



**Contract Number:**  
**21PSX0049**  
**TESTING SERVICES**

## Introduction

This contract (the "Contract") is made by and between, multiple Contractors (collectively the "Contractor") and the State of Connecticut, acting by its Department of Administrative Services ("DAS") in accordance with Sections 4a-2, 4a-51 and 4d-2 of the Connecticut General Statutes.

Now therefore, in consideration of these presents, and for other good and valuable consideration, the receipt and sufficiency of which the parties acknowledge, the Contractor and the State agree as follows:

### 1. Definitions

The following definitions apply in this Contract, except to the extent modified in Exhibit A, in which case Exhibit A controls.

#### a. Reserved

Definition reserved.

#### b. Reserved

Definition reserved.

#### c. Reserved

Definition reserved.

#### d. Reserved

Definition reserved.

#### e. Reserved

Definition reserved.

#### f. Business Day

A day of the week recognized by the Client Agency as a work day, including Saturdays and Sundays and excluding any State or federal holiday.

#### g. Claims

All actions, suits, claims, demands, investigations, and proceedings of any kind, open, pending, or threatened, whether mature, un-matured, contingent, known or unknown, at law or in equity in any form.

#### h. Client Agency

Any department, commission, board, bureau, agency, institution, public authority, office, council, association, instrumentality or political subdivision of the State of Connecticut, non-profit organization organized in this State and any entity identified in Conn. Gen. Stat. Sec. 4a-54, as applicable, who is authorized and chooses to make purchases under, and pursuant to the terms of this Contract.

**i. Reserved**

Definition reserved.

**j. Confidential Information**

Any name, number or other information that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual's name, date of birth, mother's maiden name, motor vehicle operator's license number and residential address, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand deposit account number, savings account number, credit card number, debit card number or unique biometric data such as fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Confidential Information shall also include any information that DAS classifies as "confidential" or "restricted." Confidential Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records which are lawfully made available to the general public.

**k. Confidential Information Breach**

Generally, an instance where an unauthorized person or entity accesses Confidential Information in any manner, including but not limited to the following occurrences: (1) any Confidential Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Confidential Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Confidential Information together with the confidential process or key that is capable of compromising the integrity of the Confidential Information; or (4) if there is a substantial risk of identity theft or fraud to the Client Agency, the Contractor, or State.

**l. Reserved**

Definition reserved.

**m. Contractor Parties**

Contractor's members, principals, directors, officers, shareholders, partners, managers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the Contractor is in privity or with whom Contractor contracts to Perform under this Contract in any capacity.

**n. Corrective Action Plan, or CAP**

A detailed written plan produced by Contractor at the request of the Client Agency to correct or resolve a Breach identified by the Client Agency in accordance with the Breach section of this Contract.

**o. Deliverable**

Each (1) Good, Service, Maintenance Services, Improvement, Material, Documentation, System, process or information of any type, whether stand-alone or intended as part of the integration of the System with existing hardware or software of the State, and whether or not used for administrative, maintenance, consulting, training, data warehousing, operations, support, hosting, or fulfillment of Performance; and (2) warranty of a Deliverable(s) that is listed in the Pricing Schedule or provided by Contractor as an element of Contractor's overall approach and solution to the requirements of this Contract. Any one of them or a combination of any of them may be developed or produced by Contractor or by a third party as a supplier or subcontractor to Contractor.

**p. Deliverables Document**

Exhibit A, which sets forth and describes the Deliverables that are to be provided or made available to the State under this Contract or in a Statement of Work, as applicable, and the specific requirements and terms applicable to those Deliverables.

**q. Reserved**

Definition reserved.

**r. Reserved**

Definition reserved.

**s. Reserved**

Definition reserved.

**t. Force Majeure Event**

Strikes, lockouts, riot, sabotage, rebellion, insurrection, acts of war, acts of terrorism, failure of or inadequate permanent power, fire, flood, earthquake, epidemics, natural disasters, and acts of God.

**u. Goods**

All things which are movable, including, but not limited to, supplies, materials, equipment, hardware, software, specially manufactured things, a component incorporated into another thing and things that are attached to real property and that may be severed from the real property without material harm to the things.

**v. Goods or Services**

Goods, Services or both, as specified in the Solicitation and set forth in Exhibit A.

**w. Reserved**

Definition reserved.

**x. Reserved**

Definition reserved.

**y. Reserved**

Definition reserved.

**z. Reserved**

Definition reserved.

**aa. Reserved**

Definition reserved.

**bb. Reserved**

Definition reserved.

**cc. Reserved**

Definition reserved.

**dd. Reserved**

Definition reserved.

**ee. Reserved**

Definition reserved.

**ff. Reserved**

Definition reserved.

**gg. Reserved**

Definition reserved.

**hh. Reserved**

Definition reserved.

**ii. Perform**

All acts and things of the Contractor and Contractor Parties, severally and collectively, that are necessary or appropriate to fulfill or accomplish this Contract fully, including the Deliverables and all other Contract obligations. The word "Perform" includes all parts of speech.

**jj. Performance Criteria**

Operation of the Deliverables in compliance with all Specifications and Documentation and complying with the requirements of this Contract and a Statement of Work, as applicable.

**kk. Price Schedule**

Exhibit B to this Contract which when read in conjunction with Exhibit A, Deliverables Document, lists the Deliverables available under this Contract and establishes the components, unit pricing and price schedules for each Deliverable.

**ll. Reserved**

Definition reserved.

**mm. Reserved**

Definition reserved.

**nn. Purchase Orders**

A written or electronic document that the Client Agency issues for one or more Deliverables in accordance with the terms of this Contract.

**oo. Records**

All working papers and such other information and materials furnished or prepared by the Contractor in Performing including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries, memoranda and correspondence, kept or stored in any form.

**pp. Replacement Deliverable**

Any new Deliverable that replaces a previously accepted Deliverable.

**qq. Reserved**

Definition reserved.

**rr. Services**

The labor or work, necessary or appropriate for the Contractor to Perform.

**ss. Reserved**

Definition reserved.

**tt. Site**

Location(s) specified by the Client Agency where Deliverables are to be installed, Services rendered, or materials furnished.

**uu. Solicitation**

A State request, in whatever form issued, inviting bids, proposals or quotes for Deliverables, typified by, but not limited to, an invitation to bid, request for proposal, requests for information or request for quotes. The Solicitation and this Contract shall be governed by the statutes, regulations and procedures of DAS. The Solicitation is incorporated into and made a part of this Contract as if it had been fully set forth in it if, but only if, the Solicitation is in the form of an invitation to bid, request for information or request for quotes. A Solicitation in the form of a request for proposal is not incorporated into this Contract in its entirety, but, rather, it is incorporated into this Contract only to the extent specifically stated in Exhibit A.

**vv. Solicitation Response**

A submittal in response to a Solicitation.

**ww. Reserved**

Definition reserved.

**xx. Specifications**

Contractor's published technical and non-technical detailed descriptions of each Deliverable's capabilities, or intended use or both, as more fully set forth in this Contract or a Statement of Work, as applicable.

**yy. Reserved**

Definition reserved.

**zz. State**

The State of Connecticut, including DAS, the Client Agency and any office, department, board, council, commission, institution or other agency of the State.

**aaa. Statement of Work (SOW)**

Statement issued in connection with a Purchase Order for a Deliverable or Service available under this Contract which sets forth all work and payment requirements for Contractor's Performance in connection with said Purchase Order.

**bbb. Reserved**

Definition reserved.

**ccc. Term**

The original term of this Contract plus any extensions exercised under this Contract.

**ddd. Termination**

An end to this Contract prior to the end of its Term.

**eee. Reserved**

Definition reserved.

**fff. Reserved**

Definition reserved.

**ggg. Reserved**

Definition reserved.

**hhh. Reserved**

Definition reserved.

**iii. Reserved**

Definition reserved.

**jjj. Reserved**

Definition reserved.

**kkk. Reserved**

Definition reserved.

**III. Reserved**

Definition reserved.

**2. Term of Contract; Contract Extensions**

This Contract will be in effect from July 1, 2021 (the "Effective Date") through June 30, 2022. DAS, in its sole discretion, may extend this Contract for additional terms beyond the Term, prior to Termination or expiration, one or more times for a combined total period not to exceed the complete length of the original Term.

**3. Description of Deliverables**

The Contractor shall Perform as set forth in Exhibit A.

**4. Price Schedule, Payment Terms and Billing and Price Adjustments**

a. Price Schedule:

Price Schedule under this Contract is set forth in Exhibit B.

b. Payment Terms and Billing:

1. Payment shall be made only after the Client Agency receives and accepts the Goods or Services and after it receives a properly completed invoice. Unless otherwise specified in this Contract, payment for all accepted Goods or Services shall be due within forty five (45) days after acceptance of the Goods or Services, or twenty-five (25) days if the Contractor is a certified small contractor or minority business enterprise as defined in Conn. Gen. Stat. § 4a-60g. The Contractor shall submit an invoice to the Client Agency for the Performance. The invoice shall include detailed information for Goods or Services, delivered and Performed, as applicable, and accepted. Any late payment charges shall be calculated in accordance with the Connecticut General Statutes.
2. The State shall make all payments to the Contractor through electronic funds transfer via the Automated Clearing House ("ACH"). Contractor shall enroll in ACH through the Office of the State Comptroller prior to sending any invoice to the State. The Contractor may obtain detailed information regarding ACH at: <http://www.osc.ct.gov/vendor/directdeposit.html>
3. Notwithstanding any language regarding Contractor price increases herein, the Price Schedule will be adjusted to reflect any increase in the minimum wage rate that may occur



during the term of this Contract as mandated by State law and in accordance with the terms of this Section. Contractor shall provide documentation, in the form of certified payroll or other documentation acceptable to the State substantiating the amount of any increase in Contractor labor costs as a result of changes to the minimum wage rate within ninety (90) days of the statutorily identified effective date of any increase in the minimum wage. Upon receipt, and verification of Contractor documentation DAS shall adjust the Price Schedule accordingly through a supplement to this Contract.

c. Price Adjustments

Pricing shall remain firm for the duration of the Contract.

## 5. Reserved

Provision reserved.

## 6. Reserved

Provision reserved.

## 7. Cost Modifications

The parties may agree to a reduction in the cost of this Contract at any time during which this Contract is in effect. Without intending to impose a limitation on the nature of the reduction, the reduction may be to hourly, staffing or unit costs, the total cost of this Contract or the reduction may take such other form as the State deems to be necessary or appropriate.

## 8. Order and Delivery

The Contractor shall Perform in accordance with Exhibit A and at the prices set forth in Exhibit B. Except as it may otherwise be set forth in Exhibit B, the Contractor shall deliver the Goods F.O.B. wherever specified by the Client Agency in its Purchase Order or in another communication to Contractor.

Subject to the Sections in this Contract concerning Force Majeure, Termination and Open Market Purchases, this Contract shall bind the Client Agency to order the Deliverables from the Contractor, and to pay for the accepted Deliverables in accordance with Exhibit B.

## 9. Purchase Orders

- a. This Contract itself is not an authorization for the Contractor to begin Performance in any way. The Contractor may begin Performance only after it has received a duly issued Purchase Order against this Contract for Performance.
- b. The Client Agency shall issue a Purchase Order against this Contract directly to the Contractor and to no other party.
- c. All Purchase Orders shall be in written or electronic form, bear the Contract number (if any) and comply with all other State and Client Agency requirements, particularly the Client Agency's requirements concerning procurement. Purchase Orders issued in compliance with such requirements shall be deemed to be duly issued.
- d. A Contractor Performing without a duly issued Purchase Order in accordance with this Section does so at the Contractor's own risk.

- e. The Client Agency may, in its sole discretion, deliver to the Contractor any or all duly issued Purchase Orders via electronic means only, such that the Client Agency shall not have any additional obligation to deliver to the Contractor a “hard copy” of the Purchase Order or a copy bearing any hand-written signature or other “original” marking.

## **10. Delivery**

- a. Delivery shall be made as ordered and in accordance with this Contract. Unless otherwise specified in this Contract, delivery shall be to a loading dock or receiving platform. The Contractor or Contractor’s shipping designee shall be responsible for removal of Goods from the carrier and placement on the Client Agency loading dock or receiving platform. The receiving personnel of the Client Agency are not required to assist in this process. The decision of DAS as to reasonable compliance with delivery terms shall be final and binding. The burden of proof of proper receipt of the order shall rest with the Contractor.
- b. In order for the time of delivery to be extended, the Client Agency must first approve a request for extension from the time specified in this Contract, such extension applying only to the particular item or shipment.
- c. Goods shall be securely and properly packed for shipment, according to accepted standard commercial practice, without extra charge for packing cases, baling or sacks. The containers shall remain the property of the Client Agency unless otherwise stated in this Contract.
- d. All risk of loss and damage to the Goods transfers to the Client Agency upon Title vesting in the Client Agency.

## **11. Time of the Essence**

Time is of the essence with respect to all provisions of this Contract that specify a time for Performance; provided, however, that this provision shall not be construed to limit or deprive a party of the benefits of any grace or use period allowed in this Contract.

## **12. Waiver**

- a. No waiver of any Breach of this Contract shall be interpreted or deemed to be a waiver of any other or subsequent Breach. All remedies afforded in this Contract shall be taken and construed as cumulative, that is, in addition to every other remedy provided in this Contract or at law or in equity.
- b. A party’s failure to insist on strict performance of any provision of this Contract shall only be deemed to be a waiver of rights and remedies concerning that specific instance of Performance and shall not be deemed to be a waiver of any subsequent rights, remedies or Breach.

