



PROCUREMENT SERVICES
STATE CONTRACT FOR PERSONAL SERVICES

Personal Service Contract Number	
Peoplesoft Speed-type	
Encumbrance Amount	\$
Contract Effective Date (date of delivery to the Legislative Research Commission)	
Contract Expiration Date	

THIS CONTRACT is made and entered into this _____ day of _____, 20_____, by and between the University of Louisville, hereinafter referred to as the "First Party", and

_____ at _____
(Name of Individual or Firm) (Street Address) (City/State/Zip Code)

_____, hereinafter referred to as the "Second Party".
(Social Security# or FEIN)

Second Party, or any principal thereof, will indicate by checking the appropriate box below if employed by the University of Louisville or any affiliate.

University of Louisville Employee: YES NO

If yes, name individual: _____

If yes, Second Party agrees to accept the contract based on the law set forth in [KRS 45A.340](#) as it related to conflicts of interest of public officers and employees.

WHEREAS, the First Party, in the exercise of its lawful duties, has determined upon the necessity of the performance of the following described functions(s):

WHEREAS, the First Party has concluded that either state personnel are not available to perform said function, or it would not be feasible to utilize state personnel to perform said function; and

WHEREAS, the Second Party is available and would be qualified to perform such function; and

WHEREAS, for the hereinbefore stated reasons, the First Party desires to avail itself of the services of the Second Party,

NOW, THEREFORE, it is mutually agreed by and between the parties hereto as follows:

1. SERVICES:

The Second Party will perform the services which are described with particularity in the attached letter (to which reference is made below) which is made a part hereof as if fully incorporated herein, or, if no letter is necessary, as hereinafter described with particularity as follows. Where applicable, both parties will work with the University of

Louisville Office of Communications and Marketing (OCM) to ensure compliance with the First Party's graphic identity standards and strategic planning/branding initiatives. When applicable (e.g., web pages), the Second Party's services will be in compliance with current Americans with Disability Act (ADA) requirements including the applicable current ADA Standards for Accessible Design, WCAG 2.1, Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), Section 255 of the Communications Act, as amended, and applicable regulations.

2. CONSIDERATION:

a. FEE:

As fee for the services hereinbefore set forth, having been performed to the satisfaction of the First Party, the First Party agrees to pay the Second Party:

A sum not to exceed \$_____

To be paid in the following manner or on the following terms: (State hourly rate and hours worked, frequency of payment, amount to be paid for specific services rendered or milestones/phases completed).

The Second Party's invoice(s) for fee shall be signed and shall include not less than the following information:

The Second Party shall maintain supporting documents to substantiate invoices and shall furnish same if requested by the First Party.

The First Party payment terms are Net 30 days upon receipt of invoice, subject to applicable funding approval.

b. TRAVEL EXPENSES, if authorized herein.

The Second Party shall be paid for no travel expenses unless and except as specifically authorized herein by this paragraph as follows:

Maximum amount allowed:\$_____

Travel expenses, if authorized, shall be billed in the following manner:

c. **OTHER EXPENSES**, if authorized herein.

The Second Party shall be reimbursed for no other expenses of any kind, unless and except as specifically authorized as follows:

Maximum amount allowed: \$ _____

If the reimbursement of such expense is authorized, the reimbursement shall be only on an out-of-pocket basis. Request for payment of the same shall be processed upon receipt of the Second Party of valid, itemized statement submitted periodically for payment at the time any fees are due. The Second Party shall maintain supporting documents that substantiate every claim for expenses and shall furnish same if requested by the First Party.

d. **MAXIMUM FOR FEE AND EXPENSES (a+b+c)**

The Second Party's fee, travel expense reimbursement (if any), and other expenses reimbursement (if any) relative to the services shall not exceed a total of \$ _____.

