov and Nicole.Hart@ct.gov. Interested parties should submit questions no later than **MAY 1, 2023**. Answers will be posted by **MAY 8, 2023**. Late questions may not receive answers. The OAG will answer questions only in the form of one or more addenda to this RFP posted on its website, at <https://portal.ct.gov/AG/RFPs>. Proposers have the responsibility to review that location for any addenda to this RFP.

For technical questions only, concerning issues or problems with access to or downloading of this RFP and associated information from the website, proposers may contact Muhannad Alsaqri by e-mail at Muhannad.Alsaqri@ct.gov.

II. Sealed Proposals

Proposers must submit an original copy of their proposal electronically to person(s) below, arriving no later than MAY 22, 2023, at 4:30 p.m. Eastern Time (ET). Proposals will not be publicly opened on the due date. Proposals received after that time may not be accepted. Postmark dates will not be considered as the basis for meeting any submission deadline. All proposals and other communications with the State regarding this RFP must be submitted in writing and clearly identify this RFP. Any material received that does not conform to this provision may not be considered.

Email to Eileen Meskill, Deputy Attorney General at Eileen.Meskill@ct.gov with a copy to Nicole Hart, Paralegal Specialist at Nicole.Hart@ct.gov.

Subject: Proposal to RFP # 2023-03, UConn – Patent Related Services

III. Submission of Proposals

- (a) To be considered, all submissions must include all of the following:
- (1) A list of the Categories for which the Service Provider is submitting a proposal;
 - (2) All information and documents requested by the RFP;
 - (3) A statement affirming specifically all of the representations and warranties set forth in Section XII (Independent Price Determinations) and Section XIII (Offer of Gratuities), below;

(4) All documents must be submitted in a format compatible with Microsoft Word, current version, and affording the user the capability of searching its contents; except that the signature pages and required or necessary forms not conveniently available in Microsoft Word may be provided in PDF format;

(5) The RFP requires submission by email with attachments, for a proposal submission less than 35MB, email to Eileen Meskill, Deputy Attorney General at Eileen.Meskill@ct.gov and Nicole Hart, Paralegal Specialist at Nicole.Hart@ct.gov but note that our email system cannot accept emails over 35MB, and so you may have to break your submission into smaller parts; or submission to an FTP secure file transfer site that we will establish for each submission, but only if you notify us by email (Eileen.Meskill@ct.gov and Muhannad.Alsaqri@ct.gov) of your request to do so no later than **3 pm EST, MAY 18, 2023**. Please do not make this request if your file can be submitted conveniently by email. Note that submissions must still comply with all other requirements, including the requirements that “all documents must be submitted in a format compatible with Microsoft Word, current version, and affording the user the capability of searching its contents; except that the signature pages and required or necessary forms not conveniently available in Microsoft Word may be provided in PDF format.”

Confirmation that an account has been created in the Connecticut Department of Administrative Services (“DAS”) Business Network (“CTSource”) system showing that all required forms have been completed and uploaded. The required forms may include, but may not be limited to: Ethic Affidavits and Certifications *and Workplace Analysis Affirmative Action Report/ Employment Information Forms*. **These documents are included in your CTSource account as fillable forms**. Copies of these completed forms do not need to be submitted with your proposal. Any proposer that does not make the certifications required may be disqualified. Information regarding the DAS CTSource System and required documents can be found at <https://portal.ct.gov/DAS/CTSource/CTSource>.

- (b) Concise answers are encouraged. Responses should be prepared on 8.5 x 11inch paper using at least 12 point type with standard margins.
- (c) The submission of proposals shall constitute, without any further act required of the proposers, UNIVERSITY or the OAG, acceptance of the requirements, administrative stipulations and all of the terms and conditions of this RFP. Proposals must reflect compliance with such requirements. Failure of the proposal to so comply may result in the OAG’s rejection of the proposal. The OAG will reject any proposal that deviates materially from the specifications, terms or conditions of this RFP. Proposers submitting proposals with any minor or immaterial deviations must identify and fully justify such deviations in order for the OAG to consider their proposal.
- (d) No additions or changes to any proposal will be allowed after the proposal

due date, unless the OAG specifically requests such modification. The OAG may, at his option, seek proposer retraction and/or clarification of any discrepancy or contradiction found during the review of proposals.

(e) Information Required in the Proposal:

- (1) Name the primary individuals who would work with the State, and explain their experience, relevant background and anticipated duties. Include brief resumes for each.
- (2) Explain the Service Provider's qualifications in light of the stated criteria detailed above.
- (3) Disclose any past or present assignments, relationships or other employment that your Service Provider or any employee of your Service Provider has or has had that may create a conflict of interest or the appearance of a conflict of interest in serving as counsel for the State in this matter.
- (4) If you find any term or provision of the proposed draft contract in Appendix A unacceptable, identify the term, explain why it is unacceptable, and state whether failure to modify this term would result in your Service Provider's failure to execute a contract in this matter.
- (5) Discuss any pending complaints or investigations, or any made or concluded within the past five (5) years, to or by any regulatory body or court regarding the conduct of your Service Provider or its predecessors, or any of its present or former attorneys or employees.
- (6) State whether your Service Provider owns or operates, or participates in the ownership or operation of, any business entity, affiliate, subsidiary or the like which provides lobbying or any other products or services. If so, state whether that related business entity is a vendor to UConn or has the potential to become a vendor and explain.
- (7) Hourly Fees. For elimination of doubt, NO HOURLY FEES will be paid in connection with this Agreement. However, the Service Provider should maintain records of hours worked, including a description of the task undertaken, the time associated and the timekeeper performing the task. The Service Provider will provide the UNIVERSITY with monthly time reports and preferably utilize legal project management software to provide an overview of cases, work flows, individual work tasks, and reduce risk through automated task population, deadline tracking, and electronic file organization.
- (8) Provide names and contact information of three (3) client references for whom you have performed services reasonably comparable to those sought in this RFP.

- (f) Conformity and Completeness of Proposals. To be considered acceptable, proposals must be complete and conform to all material RFP instructions and conditions. The OAG, in its sole discretion, may reject in whole or in part any proposal if in its judgment the best interests of the State will be served.

IV. Amendment or Cancellation of this RFP

The OAG reserves the right to cancel, amend, modify or otherwise change this RFP at any time if it deems it to be in the best interest of the State to do so.

V. Presentation of Supporting Evidence

Proposers must be prepared to provide evidence of experience, performance, ability, financial resources or other factors as the OAG deems to be necessary or appropriate concerning the performance capabilities represented in their proposals.

VI. Misrepresentation or Default

The OAG may reject the proposal and void any award resulting from this RFP to a Service Provider which makes any material misrepresentation in its proposal or other submittal in connection with this RFP.

VII. Errors

The OAG reserves the right to correct clerical or administrative errors that may be made during the evaluation of proposals or during the negotiation of the contract and to change the contract award accordingly. In addition, the OAG reserves the right to re-evaluate proposals and the award of the contract in light of information either not previously known or otherwise not properly having been taken into account prior to contract award. In any case, this may include, in extreme circumstances, revoking the awarding of the contract already made to a Service Provider and subsequently awarding the contract to another Service Provider.

