

STATE OF CONNECTICUT
DEPARTMENT OF SOCIAL SERVICES

CONTRACT AMENDMENT

Contractor: YALE UNIVERSITY
Contractor Address: 25 Science Park, 3rd Floor, 150 Munson Street, New Haven, CT 06511-3572
Contract Number: 11DSS1202DF / 093YU-MED-01
Amendment Number: A4
Amount as Amended: \$867,447.00
Contract Term as Amended: 10/1/2011 - 12/31/2017

The contract between Yale University (the Contractor) and the Department of Social Services (the Department), which was last executed by the parties and approved by the Office of the Attorney General on 3/3/15, is hereby further amended as follows:

1. The total maximum amount payable under this contract is increased by **\$282,699 from \$584,748 to \$867,447** to add funding for the fifth (5th) year of the federal award for the Rewards to Quit (RTQ) program.
2. The combined budget for years 1 through 5 shall be as follows:

Yale University Budget for Amendment 4 Year 1, 2, 3, 4 & 5 Combined Administrative Cost: Y1, 2, 3, 4 & 5	
Personnel: Salary & Fringe benefits	\$611,740
Direct cost	\$611,740
Indirect cost (@ 41.8%)	\$255,707
Total Yale University Budget	\$867,447

All terms and conditions of the original contract, and any subsequent amendments thereto, which were not modified by this Amendment remain in full force and effect.

SIGNATURES AND APPROVALS

11DSS1202DF/093YU-MED-01 A4

The Contractor IS a Business Associate under the Health Insurance Portability and Accountability Act of 1996 as amended.

Documentation necessary to demonstrate the authorization to sign must be attached.

CONTRACTOR - YALE UNIVERSITY



Maneesha Joshi, Lead Contract Manager

Date

3/21/16

3/21/16

DEPARTMENT OF SOCIAL SERVICES



KATHLEEN M. BRENNAN
DEPUTY COMMISSIONER

3/21/16

Date

OFFICE OF THE ATTORNEY GENERAL



ASST/Assoc. Attorney General (Approved as to form)

Robert W. Clark

4/4/16

Date

Yale OFFICE OF THE SECRETARY

KIMBERLY M. GOFF-CREWS
Secretary and Vice President for Student Life

PO Box 208230 New Haven CT 06520-8230
T 203 432-6602 F 203 432-7307
kimberly.goff-crews@yale.edu

courier
Woodbridge Hall
105 Wall Street
New Haven CT 06511

April 16, 2015

Joseph Rubin
Associate Attorney General
Office of the Attorney General
State of Connecticut
55 Elm Street
Hartford, Connecticut 06106

As Secretary and Vice President for Student Life of Yale University, I hereby certify that, as of the above date, the following University officials and staff have been authorized to sign contracts (and amendments thereto) between Yale University and the State of Connecticut:

Peter Salovey, President (all contracts);

Shauna R. King, Vice President for Finance and Business Operations (all contracts);

Bruce D. Alexander, Vice President for New Haven and State Affairs and Campus Development (contracts related to ownership and management of real property and University facilities);

Michael A. Peel, Vice President for Human Resources and Administration (contracts related to human resources, organizational development, labor relations and diversity and other non-academic and administrative work);

Stephen C. Murphy, Associate Vice President for Finance (all contracts up to \$5,000,000);

Deborah A. Armitage, Associate Controller (all contracts up to \$250,000);

Janet E. Lindner, Associate Vice President for Administration (contracts up to \$500,000 related to human resources and administrative services, transportation matters, and the student work study program);

Joseph Rubin
Associate Attorney General
April 16, 2015
Page 3

Lauren Pite, Sr. Manager, Grant and Contract Administration, (grants and contracts for support of research, and related documents);

Maneesha Joshi, Lead Contract Manager, Grant and Contract Administration, (grants and contracts for support of research and related documents);

Cheryl Magoveny, Sr. Manager, Grant and Contract Administration (grants and contracts for support of research, and related documents);

Nancy Kendrick, Associate Director, Financial Reporting and Analysis (financial and accounting documents related to contracts for support of research, and related documents);

Lan H. Virasak, Assistant Director, Cash Management and Receivables (financial and accounting documents related to contracts for support of research, and related documents)