3. INVOICING

- a. Invoicing for Fee: The Second Party's fee shall be by original invoice(s). The invoice(s) must conform to the method prescribed under Section 2, Consideration, paragraph a, and in compliance with paragraph d below.
- b. Invoicing for Travel Expenses: The Second Party must follow instructions prescribed under Section 2, Consideration, paragraph b. Either original or certified copies of receipts must be submitted for airline tickets, lodging bills, restaurant charges, rental car charges, and any other miscellaneous travel expenses.
- c. Per [KRS 45A.695\(10\)\(a\)](#) "No payment shall be made on any personal service contract unless the individual, firm, partnership, or corporation awarded the personal service contract submits its invoice on a form established by the committee". The Government Contract Review Committee (GCRC) has adopted a personal service contract invoice form that must be submitted with each invoice as a condition of payment. The Personal Service Contract Invoice Form shall be used for this purpose and can be found online at [Personal Service Contract Invoice Form](#).
- d. Invoicing for Agreements using federal funds (see item 11 below Supplier Certification): To assure that expenditures are proper and in accordance with the terms and conditions of the Agreement and approved project budget, invoices requesting payment under this Agreement should include the certification: "To the best of my knowledge and belief this report is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Agreement. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)." By signing this Agreement, I am certifying, as an official who is authorized to legally bind the Second Party, that any invoices and reports sent by the Second Party to the First Party for payment under this Agreement comply with the above certification and will provide additional information, as requested, to assure the First Party that the expenditures are proper and in accordance with that certification.

4. SIGNIFICANT CONTRACT DATES

a. EFFECTIVE DATE:

This Agreement is not effective unless and until the Agreement is filed with the LRC, with Agreement accompanied by documentation of the need for such service and by documentation that state personnel are not available to perform such service or that it is not feasible for state personnel to perform such service.

b. DATES WORK IS TO BE PERFORMED:

The period within the current fiscal year in which the services are to be performed under this Agreement is from

_____, 20_____, to _____, 20_____.
(Month & Day) (Month & Day)

c. **EARLIEST DATE OF PAYMENT**

No payment on this Agreement shall be made before completion of the review procedure provided for in [KRS 45A.705](#), unless and until alternate actions occur as set out in [KRS 45A.695\(7\)](#).

5. **EXTENSIONS:**

At the expiration of its initial term, this Agreement may, at the option of the parties hereto, be extended upon the same terms and conditions as set forth herein for further periods not to exceed twelve (12) months each, subject to the advance approval of the Director of Procurement Services. The terms and conditions of this Agreement may be extended or amended according to the provisions of [KRS Chapter 45A](#), and are subject to the approval of the Director of Procurement Services and/or the Legislative Research Commission's Government Contract Review Committee.

6. **SOCIAL SECURITY**

The parties are cognizant that the First Party is **not** liable for Social Security contributions pursuant to Section 418, 42 U.S. Code, relative to the compensation of the Second Party for this Agreement.

7. **CANCELLATION**

The First Party shall have the right to terminate and cancel this Agreement at any time upon thirty (30) days written notice served on the Second Party by registered or certified mail or other delivery service providing verification of receipt (e.g., UPS, FedEx).

8. **PURCHASING AND SPECIFICATIONS**

The Second Party certifies by his signature hereinafter that he will not attempt in any manner to influence any specifications to be restrictive in any way or respect, nor will he attempt in any way to influence any purchasing of services or commodities by the First Party. For the purposes of this paragraph and Paragraph 9, "he" is construed to mean "they" if more than one person is involved and if a firm, partnership, corporation, or other organization is involved then "he" is construed to mean any person with an interest therein.

9. **CONFLICT OF INTEREST LAWS AND PRINCIPLES**

The Second Party hereby certifies by his/her/their signature hereinafter that he/she/they is/are legally entitled to enter into the subject Agreement and certifies that he/she/they is/are not and will not be violating any conflict of interest statute, including [KRS 45A.330-45A.340](#), [KRS 164.390](#), [KRS 45A.990](#), or [KRS 11A.040](#) of the Executive Branch Code of Ethics, relating to the employment of former public servants.

Second Party shall comply with the Copeland "Anti-Kick Back" Act ([18 U.S.C. 874](#)) as supplemented in the Department of Labor Regulations ([29 CFR, Part 3](#)). This Act provides that Awardee, subcontractor, or subgrantee is prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work to give up any part of the compensation to which he is otherwise entitled.