Such action on the part of the OAG shall not constitute a breach of contract on the part of the OAG since the contract with the initial Service Provider would be deemed void and of no effect as if no contract ever existed between the OAG and such Service Provider.

The OAG may waive minor irregularities found in proposals or allow the proposer to correct them, depending on which is in the best interest of the state. "Minor irregularities" means typographical errors, informalities that are matters of form rather than substance and evident from the proposal itself, and insignificant mistakes that can be waived or corrected without prejudice to other proposers, as determined in the discretion of the OAG.

VIII. Ownership of Proposals

All proposals shall become the sole property of the State and will not be returned.

IX. Execution of Contract

- a. This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP only serves as the instrument through which proposals are solicited. Once the evaluation of the proposals is complete and a Service Provider or Service Providers are selected, the selected proposal and this RFP may then serve as the basis for the Contract(s) that will be negotiated and executed between the OAG and the selected Service Provider(s). If the OAG and the initial selected Service Provider(s) fail to reach agreement on all issues relative to the Contract within a time determined solely by the OAG, then the OAG may commence and conclude contract negotiations with other proposers. The OAG may decide at any time to start this RFP process again.
- b. Pursuant to section 4-252 of the Connecticut General Statutes and Acting

Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:

- i That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi- public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, 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-publicagency;
- i That no such principals and key personnel of the Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and
- i That the Contractor is submitting bids or proposals without fraud or collusion with any person.
- ix This Section IX(b) is set forth here only for purposes of providing notice of the requirements of Conn. Gen. Stat. § 4-252. Accordingly, it is neither intended nor should it be interpreted or relied upon to be a complete and full reiteration of the statute's contents. Any interpretation or understanding of the statute's requirements or content by any party must come only from reading the full text of the statute itself.
- c. Pursuant to section 4a-81 of the Connecticut General Statutes, the person signing this Contract on behalf of the Contractor represents, to their best knowledge and belief and subject to the penalty of false statement as provided in section 53a-157b of the Connecticut General Statutes, that the Contractor has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below or in an attachment to this Contract. "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 contracts. "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 as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes.

Consultant's Name and Title _____ Name of Service Provider (if applicable) _____

Start Date

End Date

The basic terms of the consulting agreement are:

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

- d. Pursuant to Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, every contractor is required to provide the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the contractor's nondiscrimination agreements and warranties which are included in such contractor's contract pursuant to said statutes.

- e. Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the State has provided to the Contractor the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of this Contract as if the summary had been fully set forth in this Contract; (b) the Contractor represents that the chief executive officer or authorized signatory of the Contract and all key employees of such officer or signatory have read and understood the summary and agree to comply with the provisions of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Contractor shall provide the summary to all subcontractors and consultants and each such contract entered into with a subcontractor or consultant on or after July 1, 2021, shall include a representation that each subcontractor or consultant and the key employees of such subcontractor or consultant have read and understood the summary and agree to comply with the provisions of state ethics law; (d) failure to include such representations in such contracts with subcontractors or consultants shall be cause for termination of the Contract; and (e) each contract with such contractor,

subcontractor or consultant shall incorporate such summary by reference as a part of the contract terms. Contractor (<https://portal.ct.gov/-/media/Ethics/Guides/2021/Contractors-Guide-to-the-Code-of-Ethics-Rev-11-2021.pdf>)

- X. (1) Pursuant to section 4-252a of the Connecticut General Statutes, the Contractor certifies that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date.

(2) If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section then the Contractor shall not be deemed to be in breach of the Contract or in violation of this section. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the Contract.

- XI. In addition, an **IRS W-9** and **State of Connecticut Agency Vendor** forms must be completed and attached to the proposal. Copies of previously submitted IRS W-9 and/or Agency Vendor forms may be resubmitted if the information contained on the forms is still current.

XII. Oral Agreement or Arrangements

Any alleged oral agreements or arrangements made by Service Providers with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

XIII. Independent Price Determinations

In the proposals, Service Providers must warrant, represent, and certify that the following requirements have been met in connection with this RFP:

- a. The fees and costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor.
- b. Unless otherwise required by law, the fees and costs quoted have not been knowingly disclosed by the Service Provider prior to the deadline for submission of proposals directly or indirectly to any other organization or to any competitor; and

- c. No attempt has been made, or will be made, by the Service Provider to induce any other person or Service Provider to submit or not to submit a proposal for the purpose of restricting competition.

XIV. Offer of Gratuities

In the proposals, Service Providers must represent that no elected or appointed official or employee of the State of Connecticut has, or will, benefit financially or materially from the Contract. The Contract may be terminated by the OAG if it is determined that gratuities of any kind were either offered to, or received by, any of state officials or employees from the Service Provider, the law Service Provider's agent(s), representatives(s) or employees(s). Such action on the part of the OAG shall not constitute a breach of contract on the part of the OAG.

XV. Subletting or Assigning of Contract

The Contract or any portion thereof, or the work provided for therein, or the right, title, or interest of the Service Provider therein or thereto may not be sublet, sold, transferred, assigned or otherwise disposed of to any person or entity without the prior written consent of the OAG. No person or entity, other than the Service Provider to which the contract was awarded, is permitted to perform work pursuant to the Contract without the prior written approval of the OAG.

XVI. Freedom of Information

The OAG is a public agency and its records, including responses to this RFP, are public records. See Conn. Gen. Stat. §§ 1-200, et seq., and especially § 1-210(b)(4) and § 1-210(b)(5)(B). Due regard will be given for the protection of proprietary or confidential information contained in all proposals received. However, all materials associated with this RFP are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all applicable rules, regulations and administrative decisions. If a Service Provider is interested in preserving the confidentiality of any part of its proposal, it will not be sufficient merely to state generally in the proposal that the proposal is proprietary or confidential in nature and not, therefore, subject to release to third parties. Instead, those particular sentences, paragraphs, pages or sections that a Service Provider believes to be exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with Section 1-210(b) of the FOIA must accompany the proposal. The rationale and explanation must be stated in terms of the reasons the materials are legally exempt from release pursuant to the FOIA. Service Providers should not request that their entire proposal, nor the majority of the proposal, be confidential. Any submitted proposal, once execution of a contract is complete, and any completed contract will be considered public information. The OAG has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The Service Provider has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall the OAG have any liability for the disclosure of any documents or information in its possession which the OAG believes are required to be disclosed pursuant to the FOIA or other requirements of law.

XVII. Conformance with Federal, State and Other Requirements

In the Contract, the Service Provider will represent and warrant that, at all pertinent and relevant times to the contract, it has been, is and will continue to be in full compliance with all Federal, State, municipal or other governmental department, commission, board, bureau, agency or instrumentality codes, statutes, acts, ordinances, judgments, decrees, injunctions and regulations.

XVIII. Executive Orders and Other Enactments

- a. All references in this Contract to any Federal, State, or local law, statute, public or special act, executive order, ordinance, regulation or code (collectively, "Enactments") shall mean Enactments that apply to the Contract at any time during its term, or that may be made applicable to the Contract during its term. This Contract shall always be read and interpreted in accordance with the latest applicable wording and requirements of the Enactments. Unless otherwise provided by Enactments, the Contractor is not relieved of its obligation to perform under this Contract if it chooses to contest the applicability of the Enactments or the Client Agency's authority to require compliance with the Enactments.
- b. This Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.
- c. This Contract may be subject to (1) Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services; and (2) Executive Order No. 61 of Governor Dannel P. Malloy promulgated December 13, 2017 concerning the Policy for the Management of State Information Technology Projects, as issued by the Office of Policy and Management, Policy ID IT-SDLC-17-04. If any of the Executive Orders referenced in this subsection is applicable, it is deemed to be incorporated into and made a part of this Contract as if fully set forth in it.
- d. This Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.