Kenechia Clarke, Manager, Financial Reporting and Analysis (financial and accounting documents related to contracts for support of research, and related documents);

The By-Laws of Yale University, duly adopted by the Yale Corporation, authorize the President and the Vice President for Finance and Business Operations to execute and deliver contracts on behalf of the University, including, without limitation, contracts with the State of Connecticut and amendments thereto, and authorize the Vice President for Finance and Business Operations to delegate that authority to his or her subordinates. With the approval of the Yale Corporation, the Vice President for New Haven and State Affairs and Campus Development and the Vice President for Human Resources and Administration have been authorized (in the areas indicated above), to execute and deliver contracts on behalf of the University, including, without limitation, contracts with the State of Connecticut and amendments thereto, and to delegate such authority to their subordinates listed above (or to delegate such authority to their subordinates together with the authority to subdelegate to certain individuals above). Such delegations of authority and the Corporation approval remain in full force and effect.

I understand the State will rely on this certification for any contracts or amendments signed by any of the above-named officials for a one-year period beginning as of the date first written above unless you receive a written notice from me (or my successor as Secretary of Yale University) notifying you that the authority of one of more of them has lapsed. For any contract signed by one of these officials during that period, Yale University waives any claim that the contract was signed without authority, unless you have received such a notice.

At the end of the one-year period, this certification will be replaced by another certification for the following year. Please sign this letter below and return one original to me to indicate your acceptance of this updated certification on behalf of the State of Connecticut.



**STATE OF CONNECTICUT
CERTIFICATION OF STATE AGENCY OFFICIAL OR EMPLOYEE
AUTHORIZED TO EXECUTE CONTRACT**

Certification to accompany a State contract, having a value of \$50,000 or more, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor Dannel P. Malloy's Executive Order 49.

INSTRUCTIONS:

Complete all sections of the form. Sign and date in the presence of a Commissioner of the Superior Court or Notary Public. Submit to the awarding State agency at the time of contract execution.

CERTIFICATION:

I, the undersigned State agency official or State employee, certify that (1) I am authorized to execute the attached contract on behalf of the State agency named below, and (2) the selection of the contractor named below was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

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

Yale University
Contractor Name

Department of Social Services
Awarding State Agency

Kathleen M. Brennan
State Agency Official or Employee Signature

03-24-16
Date

KATHLEEN M. BRENNAN
Printed Name

DEPUTY
Commissioner
Title

Sworn and subscribed before me on this 24th day of March, 20 16

[Signature]
Commissioner of the Superior Court
or Notary Public Juris # 416183

My Commission Expires



**STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

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

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

- CHECK ONE:** Initial Certification 12 Month Anniversary Update (Multi-year contracts only.)
- Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

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

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

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or 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 request 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.

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

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

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

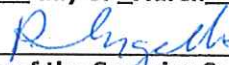
Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.
YALE UNIVERSITY

Printed Contractor Name _____

Maneesha Joshi
Printed Name of Authorized Official


Signature of Authorized Official

Subscribed and acknowledged before me this 21 day of March, 2016.


Commissioner of the Superior Court
Patricia Ingellis
NA
My Commission Expires _____





STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

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

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

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

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

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

Form with fields for Consultant's Name and Title, Name of Firm (if applicable), Start Date, End Date, Cost, and Description of Services Provided.

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

If YES: Name of Former State Agency, Termination Date of Employment

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

Printed Name of Bidder or Contractor: Maneesha Joshi, Lead Contract Manager. Signature of Principal or Key Personnel: [Signature]. Date: March, 21 2016

Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this 21 day of March, 2016.

Commissioner of the Superior Court Patricia Ingellis

My Commission Expires



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Affidavit By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

AFFIDAVIT:


I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of an oath. I am Lead Contract Manager of Yale University, an entity
Signatory's Title Name of Entity

duly formed and existing under the laws of Connecticut.
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of

Yale University and that Yale University
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.


Authorized Signatory

Maneesha Joshi
Printed Name

Sworn and subscribed to before me on this 21 day of March, 2016.


Commissioner of the Superior Court
Patricia Ingellis

N/A
Commission Expiration Date