## **13. Goods: Standards and Appurtenances and Inspection**

- a. Standards and Appurtenances

Any Goods delivered must be standard new Goods, latest model, except as otherwise specifically stated in this Contract. Remanufactured, refurbished or reconditioned equipment may be accepted but only to the extent allowed under this Contract. Where this Contract does not specifically list or describe any parts or nominal appurtenances of equipment for the Goods, it shall be understood that the Contractor shall deliver such equipment and appurtenances as are usually provided with the manufacturer's stock model.

b. Inspection

The Commissioner of DAS, in consultation with the Client Agency, shall determine the manner and prescribe the inspection of all Goods and the tests of all samples submitted to determine whether they comply with all of the Specifications in this Contract. If any Goods fail in any way to meet the Specifications in this Contract, the Client Agency or the Commissioner of DAS may, in its sole discretion, either reject it and owe nothing or accept it and pay for it on an adjusted price basis, depending on the degree to which the Goods meet the Specifications. Any decision pertaining to any such failure or rejection shall be final and binding.

#### **14. Emergency Standby for Deliverables**

If any Federal or State official, having authority to do so, declares an emergency or the occurrence of a natural disaster within the State of Connecticut, DAS and the Client Agency may request the Goods and Services on an expedited and prioritized basis. Upon receipt of such a request the Contractor shall make all necessary and appropriate commercially reasonable efforts to reallocate its staffing and other resources in order to give primary preference to Performing this Contract ahead of or prior to fulfilling, in whole or in part, any other contractual obligations that the Contractor may have. The Contractor is not obligated to make those efforts to Perform on an expedited and prioritized basis in accordance with this paragraph if doing so will make the Contractor materially breach any other contractual obligations that the Contractor may have.

Contractor shall acknowledge receipt of any request made pursuant to this paragraph within 2 hours from the time that the Contractor receives it via Purchase Order or through a request to make an expedited or prioritized purchase through the State of Connecticut Purchasing Card (MasterCard) Program (the "P-Card Program"). If the Contractor fails to acknowledge receipt within 2 hours, confirm its obligation to Perform or actually Perform, as set forth in the Purchase Order or through the P-Card Program, then DAS and the Client Agency may procure the Performance from another source without further notice to Contractor and without creating any right of recourse at law or in equity against DAS or Client Agency.

#### **15. Reserved**

Provision reserved.

#### **16. Reserved**

Provision reserved.

#### **17. Reserved**

Provision reserved.

#### **18. Rejected Items; Abandonment**

- a. The Contractor may deliver, cause to be delivered, or, in any other way, bring or cause to be brought, to any State premises or other destination, Goods, as samples or otherwise, and other supplies, materials, equipment or other tangible personal property. The State may, by written notice and in accordance with this Contract, direct the Contractor to remove any or all such Goods ("the "Rejected Goods") and any or all other supplies, materials, equipment or other tangible personal property (collectively, the "Contractor Property") from and out of State premises and any other location which the State manages, leases or controls. The Contractor shall remove the Rejected Goods and the Contractor Property in accordance with the terms and conditions of the written notice. Failure to remove the Rejected Goods or the Contractor Property in accordance with the terms and conditions of the written notice shall mean, for itself and all Contractor Parties, that:

1. they have voluntarily, intentionally, unconditionally, unequivocally and absolutely abandoned and left unclaimed the Rejected Goods and Contractor Property and relinquished all ownership, title, licenses, rights, possession and interest of, in and to (collectively, "Title") the Rejected Goods and Contractor Property with the specific and express intent of (A) terminating all of their Title to the Rejected Goods and Contractor Property, (B) vesting Title to the Rejected Goods and Contractor Property in the State of Connecticut and (C) not ever reclaiming Title or any future rights of any type in and to the Rejected Goods and Contractor Property;
  2. there is no ignorance, inadvertence or unawareness to mitigate against the intent to abandon the Rejected Goods or Contractor Property;
  3. they vest authority, without any further act required on their part or the State's part, in the Client Agency and the State to use or dispose of the Rejected Goods and Contractor Property, in the State's sole discretion, as if the Rejected Goods and Contractor Property were the State's own property and in accordance with law, without incurring any liability or obligation to the Contractor or any other party;
  4. if the State incurs any costs or expenses in connection with disposing of the Rejected Goods and Contractor Property, including, but not limited to, advertising, moving or storing the Rejected Goods and Contractor Property, auction and other activities, the State shall invoice the Contractor for all such cost and expenses and the Contractor shall reimburse the State no later than thirty (30) days after the date of invoice; and
  5. they do remise, release and forever discharge the State and its employees, departments, commissions, boards, bureaus, agencies, instrumentalities or political subdivisions and their respective successors, heirs, executors and assigns (collectively, the "State and Its Agents") of and from all Claims which they and their respective successors or assigns, jointly or severally, ever had, now have or will have against the State and Its Agents arising from the use or disposition of the Rejected Goods and Contractor Property.
- b. The Contractor shall secure from each Contractor Party, such document or instrument as necessary or appropriate as will vest in the Contractor plenary authority to bind the Contractor Parties to the full extent necessary or appropriate to give full effect to all of the terms and conditions of this Section. The Contractor shall provide, no later than fifteen (15) days after receiving a request from the State, such information as the State may require to evidence, in the State's sole determination, compliance with this Section.

## **19. Reserved**

Provision reserved.

## **20. Reserved**

Provision reserved.

## **21. Reserved**

Provision reserved.

## **22. Reserved**

Provision reserved.

### **23. Reserved**

Provision reserved.

### **24. Reserved**

Provision reserved.

### **25. Working and Labor Synergies**

The Contractor shall be responsible for maintaining a tranquil working relationship between the Contractor work force, the Contractor Parties and their work force, State employees, and any other contractors present at the work site. The Contractor shall quickly resolve all labor disputes which result from the Contractor's or Contractor Parties' presence at the work site, or other action under their control. Labor disputes shall not be deemed to be sufficient cause to allow the Contractor to make any claim for additional compensation for cost, expenses or any other loss or damage, nor shall those disputes be deemed to be sufficient reason to relieve the Contractor from any of its obligations under this Contract.

### **26. Background Checks**

The Contractor and Contractor Parties shall submit to and incur the cost of fingerprint supported federal and state criminal history background checks as may be required by the State, the State of Connecticut Department of Emergency Services and Public Protection, or as provided for in any State document that governs procedures for background checks. The Contractor and Contractor Parties shall cooperate fully as necessary or reasonably requested with the State and its agents in connection with such background checks.

### **27. Reserved**

Provision reserved.

### **28. Reserved**

Provision reserved.

### **29. Contractor Guaranties and Implied Warranties**

- a. Contractor shall:
  1. Perform fully under this Contract;
  2. Guarantee the Goods or Services against defective material or workmanship and to repair any damage or marring occasioned in transit or, at the Client Agency's option, replace them;
  3. Furnish adequate protection from damage for all work and to repair damage of any kind, for which its workers are responsible, to the premises, Goods, the Contractor's work or that of Contractor Parties;
  4. With respect to the provision of Services, pay for all permits, licenses and fees and give all required or appropriate notices.
  5. Adhere to all Contractual provisions ensuring the confidentiality of Records that the Contractor

has access to and are exempt from disclosure under the State's Freedom of Information Act or other applicable law; and

6. Neither disclaim, exclude nor modify the implied warranties of fitness for a particular purpose or of merchantability.

b. Implied Warranties:

DAS does not disclaim, exclude or modify the implied warranty of fitness for a particular purpose or the warranty of merchantability.

### **30. Reserved**

Provision reserved.

### **31. Sales and Use Report**

Contractor shall deliver a sales and use report on a quarterly basis, in form and content as pre-approved by DAS or the Client Agency. The Contractor shall deliver the report within ten (10) days following the end of each calendar quarter. The Contractor shall provide the Client Agency with any additional reports as the Client Agency may request from time to time within ten (10) days following receipt of the Client Agency's written request. Timely submission of these reports is a material requirement of this Contract. All Title and property rights and interests in and to the reports and the data in the media containing the reports at all times is and will always remain vested in the State. At no time will Contractor have Title to such reports, data or media, wherever located. Accordingly, the Client Agency shall have a perpetual, irrevocable, non-exclusive, transferable right to display, modify, copy and otherwise use the reports, data, and information provided under this Section.

### **32. Breach**

- a. If one party (the "Non-breaching Party") determines that the other (the "Breaching Party") has failed to comply with any of the Breaching Party's corresponding Contract obligations (a "Breach"), then the "Non-Breaching Party shall provide written notice of such failure to the Breaching Party in accordance with this Contract. The Non-breaching Party must provide the Breaching Party an opportunity to remedy the Breach within thirty (30) calendar days from the date of the notice. However, if Contractor is the Breaching Party, then the Client Agency may set forth any remedy period in the notice, so long as that period is otherwise consistent with the provisions of this Contract. The period set forth in the notice is known as the "Remedy Period." The Non-breaching Party shall extend the Remedy Period if it is satisfied that the Breaching Party is making a good faith effort to remedy the Breach, but the nature of the Breach is such that it cannot be remedied within the Remedy Period.
- b. If the Client Agency determines that the Contractor has committed a Breach, then the Client Agency may require the Contractor to, and Contractor shall, prepare and submit to the Client Agency a Corrective Action Plan ("CAP") in connection with the identified Breach. Contractor shall provide in the CAP a detailed explanation of the deficiencies and other factors that contributed to the cited Breach, Contractor's assessment or diagnosis of Breach (identifying the deficiencies and factors in reasonable detail, with references to the applicable Specifications), and, a specific proposal to remedy or resolve the Breach. Contractor shall submit the CAP to the Client Agency within (10) Business Days following the Client Agency's request for the CAP for the Client Agency's review and approval. Within (10) Business Days of receiving the CAP, the Client Agency must either approve the CAP, or, reject it by delivering to Contractor a written explanation for the rejection. If the Client Agency fails to accept or reject the CAP within the (10) Business Days, then the CAP is deemed to have been approved, without more. The Client Agency's explanation for the rejection must include suggestions for changes to the CAP and the Contractor

shall address the suggestions in such a manner to make it likely that the Client Agency will approve the CAP when the Contractor re-submits it to the Client Agency for review and approval. If the Client Agency rejects a CAP, then the parties will repeat this submittal and review process until the earliest of one of the following: (1) The Client Agency accepts a CAP, (2) the Client Agency waives its right to receive a CAP, (3) Contractor remedies the Breach, (4) the Client Agency waives the Breach, or (5) the Client Agency makes a determination to Terminate this Contract. After the first rejection, each of the parties will have (5) Business Days, instead of (10) Business Days, within which to review the CAP. Each subsequent revision and review will be for up to (3) Business Days each instead of (10) or (5) Business Days.

- c. If the Client Agency determines that the Contractor has Breached this Contract, then the Client Agency may withhold payment in whole or in part for any amounts due pending resolution of the Performance issue, provided that the Client Agency notifies Contractor in writing prior to the date that the payment would have been due.
- d. For purposes of the Client Agency determining whether there is a Breach under this Contract, or whether any statement in the Representations and Warranties Section of this Contract is false or misleading, the parties deem the Acts of the Contractor Parties to be the Acts of the Contractor itself, as if the Contractor itself was the subject of the Acts which the Client Agency considers in determining if there was a Breach, or, an instance of false or misleading statements, or both.
- e. The written notice of the Breach may include an effective Termination date. If the identified Breach is not remedied by the stated Termination date, unless otherwise modified by the Non-breaching Party in writing before such date, no further action shall be required of any party to effect the Termination as of the stated date. If the notice does not set forth an effective Termination date, then the Non-breaching Party shall provide the Breaching Party no less than twenty four (24) hours' prior written notice before terminating this Contract.
- f. Notwithstanding any provisions in this Contract, DAS may terminate this Contract with no Remedy Period for Contractor's Breach or violation of any of the representations or warranties in this Contract and revoke any consent to assignments given as if the assignments had never been requested or consented to, without liability to Contractor or Contractor Parties or any third party. Termination under this Breach section is subject to the provisions of the Termination Section of this Contract. In case of such revocation or Termination, the Client Agency will have no liability or responsibility to Contractor or Contractor Parties or any third party, or any of them, resulting from the Termination or revocation.
- g. None of the State's rights under this Breach Section diminishes the State's rights under the Termination Section of this Contract.

### **33. Termination**

- a. Notwithstanding any provisions in this Contract, DAS, through a duly authorized employee, may Terminate this Contract whenever DAS makes a written determination that such Termination is in the best interests of the State. DAS 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 its Performance under this Contract prior to such date.
- b. Notwithstanding any provisions in this Contract, either party, through a duly authorized employee, may, after making a written determination that the other party has Breached this Contract and has failed to remedy the Breach, Terminate this Contract in accordance with the Breach Section of this Contract.
- c. Notices of Termination must be sent certified in accordance with the Notice Section of this

Contract. Upon receiving the Termination notice from DAS, the Contractor shall immediately modify or discontinue all Performance affected in accordance with the terms of the notice, undertake commercially reasonable efforts to mitigate any losses or damages and deliver to DAS or the Client Agency (as directed in the notice) all Records. The Records are deemed to be the property of the State and the Contractor shall deliver them to DAS or the Client Agency (as directed in the notice) no later than thirty (30) days after the Termination of this Contract or fifteen (15) days after the Contractor receives a written request from DAS for the Records. The Contractor shall deliver those Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT.