Conflicts: The Second Party hereby certifies that (1) neither he/she/they nor any member of his/her/their immediate family¹ is an employee of the University of Louisville (UofL) or one of its affiliated corporations ("UofL employee") (2) no officer/managing partner of the Second Party nor any member of the officer's/managing partner's immediate family is a UofL employee, and (3) no employee of the Second Party performing services for this Agreement nor that employee's immediate family is a UofL employee. The Second Party further certifies that neither he/she/they nor any member of his/her/their immediate family have contributed more than the amount specified in [KRS 121.056\(2\)](#), to the campaign of the gubernatorial candidate elected in the Commonwealth of Kentucky at the election last preceding the date of this

¹ Immediate family means the individual's biological, foster or adoptive parent, a stepparent, spouse, qualifying adult, a biological, adoptive or foster child, a step child, a legal ward or a person whom the individual has (or had during the person's youth) daily responsibility and financial support, mother, father, brother, sister, son, daughter, mother-in-law, father-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, grandparents, and grandchildren of both the individual and spouse and / or qualifying adult. A qualifying adult must be over 18 years of age, and, if a blood relative (or relative by adoption or marriage) must be of the same or younger generation of the individual (as used in KRS 391.010), and, must be residing in the individual's household and have done so for a period of at least 12 months, and, must be financially interdependent (for example, have joint checking account or joint mortgage) for 12 months or longer, and, must be unmarried.

Agreement. The undersigned's authorized signatory for the Second Party further swears under the penalty of perjury, that neither he/she/they nor the Second Party which he/she/they represent(s), has knowingly violated any provisions of the campaign finance laws of the Commonwealth of Kentucky, and that the award of this Agreement to him/her/them or the Second Party which he/she/they represents will not violate any provisions of the campaign finance laws of the Commonwealth of Kentucky.

Conflicts Policy: This section is applicable and needs to be completed if some funding comes from federal or sponsored projects (if Yes to either question in item 11 below).

Does the Second Party maintain and enforce policy and procedures that comply with [42 CFR 50](#)?

YES NO

If yes, add URL: _____

If NO², the Second Party agrees to abide by the current policy³ of UofL including disclosure and reporting requirements and any necessary corrective actions for the duration of this Agreement. Disclosure and reporting of identified conflicts of interest related to this Agreement must be submitted to the Conflict-of-Interest Officer of the University of Louisville, in writing, no later than thirty (30) calendar days after identification. Documentation, pursuant to this requirement should be sent to:

Conflict of Interest Program
LL05 Jouett Hall
2301 South Third Street
University of Louisville
Louisville, KY 40292

10. **COMPLIANCE AND CHOICE OF LAW**

Second Party will comply with all applicable law, regulation, and University of Louisville Policy. All questions as to the execution, validity, interpretation, construction, and performance of this Agreement shall be governed by the laws of the Commonwealth of Kentucky. Furthermore, the parties hereto agree that any legal action which is brought based on this Agreement shall be filed in the Franklin County Circuit Court of the Commonwealth of Kentucky.

11. **SUPPLIER CERTIFICATION**

Are any federal funds⁴ being used for this project? YES NO

If YES, note that the Supplier Certification contains multiple provisions that are applicable when the funding source is federal.

Are funds from a sponsored project⁵ being used for this project? YES NO

12. **OWNERSHIP OF INTELLECTUAL PROPERTY**

Second Party agrees that any and all inventions, improvements, modifications, discoveries, information, data, and materials (hereinafter collectively "Intellectual Property") which are conceived, invented, authored, developed, and/or reduced to practice in the performance of this agreement, are the sole property of the University of Louisville Research Foundation, Inc., a Kentucky non-profit corporation as the agent of the First Party for receiving grants and research agreements from external funding sources and which owns and controls intellectual property on behalf of the UofL ("ULRF"), and Second Party agrees to assign and does hereby assign to ULRF all rights, title, and interest in such Intellectual Property. Intellectual Property for which a copyright could be registered, including but not limited to software, computer programs, databases, web pages and documentation, and/or source code, (collectively, "Works") developed by Second Party for First Party, shall be considered "work for hire" such that ULRF, not Second Party, shall have full and complete ownership of all Works developed. Second Party shall provide such Works to First Party when completed, but no later than at the termination or

² If blank and box in 11 is checked YES, Second Party agrees to abide by current policy of the University of Louisville.