- e. This Contract may be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services. If applicable, Executive Order No. 14 is deemed to be incorporated into and made a part of this Contract as if fully set forth in it.

XIX. Americans with Disabilities Act

The Service Provider(s) to which contracts are awarded shall comply with the Americans with Disabilities Act and any other applicable federal laws and regulations.

XX. Affirmative Action and Contract Compliance Reporting

Service Providers are advised that in addition to evaluating their qualifications, experience, capabilities, competitiveness of cost and conformance to this RFP specification, weight may also be given to Service Providers which demonstrate a commitment to affirmative action by full compliance with the CHRO regulations.

XXI. Campaign Contribution and Solicitation Ban

For all State contracts, defined in section 9-612 of the Connecticut General Statutes as 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 Contract represents that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice.

APPENDIX A TO REQUEST FOR PROPOSALS 2023-XX

PROFESSIONAL SERVICES AGREEMENT
BETWEEN THE STATE OF CONNECTICUT,
ACTING BY ITS ATTORNEY GENERAL,
AND
[SERVICE PROVIDER NAME]

This Agreement is made by and between the STATE OF CONNECTICUT, acting by its ATTORNEY GENERAL, William Tong, duly authorized pursuant to Section 3-125 of the Connecticut General Statutes, with an office at 165 Capitol Avenue, Hartford, CT 06106 and _____, acting by _____, with its principal place of business at _____ (hereinafter referred to as the (hereinafter referred to as the “CONTRACTOR”).

In consideration of these premises and for other good and valuable consideration, the receipt and sufficiency of which are acknowledged, the parties agree as follows:

SECTION 1: **SCOPE OF SERVICES**

- 1.1 As assigned by the Attorney General or his designee, the services to be performed by the CONTRACTOR shall consist of the following categories of full service representation, collectively referred to as “Services:”

(1) *Transactional – Intellectual Property – Pre-Litigation Due Diligence*

- a. Review, analyze and interpret existing UNIVERSITY patent portfolio in conjunction with Office of Vice President for Research (OVPR) leadership and team members.
- b. Assist, advise and provide legal counsel to UNIVERSITY in all aspects of patent due diligence and/or review of UNIVERSITY patent portfolio and status including but not limited to freedom to operate, infringement analysis, guidance on effective patent portfolio management strategies and identification of value propositions.
- c. Possess a deep knowledge of the resources spent on research and development of patents to evaluate desirable monetization strategies at sufficient earning points for the UNIVERSITY.
- d. Ability to advise on efficient utilization of UNIVERSITY resources including obsolete and idle patents which possess little or no possibility of marketability.
- e. Ability to advise the UNIVERSITY of the value of potential licenses through deep market analysis including market size determination for products, royalty rate analysis, discounted cash flow analysis, damages analysis and estimation of the net present value of licenses.
- f. Provide direct legal advice and support to the UNIVERSITY concerning

all aspects of due diligence for patent monetization projects including but not limited to finding potential licensees through:

- Evidence of use (EoU) or indication of use (IoU) in a diverse set of technologies that reflect UNIVERSITY's patent portfolio.
- Ability to convert EoUs/IoUs to claims charts with detailed analysis for all claim elements for all relevant claims against products and providing a basis for those claims charts to be considered, Rule 11 charts.
- Ability to perform validity analysis for patents that are ultimately selected in moving forward with a monetization litigation strategy.

(2) *Litigation– Intellectual Property – Project Management*

- a. Assist, advise and provide legal project management to the UNIVERSITY and ATTORNEY GENERAL throughout all pre-suit, active litigation, and post-suit appeals, including management of monetization stakeholders such as law firms, funders, and small and medium-sized entities (SMEs), UNIVERSITY constituents, adverse parties and adverse party counsel.
- b. Demonstrate a high level of command of business processes, document management vendors, and third-party tools to assist the UNIVERSITY and ATTORNEY GENERAL with multiple, and potentially simultaneous, monetization projects. Requisite skills include:
 - Demonstrated business acumen and legal expertise to handle UNIVERSITY technology licensing campaign.
 - Ability to interact and engage with UNIVERSITY faculty and related stakeholders in different disciplines and with varying levels of expertise.
 - Ability to communicate complex technical and legal information clearly and concisely and to convey strategy to UNIVERSITY in a manner that fosters buy-in/consensus at decision-making junctures.

(3) *Litigation – Intellectual Property – Patent Prosecution Litigation*

- a. Provide representation and legal counsel to UNIVERSITY and ATTORNEY GENERAL in all aspects of patent prosecution litigation (the "Actions"), including the provision of professionally excellent, comprehensive, and cutting-edge legal services, or in the case of a patent monetization funding Service Provider, the ability to demonstrate deep and enduring connections and/or contracts with leading US law

firms with patent monetization experience across diverse technology industries.

- b. Service Providers must demonstrate a high level of consistent competency in the following areas:
- Track record of successful patent litigations, familiarity with advantageous forums for commencing patent actions, and a deep understanding of the nuances of patent litigation strategy, risk analysis, including having deep bench of previously vetted legal and subject matter experts with experience in similar patent matters to those in UNIVERSITY portfolio.
 - Ability to work with the entire UConn portfolio and match the technological diversity needed for the UNIVERSITY.
 - Avoidance of conflicts of interest with a diverse set of potential licensees, adverse parties, and adverse counsel.
 - Deep connections and familiarity with a variety of legal experts who can collaborate with UNIVERSITY faculty, address the needs of the broader UNIVERSTIY, and work collaboratively with the ATTORNEY GENERAL.
 - Demonstrated success and ability to defend UNIVERSITY patents across all stages of litigation, in all United States forums and jurisdictions and against all adversaries.
 - Preparation of compelling settlement propositions including detailed royalty analysis, strong licensing terms and meticulous agreements.

(4) Additional Services Inclusive to All Categories

- (a) Conduct all review, analysis, investigation and research necessary to carry out the Services;
- (b) Preparing, writing and providing to the UNIVERSITY, the ATTORNEY GENERAL or his designee all documents and instruments, in electronic, magnetic, paper and any other form, which are necessary or appropriate to carry out said Services;
- (c) Upon receipt of written approval of the ATTORNEY GENERAL and or UNIVERSITY, making all court and agency appearances and filings and representing the State in all related actions, pending or threatened, suits, claims, investigations, legal, administrative, mediation or arbitration proceedings, whether at law or in equity, in

any forum (collectively, "Actions") as determined to be necessary and/or appropriate in consultation with the UNIVERSITY and/or the ATTORNEY GENERAL and/or his designee, including any appeals.