- d. Except for any work which DAS directs the Contractor to Perform in the notice prior to the effective date of Termination, and except as otherwise provided in the notice, the Contractor shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further subcontracts, purchase orders or commitments.
- e. The Client Agency shall, within forty-five (45) days of the effective date of Termination, reimburse the Contractor for its Performance rendered and accepted by the Client Agency in accordance with Exhibit A or a SOW, as applicable, in addition to all actual and reasonable costs incurred after Termination in completing those portions of the Performance which the notice required the Contractor to complete. However, the Contractor is not entitled to receive and the Client Agency will not tender to the Contractor any payments for anticipated or lost profits. Upon request by the Client Agency, the Contractor shall assign to the Client Agency, or any replacement contractor which the Client Agency designates, all subcontracts, Purchase Orders and other commitments, deliver to the Client Agency all Records and other information pertaining to its Performance, and remove from State premises, whether leased or owned, all of Contractor's property, equipment, waste material and rubbish related to its Performance, all as DAS or the Client Agency (as directed in the notice) may request.
- f. Upon Termination 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 this Contract shall survive such Termination to the extent not otherwise limited in this Contract and without each one of them having to be specifically mentioned in this Contract.
- g. Termination of this Contract pursuant to this Section shall not be deemed to be a Breach of contract by DAS or the Client Agency.

### **34. Continued Performance**

The Contractor and Contractor Parties shall continue to Perform their obligations under this Contract while any dispute concerning this Contract is being resolved.

### **35. Open Market Purchases**

Failure of the Contractor to Perform within the time specified in this Contract, or failure to replace rejected or substandard Goods or fulfill unperformed Services when so requested and as this Contract provides or allows, constitutes a Breach of this Contract and as a remedy for such Breach, such failure shall constitute authority for DAS, if it deems it to be necessary or appropriate in its sole discretion, to Terminate this Contract and/or to purchase on the open market, Goods or Services to replace those which have been rejected, not delivered, or not Performed. The Client Agency shall invoice the Contractor for all such purchases to the extent that they exceed the costs and expenses in Exhibit B and the Contractor shall pay the Client Agency's invoice immediately after receiving the invoice. If DAS does not Terminate this Contract, the Client Agency will deduct such open market purchases from this Contract's quantities. However, if the Client Agency deems it to be in the best



interest of the State, the Client Agency may accept and use the Goods or Services delivered which are substandard in quality, subject to an adjustment in price to be determined by the Client Agency.

### **36. Setoff**

The State, in its sole discretion, may setoff and withhold (1) any costs or expenses including but not limited to costs or expenses such as overtime, that the State incurs resulting from the Contractor's unexcused Breach under this Contract and under any other agreement or arrangement that the Contractor has with the State and (2) any other amounts or whatever nature 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 this Contract, or under any other agreement or arrangement that the Contractor has with the State. The State's right of setoff and to withhold shall not be deemed to be the State's exclusive remedy for the Contractor's or Contractor Parties' Breach of this Contract, all of which shall survive any setoffs and withholdings by the State.

### **37. Cross-Default**

If the Contractor or Contractor Parties Breach, default or in any way fail to Perform satisfactorily under this Contract, then DAS may, in its sole discretion, without more and without any action whatsoever required of the State, 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 or Contractor Parties have with DAS. Accordingly, DAS may then exercise at its sole option any and all of its rights or remedies provided for in this Contract or Other Agreements, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of DAS, as if the Contractor or Contractor Parties had suffered a breach, default or failure to perform under the Other Agreements

### **38. Sovereign Immunity**

The parties acknowledge and agree that nothing in this Contract 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 this Contract. To the extent that this Section conflicts with any other Section, this Section shall govern.

### **39. Representations and Warranties**

Contractor represents and warrants to the State for itself and, as applicable, the Contractor Parties that:

- a. each is a duly and validly existing under the laws of each such entity's respective states of organization and authorized to conduct business in the State of Connecticut in the manner contemplated by this Contract. Further, as appropriate, each has taken all necessary action to authorize the execution, delivery and Performance of this Contract and have the power and authority to execute, deliver and Perform its obligations under this Contract;
- b. each will comply with all applicable State and Federal laws and municipal ordinances in satisfying its obligations to the State under and pursuant to this Contract, including, but not limited to (1) Connecticut General Statutes Title 1, Chapter 10, concerning the State's Codes of Ethics; Title 4a, Chapter 51 concerning State purchasing; and (3) Title 22a, Chapter 446c, section 22a-194a concerning the use of polystyrene foam;
- c. the execution, delivery and Performance of this Contract 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: (1) any provision of law; (2) any order of any court or the State; or any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;

- d. each is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental entity;
- e. as applicable, each has not, within the three years preceding the Effective Date of this Contract, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them or against any person who would Perform under this Contract, 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 or property, making false statements, or receiving stolen property;
- f. each is not presently indicted for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above;
- g. they have notified DAS in writing whether they have had any contracts with any governmental entity Terminated for cause within the three (3) years preceding the Effective Date;
- h. none has employed or retained any entity or person, other than a bona fide employee working solely for them, to solicit or secure this Contract and it has not paid or agreed to pay any entity or person, other than a bona fide employee working solely for them, any fee, commission, percentage, brokerage fee, gifts, or any other consideration contingent upon or resulting from the award or making of this Contract or any assignments made in accordance with the terms of this Contract;
- i. to the best of each entity's knowledge, there are no Claims involving Contractor or Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to Perform fully under this Contract;
- j. each shall disclose, to the best of its knowledge, to the State in writing any Claims involving it that would be required disclosure on Form 8-K of the Securities Exchange Act of 1934 no later than ten (10) calendar days after becoming aware or after it should have become aware of any such Claims. For purposes of the Contractor's obligation to disclose any Claims to the State, the ten (10) calendar days in the Section of this Contract concerning disclosure of Contractor Parties litigation shall run consecutively with the ten (10) days provided for in this representation and warranty;
- k. each entity's participation in the Solicitation 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;
- l. the proposal submitted by Contractor in response to the Solicitation was not made in connection or concert with any other person, entity or proposer, including any affiliate (as defined in the Tangible Personal Property Section of this Contract) of the proposer, submitting a proposal for the same Solicitation, and is in all respects fair and without collusion or fraud;
- m. each is able to Perform under this Contract using their own resources or the resources of a party who has not submitted a proposal;
- n. if Contractor does not have plenary authority to make the representations and warranties in this Section, as applicable, on behalf of Contractor Parties, then Contractor shall enter into a written contract with Contractor Parties, in which contract Contractor Parties shall make all of the

applicable representations and warranties in this Section;

- o. each has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut; they have a record of compliance with Occupational Health and Safety Administration regulations without any unabated, willful or serious violations;
- p. one owes unemployment compensation contributions;
- q. none is delinquent in the payment of any taxes owed, or, that they have filed a sales tax security bond, and they have, if and as applicable, filed for motor carrier road tax stickers and have paid all outstanding road taxes;
- r. all of each entity's vehicles have current registrations and, unless such vehicles are no longer in service, they shall not allow any such registrations to lapse;
- s. each Contractor Party has vested in the Contractor plenary authority to bind the Contractor Parties to the full extent necessary or appropriate to ensure full compliance with and Performance in accordance with all of the terms of this Contract and that all appropriate parties shall also provide, no later than fifteen (15) days after receiving a request from DAS or the Client Agency, such information as DAS or the Client Agency may require to evidence, in their sole determination, compliance with this Section;
- t. each either owns or has the authority to use all the Deliverables;
- u. to the best knowledge of Contractor, the Deliverables do not infringe or misappropriate any patent, copyright, trade secret or other intellectual property right of a third party;
- v. to the best knowledge of Contractor, the Client Agency's use of any Deliverables in a manner consistent with this Contract shall not infringe or misappropriate any patent, trade secret or other intellectual property right of a third party;
- w. if any party shall procure any Deliverables, they shall sublicense such Deliverables and that the Client Agency shall be afforded the full benefits of any manufacturer or subcontractor licenses for the use of the Deliverables; and
- x. each shall assign or otherwise transfer to the Client Agency, or afford the Client Agency the full benefits of any manufacturer's warranty for the Deliverables, to the extent that such warranties are assignable or otherwise transferable to the Client Agency.

#### **40. Further Assurances**

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 Contract and which do not involve the vesting of rights or assumption of obligations other than those provided for in this Contract, in order to give full effect to this Contract and to carry out the intent of this Contract.

#### **41. Advertising**

The Contractor shall not refer to sales to the State for advertising or promotional purposes, including, but not limited to, posting any material or data on the Internet, without DAS' prior written approval.

## **42. Contractor Changes**

The Contractor shall notify DAS in writing no later than ten (10) days from the effective date of any change in:

- a. its certificate of incorporation or other organizational document;
- b. more than a controlling interest in the ownership of the Contractor; or
- c. the individual(s) in charge of the Performance.

This change shall not relieve the Contractor of any responsibility for the accuracy and completeness of the Performance. DAS, after receiving written notice by the Contractor of any such change, may require such agreements, releases and other instruments evidencing, to DAS' satisfaction, that any individuals retiring or otherwise separating from the Contractor have been compensated in full or that provision has been made for compensation in full, for all work performed under terms of this Contract. The Contractor shall deliver such documents to DAS in accordance with the terms of DAS' written request. DAS may also require, and the Contractor shall deliver, a financial statement showing that solvency of the Contractor is maintained. The death of any Contractor Party, as applicable, shall not release the Contractor from the obligation to Perform under this Contract; the surviving Contractor Parties, as appropriate, must continue to Perform under this Contract until Performance is fully completed.

## **43. Contractor Responsibility**

- a. The Contractor shall be responsible for the entire Performance under this Contract regardless of whether the Contractor itself Performs. The Contractor shall be the sole point of contact concerning the management of the Contract, including Performance and payment issues. The Contractor is solely and completely responsible for adherence by the Contractor Parties to all applicable provisions of this Contract.
- b. The Contractor shall exercise all reasonable care to avoid damage to the State's property or to property being made ready for the State's use, and to all property adjacent to any work site. The Contractor shall promptly report any damage, regardless of cause, to the State.

## **44. Reserved**

Provision reserved.

## **45. Security and/or Property Entrance Policies and Procedures**

Contractor shall adhere to established security and/or property entrance policies and procedures for each Client Agency. It is the responsibility of Contractor to understand and adhere to the Client Agency's policies and procedures prior to any to entering the Client Agency premises to Perform under this Contract.

## **46. Contractor Parties Litigation**

Contractor shall require that all Contractor Parties, as appropriate, disclose in writing to Contractor, to the best of their knowledge, any Claims involving the Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to Perform fully under this Contract, no later than ten (10) calendar days after becoming aware of or after they should have become aware of any such Claims.

#### **47. Protection of Confidential Information**

- a. Contractor and Contractor Parties have a duty to and shall, at their own expense, protect from a Confidential Information Breach any and all Confidential Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with the highest current industry standards and best practices, as they may be amended from time to time.
- b. Contractor and all Contractor Parties shall develop, implement and maintain a comprehensive written information security policy for the protection of Confidential Information that meets or exceeds current industry standards and best practices as they may be amended from time to time. The safeguards contained in the written information security policy must meet or exceed the standards for the protection of Confidential Information, and information of a similar character, as set forth in all applicable federal and State law and in written policy of the Client Agency or DAS concerning the confidentiality of Confidential Information. Such data-security program shall include, but not be limited to, the following:
  1. A security policy for employees related to the storage, access and transportation of data containing Confidential Information;
  2. Reasonable restrictions on access to records containing Confidential Information, including access to any locked storage where such records are kept and an auditable electronic system of logging and tracking the viewing, accessing or both of Confidential Information;
  3. A process for reviewing policies and security measures at least annually;
  4. Creating secure access controls to Confidential Information, including but not limited to passwords; and
  5. Encrypting of Confidential Information that is stored on laptops, portable devices and storage media or that is being transmitted electronically.
- c. Contractor and Contractor Parties shall notify DAS, the Client Agency and the Connecticut Office of the Attorney General as soon as practical, but no later than the next Business Day, after they become aware of or suspect that any Confidential Information which Contractor or Contractor Parties have come to possess or control has been subject to a Confidential Information Breach. If a Confidential Information Breach has occurred which, in the sole opinion of the Client Agency after consultation with the Attorney General, constitutes a breach of security as defined in Connecticut General Statutes, § 36a- 701b, or otherwise (Breach), the Contractor shall, within three (3) Business Days after the notification, present a credit monitoring and protection plan to the Commissioner of DAS, the Client Agency, and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring and protection plan shall be made available by the Contractor at its own cost and expense to all individuals affected by the Confidential Information Breach. Such credit monitoring or protection plan shall include, but is not limited to reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to Connecticut General Statutes § 36a-701a. Such credit monitoring or protection plans shall be approved by the State in accordance with this Section and shall cover a length of time commensurate with the circumstances of the Breach. Neither Contractor's nor any Contractor Party's costs and expenses for the credit monitoring and protection plan shall be recoverable from DAS, the Client Agency, or any State of Connecticut entity or any affected individuals and shall be outside of any liability cap or limitation contained in this Contract.
- d. Contractor shall incorporate the requirements of this Section in all subcontracts requiring each Contractor Party to safeguard Confidential Information in the same manner as provided for in this Section.

- e. Nothing in this Section shall supersede in any manner Contractor's or Contractor Party's obligations pursuant to the provisions of this Contract concerning the obligations of the Contractor to the Client Agency or DAS.