³ University of Louisville's policy to fulfill compliance with 42 CFR 50 can be found at: [University of Louisville Conflict of Interest Policy](#). See "Addressing Potential Individual Conflict of Interest Policy and Procedures (PDF)".

⁴ Can include financing by a loan from the United States

⁵ Sponsored projects have speed types beginning with CB, CN, CP, EB, EN, EP, IN, IB, IP, GB, GN, GP or CS

expiration of this Agreement. To the extent that any Works may not, by operation of law, be a work made for hire in accordance with the terms of this Agreement, Second Party hereby assigns to ULRF all right, title, and interest in and to any copyright covering such Works, and ULRF shall have the right to obtain and hold in its own name any copyrights, registrations, or other proprietary rights that may be available. Second Party agrees to safeguard and keep confidential said Intellectual Property and all information (including records and dates) acquired from any source or developed by it in the performance of this Agreement. These conditions shall survive this Agreement.

13. LOBBYING ACTIVITIES

The Second Party certifies that it has and will continue to fully comply with the Lobbying Disclosure Act of 1995, and other applicable laws, with regard to services under this Agreement with First Party and will maintain documentation of such compliance available for inspection by First Party as its designated agents. No funds from the Agreement as to be used for any campaign for or against any candidate for public office.

14. INSURANCE

Before the Second Party becomes entitled to any rights under this procurement and prior to taking any action under any resulting award/agreement, Second Party shall have a Certificate of Insurance indicating the organization’s in-force insurance coverage for the following policies and limits. Second Party agrees to provide proof of insurance upon request.

MINIMUM COVERAGE AMOUNTS

Type of Insurance	Minimum Limits of Liability
Commercial General Liability* Including: Completed Products, Personal and Advertising Injury, Products/Completed Operations	\$1,000,000.00 Each Occurrence \$2,000,000.00 General Aggregate
Workers’ Compensation	Statutory Limits – Kentucky and the state(s) of domicile of the organization and any subcontractor(s). The all state and voluntary compensation endorsement is to be attached to the policy.
Employers’ Liability	\$1,000,000.00 (Each employee, each accident and policy limit)
Data Breach Liability Including response and remediation	\$1,000,000.00 Each Occurrence \$1,000,000.00 General Aggregate
Professional Liability	\$1,000,000.00 Each Occurrence \$1,000,000.00 General Aggregate

*Occurrence coverage is required. Claims-made coverage is not acceptable.

These policies (except Workers’ Compensation) shall name the University, its trustees, officers, employees, and agents as Additional Insured and shall contain a covenant requiring no less than ten (10) business days written notice to the University before cancellation, reduction, or other modification of coverages.

These policies shall be primary and noncontributing with any insurance carried by the University and shall contain a severability of interest clause in respect to cross liability, protecting each Additional Insured as though a separate policy had been issued to each. A certificate of the above policies shall be furnished to the University at least ten (10) business days prior to the commencement of the services provided under this agreement.

All Certificates of Insurance must clearly state that the Second Party’s insurance is PRIMARY. If Second Party’s policy has deductibles, self-insured retentions, or co-insurance penalties, then all such costs shall be solely borne by the Second Party and not by the University. The University will not share in any policy deductibles.

It is hereby agreed that in event of a claim arising under this policy, the organization will not deny liability by reason of the Additional Insured being a state, county, municipal corporation, or governmental agency.

The limits listed above may be accomplished through a combination of primary and excess/umbrella liability policies written on a “follow form” basis or forms no more restrictive than the primary policies.