- (d) Providing all necessary expert, technical, paralegal, clerical, document retrieval and analysis and other litigation support, including ability to use discovery management, litigation management or trial management software or information technology that is necessary.
- (e) Providing staff, equipment, and expertise to minimize the administrative burdens imposed on state employees, officials, and agencies in the course of rendering the Services.
- (f) Hiring and consulting with expert witnesses, consultants, mediators and investigators as may be reasonably and necessarily required and as approved by the ATTORNEY GENERAL subject to the following requirements and limitations:
 - (A) Terms of subcontracts over five thousand dollars (\$5000.00) must be approved in writing and in advance by the ATTORNEY GENERAL. In requesting approval, the CONTRACTOR must include the following information:
 - (i) Why it is necessary to hire a subcontractor;
 - (ii) How the proposed subcontractor was selected;
 - (iii) Proposed rates and reimbursements for the subcontractor; and
 - (iv) Comparison of these rates to those of other qualified subcontractors.
 - (B) Subcontracts or agreements must include terms which are substantially similar to the billing terms in the Compensation and Reimbursement Section of this Agreement.
 - (C) The CONTRACTOR'S bills for subcontracted work must include full detailed itemizations of all fees and expenses for the subcontracted work, with appropriate supporting documentation.
- (g) Perform all tasks under this Agreement in coordination with the UNIVERSITY and ATTORNEY GENERAL.
- (h) Provide all necessary paralegal and clerical support to carry out said Services.

SECTION 2: AGREEMENT ADMINISTRATION

2.1 The person in charge of administering this Agreement on behalf of the ATTORNEY GENERAL is _____, Assistant Attorney General, and his/her successors in office, whose contact information is as follows:

Office of the Attorney General
165 Capitol Avenue
Hartford, CT 06106
Telephone: _____
Email: _____

2.2 The person in charge of administering this Agreement on behalf of [agency] is _____, and his/her successors in office, whose contact information is as follows:

Telephone: _____
Email: _____

2.3 The person in charge of administering this Agreement on behalf of the CONTRACTOR is: _____, whose contact information is as follows:

Telephone: _____
Email: _____

2.4 The professional staff members of the CONTRACTOR primarily responsible for the performance of this Agreement are _____. The CONTRACTOR may not change these individuals without the prior written consent of the ATTORNEY GENERAL.

2.5 Within seven (7) days after receiving a request by the ATTORNEY GENERAL, the CONTRACTOR shall remove from assignment to this Agreement any specified professional or other staff member and, at the ATTORNEY GENERAL'S request, shall augment the remaining staff with such other staff member(s) as is acceptable to the ATTORNEY GENERAL.

SECTION 3: COMPENSATION AND REIMBURSEMENT

3.1 CONTRACTOR shall prosecute this matter on behalf of the State of Connecticut on the fee basis described herein and shall advance all fees and costs of Services provided under this RFP. The State of Connecticut shall under no circumstances be responsible for any fees or costs, including expert fees or information technology fees of any sort, associated with the provision of the Services by CONTRACTOR under this Agreement.

- 3.2 CONTRACTOR may seek to recover in any litigation that may arise as part of the Services, its fees and expenses for Services. In the event the Actions result in judgment for the State of Connecticut, CONTRACTOR shall seek payment of fees and reimbursement of expenses with respect to the Services provided under this Agreement through an award from the Court pursuant to any applicable law. It is expressly understood that any such award will be sought against adverse parties only. In the event CONTRACTOR achieves recovery and/or other remedies on behalf of the State of Connecticut through settlement and/or licensing arrangement, CONTRACTOR will seek payment of fees and reimbursement of expenses from the adverse parties, either by agreement of the adverse parties or order of the court.
- 3.3 All expenses reimbursed out of the proceeds of any litigation, settlement, and/or licensing arrangement, must be reasonable, as determined by the Attorney General, and limited to actual net costs. All fees and expenses should be documented by timekeepers on a daily basis and provided to the UNIVERSITY on a quarterly basis, or as requested by the UNIVERSITY and/or ATTORNEY GENERAL. Prior to seeking fees and expenses by order of any court, CONTRACTOR shall provide the proposed request to the ATTORNEY GENERAL. Upon filing of any such request with the applicable court the ATTORNEY GENERAL is free to take any position he deems warranted.
- 3.4 In addition to actual net costs, the CONTRACTOR may request an additional fee that consists of a portion of the net recovered proceeds (the "CONTINGENCY FEE"). No CONTINGENCY FEE will be paid unless the CONTRACTOR (1) submits a written request for a CONTINGENCY FEE, (2) the UNIVERSITY and ATTORNEY GENERAL agree to pay a CONTINGENCY FEE, and (3) the terms for the CONTINGENCY FEE are memorialized in a separate letter agreement signed by the CONTRACTOR, UNIVERSITY, and ATTORNEY GENERAL.
- 3.5 CONTRACTOR must fully disclose to the Attorney General, in regard to all expenses, the existence of any past, present, or anticipated business or personal relationships between members or employees of contractor and any persons or entities to whom expenses are paid, the existence and nature of any applicable discounts or bonuses, or markups, and any inducements or gifts received by any member or employee of contractor, directly or indirectly, to enter into any agreement resulting in any claimed expenses.
- 3.6 The ATTORNEY GENERAL or his designee or the UNIVERSITY shall approve for payment all undisputed fees and costs in accordance with the terms described herein, as soon as the documentation can properly be

processed in accordance with usual State practice.

- 3.7 Maximum payments under this Agreement shall not exceed actual net costs or the CONTIGENCY FEE. For the elimination of any doubt, if CONTRACTOR does not recover a monetary sum in the Actions sufficient to pay the actual net costs incurred plus the CONTIGENCY FEE, CONTRACTOR will not receive any fee and/or reimbursement for its previously advanced fees and costs related to any Services herein.
- 3.8 The ATTORNEY GENERAL shall have the right, without the need of prior notice to the CONTRACTOR, to assign the performance of some aspect of the Services to an Associate or Assistant Attorney General where the ATTORNEY GENERAL, in his sole discretion, finds that such an assignment would best serve the interests of the State of Connecticut. This assignment shall not be deemed to be a breach of contract by the ATTORNEY GENERAL.
- 3.9 Compensation and reimbursement provided under this Section constitutes full and complete payment for all costs and expenses incurred or assumed by the CONTRACTOR in performing this Agreement. No other costs, expenses or overhead items shall be reimbursed by the UNIVERSITY or ATTORNEY GENERAL without the prior written approval of the UNIVERSITY or ATTORNEY GENERAL or his designee.

SECTION 4: TERMINATION

- 4.1 The ATTORNEY GENERAL, through a duly authorized employee, may terminate the Agreement whenever the ATTORNEY GENERAL makes a written determination that such termination is in the best interests of the State. The ATTORNEY GENERAL shall notify the CONTRACTOR in writing of termination pursuant to this Section, which notice shall specify the effective date of termination and the extent to which the CONTRACTOR must complete performance of the Services prior to such date.
- 4.2 The CONTRACTOR'S entitlement to its previously billed fees and incurred net costs shall survive this Section with compensation paid on a pro-rata basis if the matters for which the CONTRACTOR provided Services conclude successfully and with sufficient monetary judgment to compensate the Service Provider under this Agreement and any Agreement with a future Service Provider rendering services on those same matters.
- 4.3 Upon termination of the Agreement, for any reason, including the expiration of this contract, all rights and obligations shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive termination. All representations, warranties, agreements and rights of the parties under the Agreement shall survive such termination to the extent not otherwise limited in the

Agreement and without each one of them having to be specifically mentioned in the Agreement.