#### **48. Confidentiality; NonDisclosure**

The State shall exercise at least the same degree of care to safeguard any trade secrets or confidential information of Contractor as the State does its own property of a similar nature and shall take reasonable steps to ensure that neither the confidential information of Contractor nor any part of it will be disclosed for reasons other than its own business interests. Such prohibition on disclosures does not apply to disclosures by the State to its employees, agents or representatives, provided such disclosures are reasonably necessary to the State's use of the Deliverable, and provided further that the State will take all reasonable steps to ensure that the Deliverable is not disclosed by such parties in contravention of this Contract. The State's performance of the requirements of this Section shall be subject to the State of Connecticut Freedom of Information Act ("FOIA").

All Records, Client Agency Data, and any Data owned by the State in any form, in the possession of the Contractor or Contractor Parties, whether uploaded, collected, stored, held, hosted, located or utilized by Contractor and Contractor Parties directly or indirectly, must remain within the continental United States.

#### **49. Disclosure of Records Concerning Governmental Functions**

This Contract may be subject to the provisions of Section 1-218 of the Connecticut General Statutes. In accordance with this statute, each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of Sections 1-205 and 1-206 of the Connecticut General Statutes.

#### **50. Reserved**

Provision reserved.

#### **51. Reserved**

Provision reserved.

#### **52. Reserved**

Provision reserved.

#### **53. Reserved**

Provision reserved.

#### **54. Reserved**

Provision reserved.

#### **55. Reserved**

Provision reserved.

#### **56. Audit and Inspection of Plants, Places of Business and Records**

- a. The State and its agents, including, but not limited to, the Connecticut Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents, may, at reasonable hours, inspect and examine all of the parts of the Contractor's and Contractor Parties' plants and places of business which, in any way, are related to, or involved in, the Performance of this Contract.
- b. Contractor shall maintain, and shall require each Contractor Party to maintain, accurate and complete Records. Contractor shall make all of its and the Contractor Parties' Records available at all reasonable hours for audit and inspection by the State and its agents.
- c. The State shall make all requests for any audit or inspection in writing and shall provide the Contractor with at least twenty- four (24) hours' notice prior to the requested audit and inspection date. If the State suspects fraud or other abuse, or in the event of an emergency, the State is not obligated to provide any prior notice.
- d. Contractor will pay for all costs and expenses of any audit or inspection which reveals information that, in the sole determination of the State, is sufficient to constitute a Breach by the Contractor under this Contract. The Contractor will remit full payment to the State for such audit or inspection no later than 30 days after receiving an invoice from the State. If the State does not receive payment within such time, the State may setoff the amount from any moneys which the State would otherwise be obligated to pay the Contractor in accordance with this Contract.
- e. Contractor shall keep and preserve or cause to be kept and preserved all of its and Contractor Parties' Records until three (3) years after the latter of (1) final payment under this Contract, or (2) the expiration or earlier termination of this Contract, as the same may be modified for any reason. The State may request an audit or inspection at any time during this period. If any Claim or audit is started before the expiration of this period, the Contractor shall retain or cause to be retained all Records until all Claims or audit findings have been resolved.
- f. Contractor shall cooperate fully with the State and its agents in connection with an audit or inspection. Following any audit or inspection, the State may conduct and the Contractor shall cooperate with an exit conference.
- g. Contractor shall incorporate this entire Section verbatim into any contract or other agreement that it enters into with any Contractor Party.

#### **57. Audit Requirements for Recipients of State Financial Assistance**

For purposes of this paragraph, the word "contractor" shall be deemed to mean "nonstate entity," as that term is defined in Section 4-230 of the Connecticut General Statutes. The Contractor shall provide for an annual financial audit acceptable to the Client Agency for any expenditure of state awarded funds made by the Contractor. Such audit shall include management letters and audit recommendations. The State Auditors of Public Accounts shall have access to all records and accounts for the fiscal year(s) in which the award was made. The Contractor will comply with

federal and state single audit standards as applicable.

## **58. Indemnification**

- a. 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 arising, directly or indirectly, in connection with this Contract for the acts of commission or omission (collectively, the "Acts") of the Contractor or Contractor Parties; 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 this Contract. Contractor shall use counsel reasonably acceptable to the State in carrying out its obligations under this Section. Contractor's obligations under this Section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the Contractor's bid, proposal or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or non-copyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the Performance.
- b. Contractor shall not be responsible for indemnifying, defending or holding the State harmless from any liability arising due to the negligence of the State or any third party acting under the direct control or supervision of the State.
- c. Contractor shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of Contractor or any Contractor Parties. The State shall give Contractor reasonable notice of any such Claims.
- d. Contractor's duties under this Section shall remain fully in effect and binding in accordance with the terms of this Contract, 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 or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims or both.
- e. Contractor shall carry and maintain at all times during the Term of this Contract, and during the time that any provisions survive the Term of this Contract, sufficient commercial general liability insurance to satisfy its obligations under this Contract. Contractor shall name the State as an additional insured on the policy and shall provide a copy of the policy to DAS prior to the Effective Date of this Contract. Contractor shall not begin Performance until the delivery of the policy to DAS. The State shall be entitled to recover under the insurance policy even if a body of competent jurisdiction determines that the Client Agency or the State was contributorily negligent.

### **f. Limitation of Liability**

Contractor's liability to the State shall be limited to two and one-half (2.5) times the total amount paid or payable to Contractor by the State under this Contract, including any amendments; except that, with respect to this Contract under which multiple project awards are made, "amount paid or payable" will mean the total amount paid or payable to the Contractor under the Purchase Orders and applicable Statement(s) of Work for the Deliverable(s) or Service(s) for each project awarded to Contractor. The limitation of liability in this subparagraph under this Section shall not limit Contractor's liability for:

1. Any actual or alleged claim that the Deliverables or Services under this Contract infringe, misappropriate, or otherwise violate any intellectual property rights, including copyright and patent, by any software or other intangible deliverable, including open source software that may be included in the System, Deliverables, or Services provided under this Contract, or to



any other liability for infringement of third party intellectual property rights;

2. Claims arising against the State for bodily injury to persons or damage to real or tangible personal property caused by Contractor's negligence or willful misconduct;
  3. Contractor's breach of its data security privacy obligations, including, without limitation, those obligations in this Contract; or
  4. Contractor's gross negligence or willful misconduct.
- g. Neither party shall be liable for consequential, special, punitive, or incidental damages, or lost profits from any cause under this Contract.
- h. This Section shall survive the Termination of this Contract and shall not be limited by reason of any insurance coverage

### **59. Forum and Choice of Law**

The parties deem this Contract 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 this Contract to be, and 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 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 in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

### **60. References to Statutes, Public Acts, Regulations, Codes and Executive Orders**

All references in this Contract to any statute, public act, regulation, code or executive order shall mean such statute, public act, regulation, code or executive order, respectively, as it has been amended, replaced or superseded at any time. Notwithstanding any language in this Contract that relates to such statute, public act, regulation, code or executive order, and notwithstanding a lack of a formal amendment to this Contract, this Contract shall always be read and interpreted as if it contained the most current and applicable wording and requirements of such statute, public act, regulation, code or executive order as if their most current language had been used in and requirements incorporated into this Contract at the time of its execution.

### **61. Assignment**

The Contractor shall not assign any of its rights or obligations under this Contract, voluntarily or otherwise, in any manner without the prior written consent of DAS. DAS may void any purported assignment in violation of this Section and declare the Contractor in breach of Contract. Any Termination by DAS for a breach is without prejudice to DAS's or the State's rights or possible Claims.

### **62. Tangible Personal Property**

- a. Contractor on its behalf and on behalf of its Affiliates, as defined below, shall comply with the provisions of Conn. Gen. Stat. §12-411b, as follows:

1. For the Term, Contractor and its Affiliates shall collect and remit to the State of Connecticut, Department of Revenue Services, any Connecticut use tax due under the provisions of Chapter 219 of the Connecticut General Statutes for items of tangible personal property sold by the Contractor or by any of its Affiliates in the same manner as if the Contractor and such Affiliates were engaged in the business of selling tangible personal property for use in Connecticut and had sufficient nexus with the State under the provisions of Chapter 219 to be required to collect Connecticut use tax;
  2. A customer's payment of a use tax to the Contractor or its Affiliates relieves the customer of liability for the use tax;
  3. Contractor and its Affiliates shall remit all use taxes they collect from customers on or before the due date specified in this Contract if any, which may not be later than the last day of the month next succeeding the end of a calendar quarter or other tax collection period during which the tax was collected;
  4. Contractor and its Affiliates are not liable for use tax billed by them but not paid to them by a customer; and
  5. Any Contractor or Affiliate who fails to remit use taxes collected on behalf of its customers by the due date specified in this Contract shall be subject to the interest and penalties provided for persons required to collect sales tax under Chapter 219 of the general statutes.
- b. For purposes of this Section of this Contract, the word "Affiliate" means any person, as defined in Section 12-1 of the general statutes, that controls is controlled by, or is under common control with another person. A person controls another person if the person owns, directly or indirectly, more than ten per cent of the voting securities of the other person. The term "voting security" means a security that confers upon the holder the right to vote for the election of members of the board of directors or similar governing body of the business, or that is convertible into, or entitles the holder to receive, upon its exercise, a security that confers such a right to vote. "Voting security" includes a general partnership interest.
- c. Contractor represents and warrants that each of its Affiliates has vested in the Contractor plenary authority to so bind the Affiliates in any agreement with the State of Connecticut. Contractor on its own behalf and on behalf of its Affiliates shall also provide, no later than 30 days after receiving a request by the State's contracting authority, such information as the State may require to ensure, in the State's sole determination, compliance with the provisions of Chapter 219 of the Connecticut General Statutes, including, but not limited to, §12-411b.

### **63. Americans with Disabilities Act**

Contractor represents that it is familiar with the terms of the Americans with Disabilities Act, 42 U.S.C. §§12101 et seq, and that it is in compliance with the law. Failure of Contractor to satisfy this standard either now or during the Term as it may be amended will render this Contract voidable at the option of the State upon notice to Contractor. Contractor warrants that it will hold the State harmless from any liability that may be imposed upon the State as a result of any failure of Contractor to be in compliance with the Americans with Disabilities Act.

### **64. Health Insurance Portability and Accountability Act of 1996**

- a. If the Contractor is a Business Associate under the requirements of the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), as noted in this Contract, the Contractor must comply with all terms and conditions of this Section of the Contract. If the Contractor is not a Business Associate under HIPAA, this Section of the Contract does not apply to the Contractor for this Contract.

- b. The Contractor is required to safeguard the use, publication and disclosure of information on all applicants for, and all clients who receive, services under the Contract in accordance with all applicable federal and state law regarding confidentiality, which includes but is not limited to HIPAA, more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E.
- c. The State of Connecticut Agency named on page 1 of this Contract ("Agency") is a "covered entity" as that term is defined in 45 C.F.R. § 160.103.
- d. The Contractor is a "business associate" of the Agency, as that term is defined in 45 C.F.R. § 160.103.
- e. The Contractor and the Agency agree to the following in order to secure compliance with the HIPAA, the requirements of Subtitle D of the Health Information Technology for Economic and Clinical Health Act ("HITECH Act"), (Pub. L. 111-5, §§ 13400 to 13423), and more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, D and E (collectively referred to herein as the "HIPAA Standards").
- f. Definitions
  - 1. "Breach" shall have the same meaning as the term is defined in section 45 C.F.R. 164.402 and shall also include a use or disclosure of PHI that violates the HIPAA Standards.
  - 2. "Business Associate" shall mean the Contractor.
  - 3. "Covered Entity" shall mean the Agency of the State of Connecticut named on page 1 of this Contract.
  - 4. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 C.F.R. § 164.501.
  - 5. "Electronic Health Record" shall have the same meaning as the term is defined in section 13400 of the HITECH Act (42 U.S.C. §17921(5)).
  - 6. "Individual" shall have the same meaning as the term "individual" in 45 C.F.R. §160.103 and shall include a person who qualifies as a personal representative as defined in 45 C.F.R. § 164.502(g).
  - 7. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. part 160 and part 164, subparts A and E.
  - 8. "Protected Health Information" or "PHI" shall have the same meaning as the term "protected health information" in 45 C.F.R. § 160.103, and includes electronic PHI, as defined in 45 C.F.R. 160.103, limited to information created, maintained, transmitted or received by the Business Associate from or on behalf of the Covered Entity or from another Business Associate of the Covered Entity.
  - 9. "Required by Law" shall have the same meaning as the term "required by law" in 45 C.F.R. § 164.103.
  - 10. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his designee.
  - 11. "More stringent" shall have the same meaning as the term "more stringent" in 45 C.F.R. § 160.202.
  - 12. "This Section of the Contract" refers to the HIPAA Provisions stated herein, in their entirety.
  - 13. "Security Incident" shall have the same meaning as the term "security incident" in 45 CFR §164.304.
  - 14. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. part 160 and part 164, subpart A and C.
  - 15. "Unsecured protected health information" shall have the same meaning as the term as defined in 45 C.F.R. 164.402.
- g. Obligations and Activities of Business Associates.