15. BILLING SERVICES

Audits: The First Party shall be informed by the Second Party of any audit by the Second Party of its records and operations at the University. The First Party shall receive a full report of any such audits (e.g., notification of the completion of any required audits, any adverse findings which impact this Agreement). The First Part or its designee shall have the right to conduct its own audit of the Second Party’s records as they relate to this contract by giving seven (7) business days’ notice to the Second Party. The First Party shall notify the Second Party, in writing, of any deficiency made known as a result of said audits, in their accounting procedures. If the First Party audit should uncover any billing discrepancies of more than one (1) percent, the cost of such audit shall be at the Second Party’s expense.

16. INDEMNIFICATION

The Second Party hereby agrees to indemnify and hold the First Party harmless from and against any costs, liability, expenses (including reasonable attorney fees), damages, and lawsuits whatsoever arising from the Second Party’s performance of the terms of this Agreement.

17. CONFIDENTIALITY OBLIGATIONS

- a. **General Confidentiality:** The Second Party acknowledges and understands that in order to perform the services it may receive confidential information from the First Party (“disclosing party” for this section) or that is from third parties who may have disclosed confidential information to the disclosing party. The Second Party receiving such confidential information (“receiving party” for this section) further acknowledges that it may create materials or documents that include said confidential information as a result of the services performed under this Agreement. For purposes of this Agreement such as information, materials and documents are referred to as “Confidential Information.”

Confidential information shall be maintained in trust and confidence by the receiving party. The receiving party agrees to use all reasonable diligence to prevent disclosure of Confidential Information to any third party and to refrain from using or disclosing Confidential Information for any purpose other than as provided under this Agreement (or as otherwise specified in writing) and shall not assert ownership in the other party’s Confidential Information. The receiving party agrees that it will take reasonable steps to ensure that it and its employees will abide by the confidentiality obligations of this Agreement.

It is understood that the receiving party does not have such obligation of confidentiality with respect to any Confidential Information of the disclosing party that:

- i. Was already in the receiving party’s possession on a non-confidential basis prior to receipt from the disclosing party; or
- ii. Is in the public domain by public use, general knowledge or the like, or after disclosure hereunder, becomes general or public knowledge through no fault of the receiving party; or
- iii. Is obtained properly from the receiving party by a third party not under a confidentiality obligation to the disclosing party; or
- iv. Is explicitly approved for release by written obligation of the disclosing party; or
- v. Is independently developed by employees or agents of the receiving party who had no knowledge of or access to the Confidential Information as evidenced by the receiving party’s business records; or
- vi. Is required to be disclosed by operation of law, regulation, or an order of a court or other governmental authority of competent jurisdiction.

Receiving party shall notify disclosing party promptly of making a determination that any Confidential Information falls within subcategory (i), (ii), (iii), (v), or (vi) above and will cooperate with the disclosing party’s efforts to contest or limit the scope of any disclosure required by subsection (vi).

No license, express or implied, in Confidential Information provided by the disclosing party is granted to the receiving party other than to the extent authorized by this Agreement.

- b. **Protected Health Information:** Protected health information⁶ (PHI) is not intended to be shared under this Agreement unless a Business Associate Agreement (BAA) is executed as part of this Agreement.

⁶ See <http://www.hhs.gov/ocr/privacy/hipaa/understanding/coveridentities/De-identification/guidance.html#protected>

Second Party agrees that it will not receive or share protected health information under this Agreement unless the box below is checked, and the Second Party has executed a BAA acceptable to the First Party.

PHI may be shared: YES NO

Check if applicable, and if so, initial here: _____ (Second Party initial).

As protected health information may be shared, the Second Party agrees either to (1) execute a BAA⁷ acceptable to First Party before receiving any PHI or (2) operate under a plan approved by the First Party's Privacy Office for receiving only fully deidentified health information.