- 4.4 Termination of the Agreement pursuant to this Section shall not be deemed to be a breach of contract by the ATTORNEY GENERAL.
- 4.5 Upon receipt of written notification from the ATTORNEY GENERAL of termination or expiration of this contract, the CONTRACTOR shall immediately cease to perform the Services unless otherwise directed by the ATTORNEY GENERAL or to the extent necessary to prevent the State from failing to make timely filings or otherwise failing to comply with court orders or the law. The Records, as that term is defined in the Indemnification section of this Agreement, are deemed to be the property of the State. The CONTRACTOR shall assemble and deliver to the ATTORNEY GENERAL all Records in electronic, magnetic, paper or any other form, that may be in his possession or custody, and shall transmit the same to the ATTORNEY GENERAL or his designee as soon as possible in a non-proprietary format no later than the fifteenth day following the receipt of the above-written notice, together with a detailed hourly description of the Services performed and expenses reasonably incurred.
- 4.6 The CONTRACTOR, on sixty (60) days' prior written notice to the ATTORNEY GENERAL, may terminate this Agreement.
- 4.7 If the CONTRACTOR terminates this Agreement, the CONTRACTOR shall not be entitled to any fees, costs, expenses, or other compensation for Services that are rendered and/or incurred during any period of this Agreement. For elimination of any doubt, in the event the CONTRACTOR terminates this Agreement for any reason the CONTRACTOR will receive nothing and expressly waives any and all claims for such fees, costs, expenses, or other compensation through the act of its termination.

SECTION 5: TIME OF PERFORMANCE

- 5.1 The CONTRACTOR shall perform the Services at such times and in such sequence as may be reasonably directed by the ATTORNEY GENERAL and the UNIVERSITY.
- 5.2 This Agreement will run from its effective date until the tasks defined and confirmed as set forth in Section 1.1 of this Agreement are performed or completed to the satisfaction of the ATTORNEY GENERAL, or unless sooner terminated in accordance with the Termination section of this Agreement, but in no event beyond five (5) years, unless otherwise amended. Any litigation Services assigned to the CONTRACTOR under this Agreement that have not been completed by the Agreement's end date, shall be allowed to continue to completion with all the terms and conditions of this Agreement set forth herein remaining in full force and effect including any applicable CONTINGENCY FEE agreement, provided a

written amendment has been executed prior to the expiration date of this Agreement.

SECTION 6: SETOFF

- 6.1 In addition to all other remedies that the ATTORNEY GENERAL may have, the ATTORNEY GENERAL, in his sole discretion, may setoff (i) any costs or expenses that the State incurs resulting from the CONTRACTOR'S unexcused non-performance under the Agreement and under any other agreement or arrangement that the CONTRACTOR has with the State and (ii) any other amounts that are due or may become due from the State to the CONTRACTOR, against amounts otherwise due or that may become due to the CONTRACTOR under the Agreement, or under any other agreement or arrangement that the CONTRACTOR has with the State. The State's right of setoff shall not be deemed to be the State's exclusive remedy for the CONTRACTOR'S breach of the Agreement, all of which shall survive any setoffs by the State.

SECTION 7: CROSS DEFAULT

- 7.1 If the CONTRACTOR breaches, defaults or in any way fails to perform satisfactorily under the Agreement, then the ATTORNEY GENERAL may, in his sole discretion, without more and without any action whatsoever required of the ATTORNEY GENERAL, treat any such event as a breach, default or failure to perform under any or all other agreements or arrangements ("Other Agreements") that the CONTRACTOR has with the ATTORNEY GENERAL. Accordingly, the ATTORNEY GENERAL may then exercise at his sole option any and all of its rights or remedies provided for in the Agreement or Other Agreements, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the ATTORNEY GENERAL, as if the CONTRACTOR had suffered a breach, default or failure to perform under the Other Agreements.
- 7.2 If the CONTRACTOR breaches, defaults or in any way fails to perform satisfactorily under any or all Other Agreements with the ATTORNEY GENERAL or the State, then the ATTORNEY GENERAL may, in his sole discretion, without more and without any action whatsoever required of the ATTORNEY GENERAL, treat any such event as a breach, default or failure to perform under the Agreement. Accordingly, the ATTORNEY GENERAL may then exercise at his sole option any and all of its rights or remedies provided for in the Other Agreements or the Agreement, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the ATTORNEY GENERAL or the State, as if the CONTRACTOR had suffered a breach, default or failure to perform under the Agreement.

SECTION 8: REPRESENTATIONS AND WARRANTIES

- 8.1 The CONTRACTOR represents and warrants to the ATTORNEY GENERAL for itself and for the Contractor Agents, as defined in the Indemnification Section of this Agreement, as applicable, that:
- (a) The CONTRACTOR is duly and validly existing under the laws of its state of organization and is authorized to conduct business in the State of Connecticut in the manner contemplated by the Agreement. Further, it has taken all necessary action to authorize the execution, delivery and performance of the proposal and the Agreement and has the power and authority to execute, deliver and perform its obligations under the Agreement;
 - (b) It will comply with all applicable State and Federal laws and municipal ordinances in satisfying its obligations under and pursuant to the Agreement, including, but not limited to Connecticut General Statutes Title 1, Chapter 10, concerning the State's Codes of Ethics; The execution, delivery and performance of the Agreement will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable: (i) any provision of law; (ii) any order of any court or the State; or (iii) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
 - (c) It is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental entity;
 - (d) The CONTRACTOR and Contractor Agents have not, within the three (3) years preceding the Agreement, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract with any governmental entity. This includes, but is not limited to, violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (e) The CONTRACTOR and Contractor Agents are not presently indicted or, to the best of their knowledge, under investigation for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above;
 - (f) The CONTRACTOR and Contractor Agents have not within the three (3) years preceding the Agreement had one or more contracts with any governmental entity terminated for cause;

- (g) To the best of its knowledge, there are no Claims, as defined in the Indemnification Section of this Agreement, involving the CONTRACTOR that might reasonably be expected to materially adversely affect its businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Agreement;
- (h) It shall disclose, to the best of its knowledge, to the ATTORNEY GENERAL in writing any Claims involving them that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Agreement, no later than ten (10) days after becoming aware or after they should have become aware of any such Claims;
- (i) Its participation in the request for proposal process is not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State's Code of Ethics;
- (j) The proposal was not made in connection or concert with any other person, entity or proposer submitting a proposal and is in all respects fair and without collusion or fraud;
- (k) It has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
- (l) It owes no past due unemployment compensation contributions;
- (m) It is not delinquent in the payment of any taxes owed to the State of Connecticut.
- (n) It shall not copy or divulge to any third party any information or any data in any form obtained or produced in connection with the performance of its duties and responsibilities pursuant to this Agreement other than in connection with the performance of those duties and responsibilities. The CONTRACTOR shall keep all confidential or privileged the Records in secured areas and shall take reasonable precautions to protect the Records from the dangers of fire, theft, flood, natural disasters and other physical threats, as well as unauthorized access.
- (o) During the course of this Agreement, the CONTRACTOR shall not represent any other client if such representation will materially affect its duties or obligations to the State of Connecticut or the ATTORNEY GENERAL or create an appearance of impropriety.
- (p) The CONTRACTOR will not knowingly enter into or retain any business relationships or enterprise in which an employee of the ATTORNEY GENERAL holds an interest, other than a nominal

interest in a publicly held corporation, without the prior written consent of the ATTORNEY GENERAL.