1. Business Associate agrees not to use or disclose PHI other than as permitted or required by this Section of the Contract or as Required by Law.
2. Business Associate agrees to use and maintain appropriate safeguards and comply with applicable HIPAA Standards with respect to all PHI and to prevent use or disclosure of PHI other than as provided for in this Section of the Contract and in accordance with HIPAA standards.
3. Business Associate agrees to use administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of electronic protected health information that it creates, receives, maintains, or transmits on behalf of the Covered Entity.
4. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to the Business Associate of a use or disclosure of PHI by Business Associate in violation of this Section of the Contract.
5. Business Associate agrees to report to Covered Entity any use or disclosure of PHI not provided for by this Section of the Contract or any security incident of which it becomes aware.
6. Business Associate agrees, in accordance with 45 C.F.R. 502(e)(1)(ii) and 164.308(d)(2), if applicable, to ensure that any subcontractors that create, receive, maintain or transmit protected health information on behalf of the business associate, agree to the same restrictions, conditions, and requirements that apply to the business associate with respect to such information.
7. Business Associate agrees to provide access (including inspection, obtaining a copy or both), at the request of the Covered Entity, and in the time and manner designated by the Covered Entity, to PHI in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 C.F.R. § 164.524. Business Associate shall not charge any fees greater than the lesser of the amount charged by the Covered Entity to an Individual for such records; the amount permitted by state law; or the Business Associate's actual cost of postage, labor and supplies for complying with the request.
8. Business Associate agrees to make any amendments to PHI in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 C.F.R. § 164.526 at the request of the Covered Entity, and in the time and manner designated by the Covered Entity.
9. Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created, maintained, transmitted or received by, Business Associate on behalf of Covered Entity, available to Covered Entity or to the Secretary in a time and manner agreed to by the parties or designated by the Secretary, for purposes of the Secretary investigating or determining Covered Entity's compliance with the HIPAA Standards.
10. Business Associate agrees to document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder.
11. Business Associate agrees to provide to Covered Entity, in a time and manner designated by the Covered Entity, information collected in accordance with subsection (g)(10) of this Section of the Contract, to permit Covered Entity to respond to a request by an Individual for

an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder. Business Associate agrees at the Covered Entity's direction to provide an accounting of disclosures of PHI directly to an individual in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder.

12. Business Associate agrees to comply with any state or federal law that is more stringent than the Privacy Rule.
13. Business Associate agrees to comply with the requirements of the HITECH Act relating to privacy and security that are applicable to the Covered Entity and with the requirements of 45 C.F.R. §§ 164.504(e), 164.308, 164.310, 164.312, and 164.316.
14. In the event that an individual requests that the Business Associate
  - A. restrict disclosures of PHI;
  - B. provide an accounting of disclosures of the individual's PHI;
  - C. provide a copy of the individual's PHI in an electronic health record; or
  - D. amend PHI in the individual's designated record set the Business Associate agrees to notify the Covered Entity, in writing, within five business days of the request.
15. Business Associate agrees that it shall not, and shall ensure that its subcontractors do not, directly or indirectly, receive any remuneration in exchange for PHI of an Individual without
  - A. The written approval of the covered entity, unless receipt of remuneration in exchange for PHI is expressly authorized by this Contract and
  - B. The valid authorization of the individual, except for the purposes provided under section 13405(d)(2) of the HITECH Act, (42 U.S.C. § 17935(d)(2)) and in any accompanying regulations
16. Obligations in the Event of a Breach.
  - A. The Business Associate agrees that, following the discovery by the Business Associate or by a subcontractor of the Business Associate of any use or disclosure not provided for by this section of the Contract, any breach of unsecured protected health information, or any Security Incident, it shall notify the Covered Entity of such breach in accordance with Subpart D of Part 164 of Title 45 of the Code of Federal Regulations and this Section of the Contract.
  - B. Such notification shall be provided by the Business Associate to the Covered Entity without unreasonable delay, and in no case later than 30 days after the breach is discovered by the Business Associate, or a subcontractor of the Business Associate, except as otherwise instructed in writing by a law enforcement official pursuant to 45 C.F.R. 164.412. A breach is considered discovered as of the first day on which it is, or reasonably should have been, known to the Business Associate or its subcontractor. The notification shall include the identification and last known address, phone number and email address of each individual (or the next of kin of the individual if the individual is deceased) whose unsecured protected health information has been, or is reasonably believed by the Business Associate to have been, accessed, acquired, or disclosed during such breach.
  - C. The Business Associate agrees to include in the notification to the Covered Entity at least the following information:
    1. A description of what happened, including the date of the breach; the date of the discovery of the breach; the unauthorized person, if known, who used the PHI or to

- whom it was disclosed; and whether the PHI was actually acquired or viewed.
  2. A description of the types of unsecured protected health information that were involved in the breach (such as full name, Social Security number, date of birth, home address, account number, or disability code).
  3. The steps the Business Associate recommends that Individual(s) take to protect themselves from potential harm resulting from the breach.
  4. A detailed description of what the Business Associate is doing or has done to investigate the breach, to mitigate losses, and to protect against any further breaches.
  5. Whether a law enforcement official has advised the Business Associate, either verbally or in writing, that he or she has determined that notification or notice to Individuals or the posting required under 45 C.F.R. 164.412 would impede a criminal investigation or cause damage to national security and; if so, contact information for said official.
- D. If directed by the Covered Entity, the Business Associate agrees to conduct a risk assessment using at least the information in subparagraphs 1 to 4, inclusive of (g) (16) (C) of this Section and determine whether, in its opinion, there is a low probability that the PHI has been compromised. Such recommendation shall be transmitted to the Covered Entity within 20 business days of the Business Associate's notification to the Covered Entity.
- E. If the Covered Entity determines that there has been a breach, as defined in 45 C.F.R. 164.402, by the Business Associate or a subcontractor of the Business Associate, the Business Associate, if directed by the Covered Entity, shall provide all notifications required by 45 C.F.R. 164.404 and 45 C.F.R. 164.406.
- F. Business Associate agrees to provide appropriate staffing and have established procedures to ensure that individuals informed of a breach have the opportunity to ask questions and contact the Business Associate for additional information regarding the breach. Such procedures shall include a toll-free telephone number, an e-mail address, a posting on its Web site and a postal address. Business Associate agrees to include in the notification of a breach by the Business Associate to the Covered Entity, a written description of the procedures that have been established to meet these requirements. Costs of such contact procedures will be borne by the Contractor.
- G. Business Associate agrees that, in the event of a breach, it has the burden to demonstrate that it has complied with all notifications requirements set forth above, including evidence demonstrating the necessity of a delay in notification to the Covered Entity.
- h. Permitted Uses and Disclosure by Business Associate.
1. General Use and Disclosure Provisions  

Except as otherwise limited in this Section of the Contract, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Contract, provided that such use or disclosure would not violate the HIPAA Standards if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity.
  2. Specific Use and Disclosure Provisions
    - A. Except as otherwise limited in this Section of the Contract, Business Associate may use PHI for the proper management and administration of Business Associate or to

- carry out the legal responsibilities of Business Associate.
- B. Except as otherwise limited in this Section of the Contract, Business Associate may disclose PHI for the proper management and administration of Business Associate, provided that disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the person notifies Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.
  - C. Except as otherwise limited in this Section of the Contract, Business Associate may use PHI to provide Data Aggregation services to Covered Entity as permitted by 45 C.F.R. § 164.504(e)(2)(i)(B).
- i. Obligations of Covered Entity.
- 1. Covered Entity shall notify Business Associate of any limitations in its notice of privacy practices of Covered Entity, in accordance with 45 C.F.R. § 164.520, or to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
  - 2. Covered Entity shall notify Business Associate of any changes in, or revocation of, permission by Individual(s) to use or disclose PHI, to the extent that such changes may affect Business Associate's use or disclosure of PHI.
  - 3. Covered Entity shall notify Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.
- j. Permissible Requests by Covered Entity. Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the HIPAA Standards if done by the Covered Entity, except that Business Associate may use and disclose PHI for data aggregation, and management and administrative activities of Business Associate, as permitted under this Section of the Contract.
- k. Term and Termination.
- 1. Term. The Term of this Section of the Contract shall be effective as of the date the Contract is effective and shall terminate when the information collected in accordance with provision (g)(10) of this Section of the Contract is provided to the Covered Entity and all of the PHI provided by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.
  - 2. Termination for Cause Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity shall either:
    - A. Provide an opportunity for Business Associate to cure the breach or end the violation and terminate the Contract if Business Associate does not cure the breach or end the violation within the time specified by the Covered Entity; or
    - B. Immediately terminate the Contract if Business Associate has breached a material term of this Section of the Contract and cure is not possible.
    - C. If neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.
  - 3. Effect of Termination.
    - A. Except as provided in (k)(2) of this Section of the Contract, upon termination of this Contract, for any reason, Business Associate shall return or destroy all PHI received

from Covered Entity, or created, maintained, or received by Business Associate on behalf of Covered Entity. Business Associate shall also provide the information collected in accordance with section (g)(10) of this Section of the Contract to the Covered Entity within ten business days of the notice of termination. This section shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.

- B. In the event that Business Associate determines that returning or destroying the PHI is infeasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon documentation by Business Associate that return or destruction of PHI is infeasible, Business Associate shall extend the protections of this Section of the Contract to such PHI and limit further uses and disclosures of PHI to those purposes that make return or destruction infeasible, for as long as Business Associate maintains such PHI. Infeasibility of the return or destruction of PHI includes, but is not limited to, requirements under state or federal law that the Business Associate maintains or preserves the PHI or copies thereof.

I. Miscellaneous Sections.

1. Regulatory References. A reference in this Section of the Contract to a section in the Privacy Rule means the section as in effect or as amended.
2. Amendment. The Parties agree to take such action as is necessary to amend this Section of the Contract from time to time as is necessary for Covered Entity to comply with requirements of the Privacy Rule and the Health Insurance Portability and Accountability Act of 1996, Pub. L. No. 104191.
3. Survival. The respective rights and obligations of Business Associate shall survive the termination of this Contract.
4. Effect on Contract. Except as specifically required to implement the purposes of this Section of the Contract, all other terms of the Contract shall remain in force and effect.
5. Construction. This Section of the Contract shall be construed as broadly as necessary to implement and comply with the Privacy Standard. Any ambiguity in this Section of the Contract shall be resolved in favor of a meaning that complies, and is consistent with, the Privacy Standard.
6. Disclaimer. Covered Entity makes no warranty or representation that compliance with this Section of the Contract will be adequate or satisfactory for Business Associate's own purposes. Covered Entity shall not be liable to Business Associate for any claim, civil or criminal penalty, loss or damage related to or arising from the unauthorized use or disclosure of PHI by Business Associate or any of its officers, directors, employees, contractors or agents, or any third party to whom Business Associate has disclosed PHI contrary to the sections of this Contract or applicable law. Business Associate is solely responsible for all decisions made, and actions taken, by Business Associate regarding the safeguarding, use and disclosure of PHI within its possession, custody or control.
7. Indemnification. The Business Associate shall indemnify and hold the Covered Entity harmless from and against any and all claims, liabilities, judgments, fines, assessments, penalties, awards and any statutory damages that may be imposed or assessed pursuant to HIPAA, the HIPAA Standards, or the HITECH Act (all as amended), including, without limitation, attorney's fees, expert witness fees, costs of investigation, litigation or dispute resolution, and costs awarded thereunder, relating to or arising out of any violation by the Business Associate and its agents, including subcontractors, of any obligation of Business Associate and its agents, including subcontractors, under this Section of the Contract, under HIPAA, the HITECH Act, and the HIPAA Standards.



## 65. Executive Orders

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. This Contract may also be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, 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, and Executive Order No. 49 of Governor Dannel P. Malloy, promulgated May 22, 2015, mandating disclosure of certain gifts to public employees and contributions to certain candidates for office in accordance with their respective terms. If Executive Orders 14, 61 or 49 are applicable, they are deemed to be incorporated into and are made a part of this Contract as if it had been fully set forth in it. At the Contractor's request, the State shall provide a copy of these orders to the Contractor.

## 66. Non Discrimination

- a. For purposes of this Section, the following terms are defined as follows:
  1. "Commission" means the Commission on Human Rights and Opportunities;
  2. "Contract" and "contract" include any extension or modification of this Contract;
  3. "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;"
  4. "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;
  5. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
  6. "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;
  7. "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
  8. "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;

9. "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 Connecticut General Statutes § 32-9n; and
  10. "public works contract" means any agreement between any individual, firm 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.
- b. 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 quasi-public agency project contract, (2) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in C.G.S. § 1-267, (3) the federal government, (4) a foreign government, or (5) an agency of a subdivision, state or government described in the immediately preceding enumerated items (1), (2), (3), or (4).
1. The Contractor agrees and warrants that in the Performance of this 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 of 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 ensure 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 of 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 Connecticut General Statutes §§ 46a-68e and 46a- 68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 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 Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works 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 Connecticut General Statutes §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 this 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 Contract 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 Connecticut General Statutes §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 Connecticut General Statutes §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 Connecticut General Statutes § 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.

## **67. Whistleblower Provision**

This Contract may be subject to the provisions of Section 4-61dd of the Connecticut General Statutes. In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee's disclosure of information to any employee of the contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of such statute, Contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty percent of the value of this Contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with such statute, each large state contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

## **68. Summary of State Ethics Laws**

Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of this Contract as if the summary had been fully set forth in this Contract.

## **69. Campaign Contribution Restriction**

For all State contracts, defined in Conn. Gen. Stat. §9-612 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 expressly acknowledges receipt of 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, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations," attached as Exhibit C.

## **70. Reserved**

Provision reserved.

## **71. Partnering Efforts with DAS Supplier Diversity Program**

Contractor shall assist the DAS Supplier Diversity program and Client Agency in identifying Small Business Enterprises (SBE) and Minority Business Enterprises (MBE) Contractors (collectively known as SBE/MBE contractors). Contractor shall work with the Client Agency to procure Goods or Services from a SBE and MBE, as applicable, to support the Supplier Diversity program.

## **72. Reserved**

Provision reserved.

### **73. Reserved**

Provision reserved.