- c. **Personal Information:** To the extent Second Party receives Personal Information⁸ as defined by and in accordance with Kentucky's Personal Information Security and Breach Investigation Procedures and Practices Act, [KRS 61.931-934](#) (the "Act"), Second Party shall secure and protect the Personal Information by, without limitation: (i) complying with all requirements applicable to non-affiliated third parties⁹ set forth in the Act"; (ii) utilizing security and breach investigation procedures that are appropriate to the nature of the Personal Information disclosed, at least as stringent as First Party's and reasonably designed to protect the Personal Information from unauthorized access, use, modification, disclosure, manipulation, or destruction or that meet industry standard practices for protecting Personal Information from unauthorized access, use, modification, disclosure, manipulation, or destruction; (iii) notifying First Party of a security breach as specified at [Vendor / External Party Incident Reporting](#) relating to Personal Information in the possession of Second Party or its agents or subcontractors within seventy-two (72) hours of discovery of an actual or suspected breach unless the exception set forth in [KRS 61.932\(s\)\(b\)2](#) applies and Second Party abides by the requirements set forth in that exception; (iv) paying all costs of notification, investigation and mitigation in the event of a security breach of Personal Information caused by the actions or inactions of Second Party ("NIM Costs"); (v) cooperate with First Party in complying with the response, mitigation, correction, investigation, and notification requirements of the Act including undertaking a prompt and reasonable investigation of any security breach; and (vi) at First Party's discretion and direction, handling all administrative functions associated with notification, investigation, and mitigation, in accordance with the Act's requirements. The Second Party hereby agrees that the First Party may withhold payment(s) owed to the Second Party for any violation of these identity theft prevention reporting requirements or failure to pay NIM Costs.

- 18. ELIGIBILITY TO PARTICIPATE IN GOVERNMENTAL PROGRAMS CERTIFICATION:** Second Party certifies that the Second Party, and where applicable any subcontract issued by Second Party, or any person performing services under this Agreement (i) is not now nor have even been excluded, suspended, debarred, or otherwise deemed ineligible to participate in governmental healthcare, procurement, or other programs; (ii) is not now nor have ever been charged with or been convicted of a criminal offense related to the provision of government healthcare, procurement, or other programs and have not been reinstated in such programs after a period of exclusion, suspension, debarment, or ineligibility. If the Second Party, and where applicable any subcontract issued by Second Party, or any person performing services under this Agreement becomes ineligible for participation in such governmental programs in the future, Second Party will have a process in place such that any vendor(s) issued a subcontract by Second Party and any person performing services under this Agreement will promptly notify the Second Party of such ineligibility. The Second Party will notify the University Department of Procurement Services within seventy-two (72) hours of the Second Party becoming aware of the

⁷ See http://louisville.edu/privacy/business-associates_for_a_copy_of_First_Party's_BAA

⁸ "Personal Information" is defined in accordance with [KRS 61.931\(6\)](#) as "an individual's first name or first initial and last name; personal mark; or unique biometric or genetic print or image, in combination with one (1) or more of the following data elements:

- a) An account, credit card number, or debit card number that, in combination with any required security code, access code or password, would permit access to an account;
- b) A Social Security number;
- c) A taxpayer identification number that incorporates a Social Security number;
- d) A driver's license number, state identification card number, or other individual identification number used by an agency;
- e) A passport number or other identification number issued by the United States government; or
- f) Individually Identifiable Information as defined in 45 C.F.R. sec. 160.103 (of the Health Insurance Portability and Accountability Act), except for education records covered by the Family Education Rights and Privacy Act, as amended 20 U.S.C. sec 1232g."

⁹ Per KRS 61.931(5), a "non-affiliated third party" means "any persona or entity that has a contract or agreement with the Commonwealth and receives (accesses, collects, or maintains) personal information from the Commonwealth pursuant to the contract or agreement."

governmental ineligibility of the Second Party, any subcontract vendor issued a subcontract by Second Party, or any person performing services under this Agreement.