SECTION 9: STATUS REPORTS AND RECORDS

- 9.1 Upon written or oral request by the ATTORNEY GENERAL or his designee, the CONTRACTOR will promptly report on the status of the Services performed, including, but not limited to, problems, strategy, analysis and the like.
- 9.2 The above-described reports shall be provided in writing or orally, as directed by the person requiring a work status report.
- 9.3 The CONTRACTOR, upon the request of the ATTORNEY GENERAL or his designee, shall give to the ATTORNEY GENERAL or his designee all original documentation, or, in the sole discretion of the ATTORNEY GENERAL or his designee, copies thereof, filed in the course of, or arising out of, the CONTRACTOR's performance of the Services. The CONTRACTOR shall otherwise maintain all original documentation, or copies thereof in the manner specified in the Representations and Warranties section of this Agreement, for a period of at least six (6) years after the termination of this Agreement.

SECTION 10: INSURANCE

- 10.1 Before commencing performance of the Services, the CONTRACTOR shall obtain and maintain at its own cost and expense for the duration of the Agreement, the following insurance:
 - (a) Commercial General Liability: One million dollars (\$1,000,000) combined single limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include, Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Broad Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply separately to the work covered by this Agreement or the general aggregate limit shall be twice the occurrence limit.
 - (b) Automobile Liability: One million dollars (\$1,000,000) combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the CONTRACTOR does not own an automobile, but one is used in the performance of the Services, then only hired and non-owned coverage is required. If a vehicle is not used in the performance of the Services, then automobile coverage is not required.
 - (c) Workers' Compensation and Employers Liability: Coverage in compliance with applicable workers compensation laws. Coverage shall include Employer's Liability with minimum limits of one hundred

thousand dollars (\$100,000) each accident, five hundred thousand dollars (\$500,000) Disease – Policy limit, one hundred thousand dollars (\$100,000) each employee.

- (d) Professional Liability: The CONTRACTOR shall secure and maintain, at no cost or expense to the State, a professional liability insurance policy in a form acceptable to the ATTORNEY GENERAL in the minimum amount of _____dollars (\$_____) with a deductible not to exceed _____(\$_____). This policy shall insure the CONTRACTOR against damages and costs resulting from negligent acts, errors, and omissions in the work performed by the CONTRACTOR on and after the effective date of, and under the terms of, this Agreement. The CONTRACTOR may, at its election, obtain a policy containing a maximum_____dollars (\$_____) deductible clause, but if so, the CONTRACTOR shall be liable, as stated above herein, to the extent of the deductible amount.

- 102 No later than thirty (30) days after the effective date of this Agreement, the CONTRACTOR shall furnish to the ATTORNEY GENERAL, on a form or forms acceptable to the ATTORNEY GENERAL, a Certificate of Insurance, including amendment(s), fully executed by an insurance company or companies satisfactory to the ATTORNEY GENERAL for the insurance policy or policies required in the Status Reports and Records Section of this Agreement, which policy or policies shall be in accordance with the terms of the Certificate of Insurance.

SECTION 11: INDEMNIFICATION

- 11.1 The CONTRACTOR shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims, as defined below, arising, directly or indirectly, in connection with the Agreement, including the acts of commission or omission (collectively, the "Acts") of the CONTRACTOR or Contractor Agents, as defined below; and (2) liabilities, damages, losses, costs and expenses, including, but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Agreement. The CONTRACTOR shall use attorneys and contractors reasonably acceptable to the State in carrying out its obligations under this Section. The CONTRACTOR'S obligations under this Section to indemnify, defend and hold harmless the State against Claims includes Claims concerning the confidentiality of any part or all of the proposal or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions or articles furnished or used in the performance of the Agreement.
- 11.2 The CONTRACTOR shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the CONTRACTOR or any Contractor Agents. The State shall give the

CONTRACTOR reasonable notice of any such Claims.

- 11.3 The CONTRACTOR'S duties under this Section shall remain fully in effect and binding in accordance with the terms and conditions of the Agreement, without being lessened or compromised in any way, even where the CONTRACTOR is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
- 11.4 The rights provided in this Section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.
- 11.5 This section shall survive the Termination, Cancellation or Expiration of the Agreement, and shall not be limited by reason of any insurance coverage.
- 11.6 The term "Claims" means all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum.
- 11.7 The term "Contractor Agents" means the CONTRACTOR'S members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the CONTRACTOR is in privity of oral or written contract and whom the CONTRACTOR intends to perform services under the Agreement in any capacity.
- 11.8 The term "Records" means all working papers and such other information and materials as may have been accumulated by the CONTRACTOR or Contractor Agents in performing the Agreement, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.
- 11.9 The CONTRACTOR shall not use, raise, or plead the defense of sovereign or governmental immunity in the adjustment or settlement of any Claims against the CONTRACTOR arising out of the work performed under this Agreement, or as a defense in any Claims, unless specifically authorized to do so in writing by the ATTORNEY GENERAL or his designee.

SECTION 12: CHANGES TO THIS AGREEMENT

- 12.1 Any and all amendments, changes, extensions, revisions or discharges of this Agreement, in whole or in part, on one or more occasions, must be in writing and executed by all the parties to this Agreement in order to be enforceable.

SECTION 13: REQUIRED PERSONNEL/OFFICE

- 13.1 On or before the effective date of this Agreement, the CONTRACTOR shall have secured, and shall maintain during the term of this Agreement, all at

its sole cost and expense (i) such appropriately skilled and competent personnel and supporting staff in adequate numbers; and (ii) such equipment as are reasonably necessary or appropriate to fully perform the Services to the satisfaction of the ATTORNEY GENERAL.

132 The personnel shall not be employees of or have any contractual relationship with the ATTORNEY GENERAL.

133 All the Services shall be performed by the CONTRACTOR or under its supervision, and all personnel engaged in the Services shall be fully qualified and shall be authorized or permitted under law to perform the applicable Services.

SECTION 14: NONDISCRIMINATION

14.1 (a) For purposes of this Section, the following terms are defined as follows:

- i. "Commission" means the Commission on Human Rights and Opportunities;
- ii. "Contract" and "contract" include any extension or modification of the Contract or contract;
- iii. "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
- iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
- v. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- vii. "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- viii. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;

- ix. “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 members of a minority, as such term is defined in subsection (a) of Conn.Gen. Stat. § 32-9n; and
- x. “public works contract” means any agreement between any individual, Service Provider or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms “Contract” and “contract” do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, unless the contract is a municipal public works contract or a quasi-public agency project contract, (2) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. § 1-267, (3) the federal government, (4) a foreign government, or (5) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), or (4).

- (b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status as a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status as a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all

solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an “affirmative action equal opportunity employer” in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers’ representative of the Contractor’s commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Conn. Gen. Stat. §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Conn. Gen. Stat. § 46a-56. If the contract is a public works contract, municipal public works contract or contract for a quasi-public agency project, the Contractor agrees and warrants that he or she will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works or quasi-public agency projects.