### **74. Force Majeure**

- a. The parties shall not be excused from their respective Contract obligations except in the case of Force Majeure Events and as otherwise provided for in this Contract.
- b. If a Force Majeure Event prevents a party from complying with any obligation or satisfying any conditions under this Contract, then that failure to comply will not constitute a Breach if (A) that party uses reasonable efforts to comply; (B) that party's failure to comply is not due to its failure to (i) take reasonable measures to protect itself against Force Majeure Events or (ii) develop and maintain a reasonable contingency plan to respond to Force Majeure Events; and (C) that party complies with its obligations under subsection (c) of this Section.
- c. If a Force Majeure Event occurs, then the noncomplying party shall promptly notify the other party of occurrence of that Force Majeure Event, its effect on its obligations under this Contract, and how long the noncomplying party expects the noncompliance to last. Thereafter, the noncomplying party shall update that information as reasonably necessary, or as the other party may reasonably request, whichever is more frequent. During a Force Majeure Event, the noncomplying party shall use reasonable efforts to limit damages to the other party and to resume complying with its Performance and obligations under this Contract.
- d. Failure to provide written notice of any Force Majeure Event as soon as the failing party becomes aware of it, or failure by the other party to Act in response to the notice, does not excuse any delays or failures in Performance or obligations.

### **75. Notice**

- a. All notices, demands, requests, consents, approvals or other communications required or permitted to be given or which are given with respect to this Contract (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, overnight express delivery service that provides for a return receipt. All such Notices shall be in writing and shall be addressed as follows:

If to DAS:

State of Connecticut Department of Administrative Services  
Procurement Division  
450 Columbus Boulevard, Suite 1202  
Hartford, CT 06103

Attention: Tina Costanzo

- b. Details regarding invoices and all technical or day-to-day administrative matters pertaining to this Contract shall be directed to:

Client Agency: The individual specified in the applicable Purchase Order.

Contractor: The individual designated by Contractor in the response to the Solicitation or as the Contractor may otherwise designate in writing to the Client Agency.

## **76. Headings**

The headings given to the Sections in this Contract are inserted only for convenience and are in no way to be construed as part of this Contract or as a limitation of the scope of the particular Section to which the heading refers.

## **77. Number and Gender**

Whenever the context so requires, the plural or singular shall include each other and the use of any gender shall include all genders.

## **78. Amendments, Supremacy, Entirety of Contract**

No amendment to or modification of this Contract shall be valid or binding unless made in writing, signed by the parties and, if applicable, approved by the Connecticut Attorney General. Any and all Purchase Orders, Statements of Work or other documents authorized in connection with this Contract shall be subject to the terms of this Contract. Any additional terms within any such Purchase Order, Statement of Work, or other document that contradict the terms of this Contract shall have no force or effect and shall in no way affect, change or modify any of the terms of this Contract. This Contract contains the complete and exclusive statement of the terms agreed to by the parties.

## **79. Severability**

If any term or provision of this Contract or its application to any person, entity or circumstance shall, to any extent, be held to be invalid or unenforceable, the remainder of this Contract or the application of such term or provision shall not be affected as to persons, entities or circumstances other than those as to whom or to which it is held to be invalid or unenforceable. Each remaining term and provision of this Contract shall be valid and enforced to the fullest extent possible by law.

## **80. Risk of Loss and Insurance**

The State shall not be liable to Contractor for any risk of Deliverable loss or damage while Deliverables are in transit, or while in the Client Agency's possession, except when such loss or damage is due directly to the Client Agency's negligence or intentional misconduct. Nothing in this Section is intended nor shall it be construed, in any manner, as waiving or compromising the sovereign immunity of the State.

The insurance required by this Section shall be written on an occurrence basis as opposed to a "claims made" basis and shall be on such forms, and contain such endorsements and terms, as shall be acceptable to DAS.

Before commencing Performance, the Contractor shall obtain and maintain at its own cost and expense for the Term of this Contract, the insurance described below. Contractor shall assume any and all deductibles in the described insurance policies. The Contractor's insurers shall have no right of recovery or subrogation against the State and the described Contractor's insurance shall be primary coverage. Any failure to comply with the claim reporting provisions of the policy shall not affect coverage provided to the State.

### **a. Commercial General Liability**

Throughout the Term and during the time that any provisions survive the Term, Contractor shall maintain, at Contractor's sole cost and expense, a policy or policies of commercial general liability insurance, including contractual liability coverage, in an amount not less than

\$1,000,000 for all damages arising out of bodily injuries to, or death of, all persons and injuries to or destruction of property, in any one accident or occurrence, and, subject to that limit per accident, a total (or aggregate) limit of \$2,000,000 per occurrence for all damages arising out of bodily injuries to, or death of, all persons and injuries to or destruction of property per policy period. The Contractor shall cause the State and its officers, agents and employees to be named as an additional insureds on the policy and shall provide (1) a certificate of insurance (2) the declaration page and (3) the additional insured endorsement to the policy to DAS all in an electronic format acceptable to DAS prior to the Effective Date evidencing such coverage. The Contractor shall not begin Performance until the delivery of these 3 documents to DAS. Contractor shall provide an annual electronic update of the 3 documents to DAS on or before each anniversary of the Effective Date during the Term. The State shall be entitled to recover under the insurance policy even if a body of competent jurisdiction determines that the State is contributorily negligent.

**b. Automobile Liability**

\$1,000,000 combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the vendor/contractor does not own an automobile, but one is used in the execution of this Contract, then only hired and non-owned coverage is required. If a vehicle is not used in the execution of this Contract then automobile coverage is not required.

**c. Workers' Compensation and Employer's Liability**

Contractor shall maintain Worker's Compensation and Employer's Liability insurance in compliance with the laws of the state of Connecticut, which coverage shall include Employer's Liability coverage with minimum limits of \$100,000 for each accident, \$500,000 for disease, and \$100,000 for each employee, per policy period.

**d. Excess/Umbrella Liability**

Excess/umbrella liability insurance may be included to meet minimum requirements. Umbrella coverage must indicate the existing underlying insurance coverage

**81. Client Agency Approval of Subcontractors**

Client Agency must approve any and all subcontractors utilized by the Contractor prior to any such subcontractor commencing any work. Contractor acknowledges that any work provided under this Contract to any State entity is work conducted on behalf of the State and that the Commissioner of DAS or his/her designee may communicate directly with any subcontractor as the State deems to be necessary or appropriate. Contractor must be responsible for all payment of fees charged by the subcontractor(s). A performance evaluation of any subcontractor must be provided promptly by the Contractor to DAS upon request. Contractor must provide the majority of the work associated with this Contract. It is understood that there may be times where conflicts due to scheduling may arise, which would lend the Contractor to utilize subcontractors to meet the Client Agency's needs. When this occurs, Contractor must alert Client Agency for approval of desired subcontractor before work is started.

**Contract #21PSX0049:  
Exhibit A – AMENDMENT 1  
Description of Deliverables**

**I. Scope**

This Contract is for Covid-19 Testing Services including all supplies and materials for the collection, transport, analysis, and reporting for SARS-CoV-2 testing for various geographic locations throughout the State. Testing services include diagnostic testing and genomic sequencing for current and future SARS-CoV-2 variants and substitutions of therapeutic concern as designated by the Centers for Disease Control and Prevention (CDC).

This Contract includes emerging testing and lab technologies and techniques as they become available and requested by the Client Agency through a Statement of Work as applicable.

Contractors shall adhere to applicable federal and State requirements, licenses, practices, and reporting in the Performance of this Contract.

**II. Statement of Work**

The Client Agency shall issue a Purchase Order and Statement of Work for the specific services being requested. The Statement of Work should include, at a minimum:

- A. Type of Test(s) requested and estimated quantities;
- B. Collection Services;
- C. Geographic Location(s);
- D. Data collection from testing participants;
- E. Insurance Billing instructions;
- F. Analysis and Reporting requirements, including report format, and frequency;
- G. Pricing pursuant to Exhibit B, Price Schedule; and
- H. Population(s) and test environment(s).

**III. Test Types**

- A. Contractor shall meet all federal and State requirements as applicable for the specific test type(s).
- B. Contractors shall provide testing for various test types currently utilized and recognized by the FDA/CDC including:
  - 1. Molecular Test – Individual test;
  - 2. Molecular Test – pooled;
  - 3. Antigen Test;
  - 4. Genomic Sequencing



**Contract #21PSX0049:  
Exhibit A – AMENDMENT 1  
Description of Deliverables**

- C. The Client Agency may, through a Purchase Order and Statement of Work, request additional test types as new testing solutions and methodologies become identified and available.
- D. Testing Capacity & Ramp Up  
  
Contractor shall provide current testing capacity and ramp up ability for each testing service identified in Exhibit B, Price Schedule.

**IV. Test Environments**

- A. Screening Testing: regular testing of asymptomatic individuals that may be among the general community or defined population(s), including:
  - 1. Department of Corrections (DOC) Inmates;
  - 2. State Employees;
  - 3. Nursing Home staff and/or residents;
  - 4. Higher Education staff and/or students;
  - 5. K-12 Schools staff and/or students;
  - 6. Non-medical congregate settings (e.g., residential care homes staff and/or residents); and
  - 7. Homeless Shelter residents
- B. Outbreak Testing: Contractor shall test in a congregate setting or other setting as identified by the Client Agency in a Statement of Work.
- C. Community Testing: Includes pop-up and permanent community sites.
- D. Other environments as defined by the Client Agency in a Statement of Work and mutually agreed to by the Parties.
- E. Site Preparation and Set-Up
  - 1. Client Agency may request Contractor site preparation and set-up for various test environments as applicable in a Statement of Work.
    - a. The Parties shall mutually agree to any additional costs associated with Contractor preparation and set-up of testing sites.
    - b. Contractor shall provide all supplies and materials for any site

**Contract #21PSX0049:  
Exhibit A – AMENDMENT 1  
Description of Deliverables**

preparation requested by the Client Agency.

**V. Collection and Transport Services**

- A. Contractor shall provide collection and transport services, including all supplies and materials to collect and transport specimens. Collection and transport methods shall be in adherence to requirements for the specific test(s).
- B. Contractors involved in specimen collection shall be responsible for case reporting (positive COVID-19 cases) to DPH and reporting results back to the individuals tested.

**VI. Laboratory Services**

A. Clinical Laboratories

Clinical Laboratory Improvement Amendments (CLIA) certificate must be submitted with your response for all moderate, high and waived complexity laboratories.

B. Research Labs

Research Labs may be used by the Client Agency for variant testing and genomic sequencing. Results are not used in the diagnosis or treatment and are submitted directly to the Client Agency.

**VII. Analysis and Reporting**

- A. Contractors shall provide analysis and reporting in adherence to applicable federal and State reporting requirements.
- B. The **State and the** Client Agency may request usage reports with specific formats and information as identified in an applicable Statement of Work.
- C. Contractor shall electronically transfer data (including insurance information) to the lab performing the test and reporting information back to the Client Agency.
- D. Reporting shall be pursuant to Exhibit D, Electronic Reporting of SARS-CoV-2 (Covid-19) Test Results and Whole Genome Sequencing Results as periodically amended by the Connecticut Department of Public Health (DPH).

**Contract #21PSX0049:  
Exhibit A – AMENDMENT 1  
Description of Deliverables**

**VIII. Pricing**

- A. Pricing is outlined in Exhibit B and represents the maximum amount **the Client Agency** will pay for each test.
- B. Pricing reflects net pricing, inclusive of any time, supplies or materials required to Perform.
- C. Client Agency may request additional discounts from the Contractor if the volume required is sufficiently large to enable the **Client Agency** to realize a cost savings over and above the pricing set forth in Exhibit B, Price Schedule.
- D. Client Agency may negotiate pricing for new or emerging testing solutions as they become available and shall be requested through a Purchase Order and Statement of Work.

**IX. Billing**

Pursuant to Section 4 (b), Payment Terms and Billing, of the Contract, Contractors will be required to collect health insurance information and bill insurance for COVID-19 diagnostic testing.

- A. Contractors can bill the **Client Agency** for uninsured participants and for any co-pays required from the patients.
- B. Contractors may have the option of billing the **Client Agency** up-front for all testing administered on behalf of the **Client Agency** and shall reimburse insurance claims received back to the **Client Agency**.
- C. Insurance billing instructions as applicable, will be provided by the Client Agency in a Statement of Work.