- (c) Determination of the Contractor’s good faith efforts shall include, but shall not be limited to, the following factors: The Contractor’s employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (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 (b) 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 a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 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.

- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g) (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 on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to postcopies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Conn. Gen. Stat. § 46a-56.
- (h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 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.

- (i) Pursuant to subsection (c) of section 4a-60 and subsection (b) of section 4a-60a of the Connecticut General Statutes, the Contractor, for itself and its authorized signatory of this Contract, affirm that it understands the obligations of this section and that it will maintain a policy for the duration of the Contract to assure that the Contract will be performed in compliance with the nondiscrimination requirements of such sections. The Contractor and its authorized signatory of this Contract demonstrate their understanding of this obligation by (A) having provided an affirmative response in the required online bid or response to a proposal question which asks if the contractor understands its obligations under such sections, and/or (B) signing this Contract.

SECTION 15: CAMPAIGN CONTRIBUTIONS

- 15.1 For all State contracts, defined in section 9-612 of the Connecticut General Statutes as 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 Contract represents that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice.

SECTION 16: APPLICABLE EXECUTIVE ORDERS OF THE GOVERNOR

- 16.1 All references in this Contract to any Federal, State, or local law, statute, public or special act, executive order, ordinance, regulation or code (collectively, "Enactments") shall mean Enactments that apply to the Contract at any time during its term, or that may be made applicable to the Contract during its term. This Contract shall always be read and interpreted in accordance with the latest applicable wording and requirements of the Enactments. Unless otherwise provided by Enactments, the Contractor is not relieved of its obligation to perform under this Contract if it chooses to contest the applicability of the Enactments or the Client Agency's authority to require compliance with the Enactments.
- 16.2 This Contract is subject to the provisions of Executive Order No. 3 of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of this Contract as if they had been fully set forth in it.

- 16.3 This Contract may be subject to (1) Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services; and (2) Executive Order No. 61 of Governor Dannel P. Malloy promulgated December 13, 2017 concerning the Policy for the Management of State Information Technology Projects, as issued by the Office of Policy and Management, Policy ID IT-SDLC-17-04. If any of the Executive Orders referenced in this subsection is applicable, it is deemed to be incorporated into and made a part of this Contract as if fully set forth in it.

SECTION 17: LARGE STATE CONTRACT REPRESENTATION FOR CONTRACTOR

- 17.1 Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:
- (1) That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi- public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, 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 Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and
 - (3) That the Contractor is submitting bids or proposals without fraud or collusion with any person.

SECTION 18: LARGE STATE CONTRACT REPRESENTATION FOR OFFICIAL OR EMPLOYEE OF STATE AGENCY

- 18.1 Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz Executive Order No. 21-2, promulgated July 1, 2021, the State agency official or employee represents that the selection of the person, Service Provider or corporation was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

SECTION 19: CONSULTING AGREEMENT REPRESENTATIONS

19.1 Pursuant to section 4a-81 of the Connecticut General Statutes, the person signing this Contract on behalf of the Contractor represents, to their best knowledge and belief and subject to the penalty of false statement as provided in section 53a-157b of the Connecticut General Statutes, that the Contractor has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below or in an attachment to this Contract. "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 contracts. "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 as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes.

Consultant's Name and Title
applicable)

Name of Service Provider (if

Start Date

End Date

Cost

The basic terms of the consulting agreement are:

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

SECTION 20: SUMMARY OF STATE ETHICS LAWS

20.1 Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes (a) the State has provided to the Contractor the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes, which summary is incorporated by reference into and made a part of this Contract as if the summary had

been fully set forth in this Contract; (b) the Contractor represents that the chief executive officer or authorized signatory of the Contract and all key employees of such officer or signatory have read and understood the summary and agree to comply with the provisions of state ethics law; (c) prior to entering into a contract with any subcontractors or consultants, the Contractor shall provide the summary to all subcontractors and consultants and each such contract entered into with a subcontractor or consultant on or after July 1, 2021, shall include a representation that each subcontractor or consultant and the key employees of such subcontractor or consultant have read and understood the summary and agree to comply with the provisions of state ethics law; (d) failure to include such representations in such contracts with subcontractors or consultants shall be cause for termination of the Contract; and (e) each contract with such contractor, subcontractor or consultant shall incorporate such summary by reference as a part of the contract terms.

SECTION 21: IRAN ENERGY INVESTMENT CERTIFICATION

21.1 Pursuant to section 4-252a of the Connecticut General Statutes, the Contractor certifies that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date.

21.2 If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section then the Contractor shall not be deemed to be in breach of the Contract or in violation of this section. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the Contract.

SECTION 22: CONFIDENTIALITY

- 22.1 All of the reports, information, data, and other papers and materials, in whatever form, prepared or assembled by the CONTRACTOR under this Agreement are confidential, and the CONTRACTOR shall not make them available to any individual or organization, other than in connection with the performance of those duties and responsibilities, without the prior written approval of the ATTORNEY GENERAL or his designee.
- 22.2 The ATTORNEY GENERAL will afford due regard to any request of the CONTRACTOR for the protection of proprietary or confidential information which the ATTORNEY GENERAL receives from the CONTRACTOR. However, all materials associated with the Agreement are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. In making such a request, the CONTRACTOR may not merely state generally that the

materials are proprietary or confidential in nature and not, therefore, subject to release to third parties. Those particular sentences, paragraphs, pages or sections that the CONTRACTOR believes are exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA must accompany the request. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the CONTRACTOR that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the FOIA. To the extent that any other provision or part of the Agreement, especially including the Records, conflicts or is in any way inconsistent with this Section, this Section controls and shall apply and the conflicting provision or part shall not be given effect. The ATTORNEY GENERAL shall not have any obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The CONTRACTOR shall have the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall the ATTORNEY GENERAL or the State have any liability for the disclosure of any documents or information in its possession which the ATTORNEY GENERAL believes are required to be disclosed pursuant to the FOIA or other requirements of law.

SECTION 23: MISCELLANEOUS

- 23.1 The sole and exclusive means for the presentation of any Claim, as defined in the Indemnification Section of this Agreement, against the State arising from this Agreement shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State). The CONTRACTOR shall not initiate any legal proceedings in any State or Federal Court in addition to, or in lieu of, said Chapter 53 proceedings.
- 23.2 The Agreement shall be deemed to have been made in the City of Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of the Agreement to be, and that it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that Chapter 53 of the Connecticut General Statutes does not apply and to the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The CONTRACTOR waives any objection which it may now have or will have to the laying of venue of any Claims, as defined in the Indemnification Section of this Agreement, in any forum and further irrevocably submits to such jurisdiction in any suit,

action or proceeding.

- 23.3 The parties each bind themselves, their partners, successors, assigns, and legal representatives with respect to all covenants of this Agreement.
- 23.4 This Agreement incorporates all the understandings of the parties and supersedes any and all agreements relating to the Services and reached by the parties prior to the effective date of this Agreement, whether oral or written.
- 23.5 If any provision of this Agreement, or application to any party or circumstances, is held invalid by any court of competent jurisdiction, the balance of the provisions of this Agreement, or their application to any party or circumstances, shall not be affected, but only if the balance of the provisions of this Agreement would then continue to conform to the requirements of applicable laws.
- 23.6 The ATTORNEY GENERAL and the CONTRACTOR shall not be excused from their obligation to perform in accordance with the Agreement except in the case of force majeure events and as otherwise provided for in the Agreement. In the case of any such exception, the nonperforming party shall give immediate written notice to the other, explaining the cause and probable duration of any such nonperformance. "Force majeure events" shall be defined as events that materially affect the time schedule within which to perform and are outside the control of the party asserting that such an event has occurred, including, but not limited to, labor troubles unrelated to the CONTRACTOR, failure of or inadequate permanent power, unavoidable casualties, fire not caused by the CONTRACTOR, extraordinary weather conditions, disasters, riots, acts of God, insurrection or war.
- 23.7 The CONTRACTOR shall not refer to services provided to the State for advertising or promotional purposes, including, but not limited to, posting any material or data on the Internet, without the ATTORNEY GENERAL'S prior written approval.
- 23.8 The CONTRACTOR shall notify the ATTORNEY GENERAL in writing no later than ten (10) days from the effective date of any change in (i) its certificate of incorporation or other organizational document or (ii) a controlling interest in the ownership of the CONTRACTOR. No such change shall relieve the CONTRACTOR of any responsibility for the accuracy and completeness of the performance. The CONTRACTOR shall deliver such documents to the ATTORNEY GENERAL in accordance with the terms of the ATTORNEY GENERAL'S written request. The ATTORNEY GENERAL may also require, and the CONTRACTOR shall deliver, a financial statement showing that solvency of the CONTRACTOR is maintained.
- 23.9 The parties shall provide such information, execute and deliver any instruments and documents, and take such other actions as may be

necessary or reasonably requested by the other party which are not inconsistent with the provisions of this Agreement and which do not involve the vesting of rights or assumption of obligations other than those provided for in the Agreement, in order to give full effect to the Agreement and to carry out the intent of the Agreement.

- 23.10 The CONTRACTOR shall maintain accurate Records and shall make all of the Records available at all reasonable hours for audit and inspection by the State. This includes, but is not limited to accurate records and accounts of all expenditures under this Agreement as well as satisfactory evidence of payment to assure proper accounting. Such records and accounts shall be kept in the manner specified in the Representations and Warranties Section, made available for at least six years after the termination of this Agreement, and shall be made available and furnished upon request to the ATTORNEY GENERAL or his designee on or before the tenth business day following the date of the written request. The CONTRACTOR will cooperate fully with any and all audit or review of billing by the ATTORNEY GENERAL or any other agency, person, or entity acting on behalf of the ATTORNEY GENERAL or the STATE, and shall, upon request, provide billing in a format which will facilitate audit or review.
- 23.11 The CONTRACTOR shall continue to perform its obligations under the Agreement while any dispute concerning the Agreement is being resolved.
- 23.12 The CONTRACTOR shall be responsible for the entire performance under the Agreement. The CONTRACTOR shall be the sole point of contact concerning the management of the Agreement, including performance and payment issues. The CONTRACTOR is solely and completely responsible for adherence by the Contractor Agents to all applicable provisions of the Agreement.
- 23.13 The waiver of a term or condition by the ATTORNEY GENERAL or his designee shall not (i) entitle the CONTRACTOR to any future waivers of the same or different terms or conditions; (ii) impose any duties, obligations or responsibilities on the ATTORNEY GENERAL or any State department or agency not already in the Agreement, as amended, modified or superseded; or (iii) subject the ATTORNEY GENERAL or the State of Connecticut or any department or agency thereof to any Claims.
- 23.14 If a disagreement arises between the parties to this Agreement as to whether or not the CONTRACTOR has or may, in the foreseeable future, have a conflict of interest or there exists or may exist in the foreseeable future, an appearance of impropriety, the ATTORNEY GENERAL'S determination shall be final and dispositive of the issue. Where the ATTORNEY GENERAL determines that the CONTRACTOR'S representation of any client constitutes a conflict of interest, or creates an appearance of impropriety, the CONTRACTOR shall, within five (5) days of the posting of notice by the ATTORNEY GENERAL or his designee to the CONTRACTOR, withdraw from the representation of the client, unless such

a withdrawal is barred by law or order of a court of competent jurisdiction or the ATTORNEY GENERAL waives such conflict. Nothing in this subsection shall be construed as restricting or otherwise limiting the CONTRACTOR'S rights under the Termination Section of this Agreement.

- 23.15 Unless the ATTORNEY GENERAL designates otherwise in writing, all Records generated or collected by the CONTRACTOR, the Contractor's Agent or any subcontractor, in the scope of their work under this Agreement are the exclusive property of the State of Connecticut and no one else shall have any right, including but not limited to, intellectual property, copyright and trademark rights, in those Records.
- 23.16 The CONTRACTOR acknowledges that the ATTORNEY GENERAL has relied upon all of the CONTRACTOR'S representations in its proposal, submitted in response to the ATTORNEY GENERAL'S Request for Proposals concerning this matter and all subsequent information supplied to the ATTORNEY GENERAL in writing thereafter, as the basis for entering into this Agreement with the CONTRACTOR. Any material misrepresentation, omission, mistake or error in those submittals shall be deemed to be a breach of this Agreement, which the ATTORNEY GENERAL may, in his sole discretion, waive or afford the CONTRACTOR the opportunity to cure in accordance with the written notice of such breach sent to the CONTRACTOR.
- 23.17 References in the masculine gender shall also be construed to apply to the feminine and neutral genders, as the content requires.
- 23.18 The parties acknowledge and agree that nothing in the ATTORNEY GENERAL'S request for proposals or the Agreement shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the Agreement. To the extent that this Section conflicts with any other section, this Section shall govern.
- 23.19 Any notice required or permitted to be given under this Agreement shall be deemed to have been given when hand delivered or one (1) business day after pickup by any express delivery service. Such notice must be addressed to the persons identified in the Agreement Administration Section of this Agreement, or to such other person or address as either party may designate by giving notice in writing to the other party. Telephone and facsimile numbers are for informational purposes only. Effective notice will be deemed given only as provided above. All notices, demands, requests, consents, approvals or other communications required or permitted to be given or which are given with respect to this Agreement (for the purpose of this Section collectively called "Notices") shall be deemed to have been effected at such time as the notice is placed in the U.S. mail, first class and postage pre-paid, return receipt requested, or placed with a

recognized express delivery service that provides for a return receipt. All such Notices shall be in writing and shall be addressed as follows:

If to the ATTORNEY GENERAL:

Attention: _____

If to the CONTRACTOR:

Attention: _____

23.20 The captions in this Agreement are inserted only as a matter of convenience and for reference and in no way define, limit or describe the scope of this Agreement or the scope of content of any of its provisions.

23.21 Time is of the essence in this Agreement.

23.22 This Agreement may be executed and delivered in any number of counterparts, each of which so executed and delivered shall be deemed to be an original and all of which shall constitute one and the same instrument.

IN WITNESS WHEREOF, the parties have executed two (2) counterparts of this Agreement.

SERVICE PROVIDER

_____ By: _____

STATE OF CONNECTICUT

_____ By: _____
Date William Tong
Attorney General