**Contract #21PSX0049  
Exhibit B – AMENDMENT 1  
Price Schedule**

Service	Contractor Name	Capacity and Ramp Up	MAXIMUM PRICE	GEOGRAPHIC LOCATION							
				Fairfield County	Hartford County	Litchfield County	Middlesex County	New Haven County	New London County	Tolland County	Windham County
<b>1. Full-service Testing Services (inclusive of Collection, Transport, Analysis, Reporting)</b>											
a. Molecular Test - individual	CIC Health Testing Services	135,000/day	\$95 / each	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap: 1,500/day Ramp: 5,000/day		X	X		X	X	X	X	X
	Sema4 OPCO	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Quest Diagnostics (Physician One & CIC)	Cap: 60,000/day		\$85/ea	\$85/ea	\$85/ea	\$85/ea	\$85/ea	\$85/ea	\$85/ea	\$85/ea
	The Jackson Laboratory	Up to 30,000/week (1-3 weeks)			X		X			X	
	Urgent Care d/b/a Physician One	Dependent upon need		X	X	X	X	X	X	X	X
	Wren Laboratories	100,000		X	X	X	X	X	X	X	X
	Yale New Haven Health Systems	10,000/week		X			X	X	X		
	Yale University (School of Medicine, Dept of Pathology)	10,000/16,000 per week		\$94/ea	\$94/ea		\$94/ea	\$94/ea	\$94/ea		
b. Molecular Test - pooled	CIC Health Testing Services	75,000/day	\$75 / each specimen	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap: 4,500/day Ramp: 9,000/day		X	X		X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 20,000/day		X	X	X	X	X	X	X	X
	Quest Diagnostics (Ginkgo)	Cap: 10 swabs / pod 50,000 pod tests/day		\$65/pod	\$65/pod	\$65/ea	\$65/ea	\$65/ea	\$65/ea	\$65/ea	\$65/ea
	The Jackson Laboratory	Up to 30,000/week (1-3 weeks)			X		X			X	

**Contract #21PSX0049  
Exhibit B – AMENDMENT 1  
Price Schedule**

			GEOGRAPHIC LOCATION								
Service	Contractor Name	Capacity and Ramp Up	MAXIMUM PRICE	Fairfield County	Hartford County	Litchfield County	Middlesex County	New Haven County	New London County	Tolland County	Windham County
	Urgent Care d/b/a Physician One	Dependent on need		X	X		X	X	X	X	X
	Yale New Haven Health Systems	10,000/week		X			X	X	X		
c. Antigen Test: (with Client Agency supplied BinaxNow test)	Genesys Diagnostics	Cap: 100/day Ramp: 200/day	\$25 / each	X	X		X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
	Yale University (School of Medicine, Dept of Pathology)			X	X		X	X	X		
d. Antigen Test: (Contractor supplied test)	CIC Health Testing Services	10,000/day	\$30 / each	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap:150/day Ramp: 300/day		X	X		X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
e. Genomic Sequencing	CIC Health Testing Services	All Positives	\$250 / each	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap: 300/week Ramp1000/week		X	X		X	X	X	X	X
	Sema4 OPCO	Cap: 200/week		X	X	X	X	X	X	X	X
	Quest Diagnostics	Cap: 10,000/week	\$215 / each	X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X

**Contract #21PSX0049  
Exhibit B – AMENDMENT 1  
Price Schedule**

			GEOGRAPHIC LOCATION								
Service	Contractor Name	Capacity and Ramp Up	MAXIMUM PRICE	Fairfield County	Hartford County	Litchfield County	Middlesex County	New Haven County	New London County	Tolland County	Windham County
	Yale New Haven Health Systems	9/1/21: 50/week 12/1/21: 200/week		X			X	X	X		
	Yale University (School of Medicine, Dept of Pathology)	94/382 per week		\$200/ea	\$200/ea		\$200/ea	\$200/ea	\$200/ea		
<b>2. Collection &amp; Transport Services Only</b>											
a. Molecular Test - individual	CIC Health Testing Services	135,000/day	\$25 / each	X	X	X	X	X	X	X	X
	Cornell Scott-Hill Health	Cap: 1,600/day						X			
	Sema4 OPCO	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Staywell Health Care							X			
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
b. Molecular Test - pooled	CIC Health Testing Services	75,000/day	\$25 / each specimen	X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
<b>3. Analysis &amp; Reporting (Laboratory Services)</b>											
a. Molecular Test – individual	CIC Health Testing Services	135,000/day	\$70 / each	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap: 1,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Sema4 OPCO	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Quest Diagnostics	Cap: 60,000/day		\$60/ea	\$60/ea	\$60/ea	\$60/ea	\$60/ea	\$60/ea	\$60/ea	\$60/ea

**Contract #21PSX0049  
Exhibit B – AMENDMENT 1  
Price Schedule**

Service	Contractor Name	Capacity and Ramp Up	MAXIMUM PRICE	GEOGRAPHIC LOCATION							
				Fairfield County	Hartford County	Litchfield County	Middlesex County	New Haven County	New London County	Tolland County	Windham County
	The Jackson Laboratory	Up to 30,000/week (1-3 weeks)		X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
	Wren Laboratories	100,000		X	X	X	X	X	X	X	X
	Yale New Haven Health Systems	10,000/week		X			X	X	X		
	Yale University (School of Medicine, Dept of Pathology)	10,000/16,000 per week		\$69/ea	\$69/ea		\$69/ea	\$69/ea	\$69/ea		
<b>b. Molecular Test – pooled</b>	CIC Health Testing Services	75,000/day	<b>\$50 / each specimen</b>	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap: 4,500/day Ramp: 9,000/day		X	X	X	X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 20,000/day		X	X	X	X	X	X	X	X
	Quest Diagnostics	50,000 pod tests/day		\$40/ea	\$40/ea	\$40/ea	\$40/ea	\$40/ea	\$40/ea	\$40/ea	\$40/ea
	The Jackson Laboratory (4-in-one pool; pooling occurs prior to the extraction step)	Up to 7,500 pools/week (individuals); 1-3 weeks		X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
	Yale New Haven Health Systems	10,000/week		X			X	X	X		
<b>c. Antigen Test</b>	CIC Health Testing Services	10,000/day	<b>\$70 / each</b>	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap:150/day Ramp: 300/day		X	X	X	X	X	X	X	X
	Progressive Diagnostics	Cap: 2,500/day Ramp: 5,000/day		X	X	X	X	X	X	X	X
	Quest Diagnostics	Cap: 115 locations, 250/location		\$30/ea	\$30/ea	\$30/ea	\$30/ea	\$30/ea	\$30/ea	\$30/ea	\$30/ea

**Contract #21PSX0049  
Exhibit B – AMENDMENT 1  
Price Schedule**

	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
d. Genomic Sequencing	CIC Health Testing Services	All Positives	\$250 / each	X	X	X	X	X	X	X	X
	Genesys Diagnostics	Cap: 300/week Ramp1000/week		X	X	X	X	X	X	X	X
	Sema4 OPCO	Cap: 200/week		X	X	X	X	X	X	X	X
	Quest Diagnostics	Cap: 10,000/week		\$190/ea	\$190/ea	\$190/ea	\$190/ea	\$190/ea	\$190/ea	\$190/ea	\$190/ea
	The Jackson Laboratory	Up to 200 tests/week; 1-3 weeks		X	X	X	X	X	X	X	X
	Urgent Care d/b/a Physician One	Dependent on need		X	X	X	X	X	X	X	X
	Yale New Haven Health Systems	9/1/21: 50/week 12/1/21: 200/week		X	X	X	X	X	X	X	X
	Yale University: Center for Genome Analysis	360/week		TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD



**Contract #:  
Exhibit C  
Connecticut State Elections Enforcement Commission**



**CONNECTICUT STATE ELECTIONS  
ENFORCEMENT COMMISSION**  
Rev. 1/11

**Notice to Executive Branch State Contractors and Prospective State  
Contractors of Campaign Contribution and Solicitation Limitations**

This notice is provided under the authority of Connecticut General Statutes §9-612(G)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

**CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS**

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

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

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly solicit** contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor or principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**DUTY TO INFORM**

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

**PENALTIES FOR VIOLATIONS**

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

**Civil Penalties** – Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties** – Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

**CONTRACT CONSEQUENCES**

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

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Connecticut State Elections Enforcement Commission**

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

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

Additional information may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "Lobbyist/Contractor Limitations."

**DEFINITIONS**

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

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

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

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

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but

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**Exhibit C**  
**Connecticut State Elections Enforcement Commission**

not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

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

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

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

“Subcontractor” means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor’s state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. “Subcontractor” does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person’s capacity as a state or quasi-public agency employee.

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

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Whole Genome Sequencing Results



Connecticut Department of Public Health (CT DPH)  
**Infectious Disease Informatics Program**

**Electronic Reporting of SARS-CoV-2 (COVID-19) Test  
Results\* and Whole Genome Sequencing Results\*\***

**\*To Meet CARES Act Section 18115 Requirements for COVID-19  
Laboratory Reporting**

**\*\*Based on the CDC Guidance of 04-09-2021**

Version 1.0  
05-14-2021

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## Background

This document is to assist CLIA certified laboratories and provider point of care and other locations with CLIA certificates of waiver that are testing for the COVID-19 virus (SARS-CoV-2) in reporting results to the Connecticut Department of Public Health (CT DPH). This reporting will fulfill requirements as defined in the guidance from the federal Department of Health and Human Services (HHS): [COVID-19 Pandemic Response, Laboratory Data Reporting: CARES Act Section 18115 dated June 4, 2020](#). Under the HHS guidance laboratories are defined as:

- Laboratories that perform clinical diagnostic testing under CLIA,
- Non-laboratory COVID-19 testing locations, and,
- Other facilities or locations offering point-of-care testing or in-home testing related to COVID-19.

Effective February 5, 2020, the Commissioner of the Connecticut Department of Public Health (DPH), amended the List of Reportable Diseases, Emergency Illnesses and Health Conditions and the List of Reportable Laboratory Findings by adding "COVID-19" and "SARS-CoV-2" to such lists ([https://portal.ct.gov/-/media/DPH/EEIP/CTEPI/Vol40\\_No2.pdf?la=en](https://portal.ct.gov/-/media/DPH/EEIP/CTEPI/Vol40_No2.pdf?la=en)). This action was taken pursuant to Connecticut General Statutes Section 19a- 2a and Section 19a-36-A7 of the Public Health Code. Laboratories performing tests to identify infections caused by SARS-CoV-2 based on FDA guidelines (<https://www.fda.gov/emergency-preparedness-and-response/mcm-legal-regulatory-and-policy-framework/emergency-use-authorization#covid19euas>) are required to report results to the Connecticut Department of Public Health within 48 hours of identification of results (Sec. 19a-36 page 6 (12-08) Department of Public Health§ 19a-36-A3Sec. 19a-36-A3. Persons required to report reportable diseases and laboratory findings).

For SARS-CoV-2 (COVID-19) testing, both positive and negative test results from any type of test must be reported to CT DPH in one of two electronic formats. Test reports must include required information about the patient or person being tested, the test performed, and the ordering provider.

As of 4/9/2021, CDC is recommending that all laboratories that sequence SARS-CoV-2 polymerase chain reaction (PCR) or nucleic acid amplification test (NAAT) positive specimens report these data via electronic laboratory reporting to state, local, tribal, and territorial public health departments. This information allows public health professionals to better understand the genetic diversity, spread, and evolution of SARS-CoV-2, including variant viruses.

Detailed instructions and examples for how to report SARS-CoV-2 sequencing results are now available on CDC's website and listed in this document.

<https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.cdc.gov%2Fcoronavirus%2F2019-ncov%2Ftab%2Fresources%2Freporting-sequencing-guidance.html&data=04%7C01%7CNancy.L.Barrett%40ct.gov%7Cd70191a9e6924b6b41bb08d8feb15214%7C118b7cfaa3dd48b9b02631ff69bb738b%7C0%7C0%7C637539384846055863%7CUnknown%7CTW FpbGZsb3d8eyJWljoimc4wLjAwMDAiLCJQIjoiv2luMzliLCJBTiI6lk1haWwiLCJXVCI6Mn0%3D%7C1000&sd ata=pUdX11uwQiuXqu4ALLi5rroDE%2BopNRRb3V1qKe3MY%3D&reserved=0>

Key guidance includes:

- Results should be reported as a follow-up to the original positive viral test result and to the same public health department.
- Electronic reporting should include all the original patient demographic data, viral test report content, and the second test with viral genetic lineage identified.
- Laboratories with SARS-CoV-2 positive specimens should upload sequence data to a public database, such as NCBI or GISAID.

## DPH Electronic Reporting of SARS-CoV-2 (Covid-19) Test Results and Whole Genome Sequencing Results

Additional information on SARS-CoV-2 variant classifications and definitions can be found at <https://www.cdc.gov/coronavirus/2019-ncov/cases-updates/variant-surveillance/variant-info.html>

This document provides details for reporting of SARS-CoV-2 testing performed at laboratories or at point of care and other locations using an onsite test. It also includes what is required from laboratories (CLIA and non-CLIA certified) performing sequencing to identify SARS-CoV-2 variants. This guidance replaces previously published guidance for SARS-CoV-2 test result reporting.

Before you start reporting SARS-CoV-2 or variant results, please send an email to [DPH.InformaticsLab@ct.gov](mailto:DPH.InformaticsLab@ct.gov) so we can share the appropriate information.

## Electronic Reporting Options of SARS-CoV-2 Results for CT DPH

CT DPH currently has two allowable options for reporting of SARS-CoV-2 test results:

- Use of the HL7 2.5.1 ELR message, OR
- Use of a CT DPH defined CSV file.

All laboratories are required to report to CT DPH certain diseases and findings as defined in the reporting requirements above. For SARS-CoV-2, this reporting requirement extended to any location performing onsite testing per the June 4, 2020 HHS guidance including:

<https://www.hhs.gov/sites/default/files/covid-19-laboratory-data-reporting-guidance.pdf>

- Laboratories that perform clinical diagnostic testing under CLIA,
- Non-laboratory COVID-19 testing locations, and,
- Other facilities or locations offering point-of-care testing or in-home testing related to COVID-19.

Complete CDC information on reporting SARS-CoV-2 test results can be found at:

<https://www.cdc.gov/coronavirus/2019-ncov/lab/reporting-lab-data.html>

Reporting of SARS-CoV-2 sequencing results (“variants”) will require use of either of the two acceptable CT DPH electronic message formats. Messages must be sent securely by posting to a State of Connecticut SFTP site, or via PHINMS. Secure message options will be discussed with your laboratory. CT DPH asks laboratories to report any and all lineages identified.

### Option 1 Reporting in the HL7 2.5.1 ORU (ELR) message

#### Reporting of SARS-CoV-2 test results

Hospital laboratories, commercial and other clinical laboratories, and locations running medium to high complexity laboratories should report SARS-CoV-2 results using the HL7 v2 Electronic Laboratory Reporting message. This document assumes the laboratory or location that is reporting results is following the *Electronic Laboratory Reporting to Public Health (US Realm), Release 1, HL7 version 2.5.1: ORU^R01 Informative Document* (ELR HL7 v 2.5.1 IG) or HL7 version 2.3.1 based on the *Implementation Guide for Transmission of Laboratory-Based Reporting of Public Health Information using Version 2.3.1 of the Health Level 7 (HL7) Standard Protocol*.

For Connecticut, the full ELR HL7 2.5.1 message must follow the CT DPH specific HL7 2.5.1 ELR implementation guideline <https://portal.ct.gov/DPH/Epidemiology-and-Emerging-Infections/Electronic-Laboratory-Reporting>. Please request a copy if you do not have one.

#### Reporting of SARS-CoV-2 variant (lineage) results

CDC and the Association of Public Health Laboratories (APHL) have worked with HL7 to develop specifications for reporting SARS-CoV-2 and variant results. These are presented on Confluence if a

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laboratory would like to review these.

[https://confluence.hl7.org/display/OO/Proposed+HHS+ELR+Submission+Guidance+using+HL7+v2+Messages#ProposedHHS+ELR+Submission+Guidance+using+HL7+v2+Messages-Reporting+variants+\(of+concern\)](https://confluence.hl7.org/display/OO/Proposed+HHS+ELR+Submission+Guidance+using+HL7+v2+Messages#ProposedHHS+ELR+Submission+Guidance+using+HL7+v2+Messages-Reporting+variants+(of+concern))

Table 1 (next page) shows the specific data elements needed to report variant 'lineage' results in the ELR message for CT DPH.

CT DPH can accept receipt of lineage results in HL7 using the existing PLR codes for the lineage result in a CWE datatype in the OBX segment **OR** sending of the text description for the lineage in a TX or ST datatype in the OBX segment. This will be discussed with the lab when onboarding variant HL7 messages. Please report any and all lineages identified.

The GISAID number must be reported if available. A lab can also send any other identifications the sequencing lab has (for example NCBI). Please discuss with us how those will be reported in the HL7 message.

Table 1 shows the HL7 reporting for just the lineage results. Table 2 is the current list of PLR codes for pango lineage results. It also lists the lineage short name (underlined) that can be reported as a text result instead of the PLR code as not all lineages have been assigned a PLR code. For most laboratories, using the text option may be easier.

### **Validation of messages**

Reporting of SARS-CoV-2 results or variant results using the HL7 v2 ELR message must be validated with CT DPH Informatics Program staff.

### **Instructions for HL7**

1. Please contact DPH at [DPH.InformaticsLab@ct.gov](mailto:DPH.InformaticsLab@ct.gov) to arrange and review reporting requirements for HL7.
2. HL7 files must be posted to a SFTP or sent using PHINMS (hospitals and major labs only).

NOTE: we would like laboratories to report lineage results if they were ordered from your lab, but not sequenced at your lab, if possible. We can discuss this with you.



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Table 1. Data Elements required to report SARS-CoV-2 variant (lineage) results in HL7 2.5.1 ELR messages

CT DPH Required	Data Element	HL7 Name	Value	Description	Comments
YES	OBX-2	Value Type	CWE TX or ST	Coded with Exceptions Text or String	If using PLR codes used If text being sent
YES	OBX-3	Observation Identifier LOINC <a href="https://search.loinc.org/searchLOINC/">https://search.loinc.org/searchLOINC/</a>	96741-4  96766-1	SARS-CoV-2 pango lineage  GISAID sequence accession ID	Must report GISAID if available in additional OBX CTDPH will accept 96766-1 LOINC for reporting lineage
YES	OBX-5	Observation Value	B.1.1.7 (see Table 2) B.1.351 P.1 CA-B.1.429 NCY B.1.526 CA-B.1.427 P.2 Others as identified	Lineage Results	Depending on datatype in OBX-2
YES	OBX-19.1	Date/Time of Analysis	YYYY[MM[DD]] <sup>1</sup>	Date test result was obtained	Timestamp not required
YES	OBX-17 OBX-18	Observation Method Equipment Instance Identifier	See examples	<u>From LIVD tables</u> <a href="https://www.cdc.gov/csels/dls/sars-cov-2-livd-codes.html">https://www.cdc.gov/csels/dls/sars-cov-2-livd-codes.html</a>	Need at least one of these
Optional	NTE	Notes and Comments	CWE	<u>Used for sending notes and comments</u>	<b>Not</b> the preferred method of sending lineage or related results.

1. This is the date of when sequencing was performed.



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Table 2. List of PLR codes for lineage results\* (as of May 11, 2021)

<b>Code</b>	<b>Preferred Name (short name)</b>	<b>Notes</b>
PLR4478	SARS-CoV-2 <u>A.1.1</u> lineage	2021 Mexico
PLR4490	SARS-CoV-2 <u>B.1</u> lineage	
PLR4479	SARS-CoV-2 <u>B.1.1</u> lineage	
PLR4397	SARS-CoV-2 <u>B.1.1.222</u> lineage	
PLR4480	SARS-CoV-2 <u>B.1.1.238</u> lineage	
PLR4484	SARS-CoV-2 <u>B.1.1.519</u> lineage	
PLR4366	SARS-CoV-2 <u>B.1.1.7</u> lineage	2020 UK aka 20I/501Y.V1, VOC 202012/01
PLR4481	SARS-CoV-2 <u>B.1.2</u> lineage	
PLR4485	SARS-CoV-2 <u>B.1.234</u> lineage	
PLR4486	SARS-CoV-2 <u>B.1.243</u> lineage	
PLR4482	SARS-CoV-2 <u>B.1.29</u> lineage	
PLR4367	SARS-CoV-2 <u>B.1.351</u> lineage	2020 South Africa aka 20H/501Y.V2
PLR4398	SARS-CoV-2 <u>B.1.351.1</u> lineage	2020 South Africa aka 20H/501Y.V2 subtype
PLR4399	SARS-CoV-2 <u>B.1.351.2</u> lineage	2020 Africa 20H/501Y.V2 subtype
PLR4371	SARS-CoV-2 <u>B.1.427</u> lineage	2021 California
PLR4369	SARS-CoV-2 <u>B.1.429</u> lineage	2021 California
PLR4400	SARS-CoV-2 <u>B.1.429.1</u> lineage	2021 Colorado subtype
PLR4401	SARS-CoV-2 <u>B.1.525</u> lineage	2021 Nigeria
PLR4370	SARS-CoV-2 <u>B.1.526</u> lineage	2021 NYC
PLR4402	SARS-CoV-2 <u>B.1.526.1</u> lineage	Oct 2020 NYC
PLR4403	SARS-CoV-2 <u>B.1.526.2</u> lineage	subtype of the variant found in 2021 NYC
PLR4487	SARS-CoV-2 <u>B.1.575</u> lineage	
PLR4488	SARS-CoV-2 <u>B.1.596</u> lineage	

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<b>Code</b>	<b>Preferred Name (<u>short name</u>)</b>	<b>Notes</b>
PLR4483	SARS-CoV-2 <u>B.2.4</u> lineage	
PLR4368	SARS-CoV-2 <u>P.1</u> lineage	2020 Brazil aka 20J/501Y.V3
PLR4372	SARS-CoV-2 <u>P.2</u> lineage	2021 Brazil
PLR4489	SARS-CoV-2 <u>R.1</u> lineage	
PLR168	Unable to complete sequencing	
OTH	Other	For HL7 messages can use this in OBX 5 and send lineage name in OBX 5.9

\*Lineage lists are on the Confluence page

[https://confluence.hl7.org/display/OO/Proposed+HHS+ELR+Submission+Guidance+using+HL7+v2+Messages#ProposedHHS+ELR+Submission+Guidance+using+HL7+v2+Messages-Reporting+variants+\(of+concern\)](https://confluence.hl7.org/display/OO/Proposed+HHS+ELR+Submission+Guidance+using+HL7+v2+Messages#ProposedHHS+ELR+Submission+Guidance+using+HL7+v2+Messages-Reporting+variants+(of+concern))

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**Option 2 Reporting using the CT DPH CSV message**

**Reporting of SARS-CoV-2 test results**

CT DPH has an established CSV template for reporting SARS-CoV-2 test results for labs and locations who cannot use HL7. We are adapting that format to report variant results. We can send you the appropriate instructions and template for use of the CSV file. We will also work with your location to set up access to the state secure web folders (SFTP) for you to post files. The template has the standard lists to be used for standard data elements, such as race, ethnicity, test method, results, etc. The list of variables is in Table 3. NOTE: If **only** reporting for point of care or onsite testing for SARS-CoV-2, you only need to send the variables under the column labeled 'Original PCR Result Report' up to the Device ID in Table 3. We will send the appropriate CSV template to you for reporting just SARS-CoV-2 test results.

**Reporting of SARS-CoV-2 variant (lineage) results**

The list of variables is in Table 3. If you are reporting both the original PCR result and the lineage result you would follow the entire set of variables. We have listed what needs to be reported for the original PCR positive result in the column labeled 'Original PCR Result Report'. This column is based on the CT DPH SARS-CoV-2 universal CSV for test result reporting that your lab may already be using. The column labeled 'Variant Result Report' is how to report variant results in the CSV. Required variables are marked. If your lab is **only** reporting sequencing results, in order for CT DPH to match up the original PCR result from the same timeframe as the specimen sequenced, we must have information about the patient who was tested (at least some minimum information), the original specimen ID and specimen collection date. If your lab did not perform the PCR test, then the laboratory or location who sent the specimen for sequencing must also be included. The required data elements are marked in Table 3. Note: lineages should be reported using the short name as defined in Table 2 (or the short name of any newly identified lineages). Please report any and all lineages identified.

**Validation of messages**

All reports will be validated with CT DPH Informatics Program staff. We will be as flexible as possible, but we must be able to match the original patient and their result to the sequencing result.

Instructions for CSV

1. Please contact DPH at [DPH.InformaticsLab@ct.gov](mailto:DPH.InformaticsLab@ct.gov) to arrange and review reporting requirements including the CSV template and instructions.
2. All columns must be present in the order listed. Please use the same header description.
3. If you do not have information for a column, just leave it blank.
4. Required data variables are indicated.
5. CSV files must be posted to a SFTP.

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Table 2. Variables for reporting variants using a CSV file.

Column Headers	Original PCR Result Report	Variant Result Report
<b><i>Patient Information – resend patient information for original test when reporting lineage results as indicated. Note: the Testing Location for SARS-CoV-2 result (not lineage results) is the first column.</i></b>		
Testing Location	CLIA code of testing location <b>(required)</b>	
Last Name	Required	Required – minimum requirement
First Name	Required	Required – minimum requirement
Middle	Required	Required
Address	<b>Required</b> Residential address at time of the test; can be a nursing home, jail, group home, etc.	Required – minimum requirement
Address 2	Apt, Bldg, Unit, Dorm number, etc. <b>Required if available.</b>	Required
City	Required	Required – minimum requirement
State	Required	Required
Zip	5 or 9 digit is fine <b>Required</b>	Required
Phone	<b>Required</b> – best contact number for patient	optional
Email	Optional	optional
Date of Birth	mm/dd/yyyy format <b>Required</b>	Required – minimum requirement
Gender	Sex at birth: Male, Female, Other, Unknown <b>Required</b>	Can resend if have
Race	OMB 1997 list <b>Required</b>	Can resend if have
Ethnicity	Hispanic/Latino or Non-Hispanic/Latino <b>Required</b>	Can resend if have
Occupation	Fill in with best description of occupation, or use student, child, etc. as needed.	Can resend if have
<b><i>Testing Information -- Original PCR results and Variant Results</i></b>		
Unique ID	<b>Required</b> This would be the specimen ID or accession number - that uniquely identifies the specimen tested for PCR.	<b>Required</b> – this is the Specimen ID from the lab sending the specimen for sequencing.
Specimen source	SNOMED Codes <b>Required</b>	
Test Method	LOINC Codes - PCR/molecular method <b>Required</b>	Required if have
Result	SNOMED Codes <b>Required</b>	Required if have

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<b>Column Headers</b>	<b>Original PCR Result Report</b>	<b>Variant Result Report</b>
Date Specimen Collected	mm/dd/yyyy format preferred <b>Required</b>	Required
Date Tested	mm/dd/yyyy format preferred <b>Required</b>	Required
Date Reported to DPH	mm/dd/yyyy format preferred <b>Required</b>	
Facility	Name of testing location	
Ordering Provider Last Name	Required	Can resend if have
Ordering Provider First Name	Required	Can resend if have
Ordering Provider Phone number	Required	Can resend if have
Ordering Provider Address	Required if available	
Ordering Provider City	Required if available	
Ordering Provider State	Required if available	
Ordering Provider Zipcode	Required if available	
Ordering Provider fax number	If available	
Ordering Provider email	If available	
Device ID	For the PCR/Molecular test method <b>Required</b>	
Sequencing Lab		CLIA of sequencing lab <u>OR</u> Research lab name if non-CLIA lab ( <b>required</b> )
Sequencing Lab Contact		Name and/or phone number
Sequence Accession ID		<b>Required</b> For the variant this would be any additional identifier for the variant specimen tested
Sequencing Test Method		LOINC code – Lineage or GISAIID – see Table 1 <b>Required</b>
Date Sequencing Performed		Required
Lineage Results		<b>Required</b> Text field with short lineage name – see Table 2_
GISAIID		<b>Required</b> if available
Date Lineage Reported to DPH	mm/dd/yyyy format preferred <b>Required</b>	Required
GISAIID		Required if available
Date GISAIID recorded		Optional
Other ID		Optional