19. **ENTIRE UNDERSTANDING:** This Agreement represents the entire understanding and agreement between the parties relating to the services and supersedes all prior negotiations and agreements relative thereto. The language in all parts of this Agreement shall in all cases be construed as a whole according to its fair meaning and not strictly for or against either University or Second Party. No provision of this Agreement may be amended or added to except by an agreement in writing signed by the parties hereto or their respective successors in interest.
20. **AUTHORITY TO CONTRACT:** Second Party and the principal signing on its behalf, certifies that it is validly organized with authority to do business and perform the terms hereunder, is qualified to do business in KY, if applicable, and is not prohibited from entering into or performing the terms of this Agreement for any reason.
21. **COUNTERPARTS AND EXECUTION:** This Agreement may be executed in counterparts, each of which shall be deemed an original instrument, and all of which shall constitute a single agreement. The parties may execute this Agreement by scanned PDF or other electronically transmitted signature, and such scanned PDF or other electronically transmitted document, including the signatures thereon, shall be treated in all respects as an original instrument bearing an original signature.

{Remainder of Page Intentionally Blank. Signature Page Follows}

RECOMMENDED BY:

*Signature confirms that funds are available to cover the cost of these services.

Chair / Dept. Head Signature

Print Name

Date

REVIEWED AS TO FORM AND LEGALITY:

Attorney, University of Louisville

Print Name

Date

RECOMMENDED BY:

Director, Procurement Services or Authorized Representative

Print Name

Date

UNIVERSITY OF LOUISVILLE

FIRST PARTY:

Chief Financial Officer or Designee Signature

Print Name

Date

SECOND PARTY:

Authorized Representative Signature

Print Name

Date

Title

Email

NOTE: Second Party may not begin work until contract has been received by the Legislative Research Commission.

Department Name	
Department Contact	
Department Contact Email	
Department Contact Phone	

University of Louisville

SUPPLIER CERTIFICATION

The following certifications and acknowledgements are applicable as indicated by the particular provision.

The term "Supplier," as used in this document, refers to the entity that is supplying the goods or services to the University of Louisville or one of its affiliated corporations. In related documents, the entity may also be referred to as Bidder, Offeror, Applicant, Proposer, Seller, Second Party, Subcontractor or other similar term.

The term "Contract", as used in this document, refers to the agreement, purchase order, memorandum of understanding, subcontract, subaward, personal services agreement/contract or other similar document specifying the provisions under which the Supplier is providing goods or services to the University of Louisville or one of its affiliated corporations.

The term "UofL affiliated entity" refers to the University of Louisville, the University of Louisville Research Foundation, Inc. , the University of Louisville Athletic Association, or the University of Louisville Foundation.

1. EQUAL OPPORTUNITY CLAUSE

(Applicable to Suppliers exceeding \$10,000 in Contracts with a UofL affiliated entity in a twelve month period)

This Contract is subject to the requirements of Executive Orders 11246 and 11375 and the rules and regulations of the U.S. Secretary of Labor (41 CFR Chapter 60) in promoting Equal Opportunities.

During the performance of this Contract the Supplier agrees as follows:

- a. Supplier will not discriminate against any employee or applicant for employment because of race, religion, color, sex, or national origin. Supplier will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, religion, color, sex, or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation, and selection for training, including apprenticeship. Supplier agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Government setting forth the provisions of this nondiscrimination clause.
- b. Supplier will, in all solicitations or advertisements for employees placed by or on behalf of the Supplier, state that all qualified applicants will receive consideration for employment without regard to race, religion, color, sex, or national origin.
- c. Supplier will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice advising the labor union or workers' representative of Supplier's commitments under Section 202 of Executive Order 11246 of September 24, 1965, as amended, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- d. Supplier will comply with all provisions of Executive Order 11246 of September 24, 1965, as amended, and of the rules, regulations, and relevant orders.
- e. Supplier will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules, regulations, and orders, or pursuant thereto, and will permit access to

his books, records, and accounts by the contracting agency and the Affirmative Action Office for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

- f. In the event of Supplier's noncompliance with the nondiscrimination clauses of this Contract or with any of such rules, regulations, or orders, this Contract may be canceled, terminated, or suspended in whole or in part, and Supplier may be declared ineligible for further Government contracts in accordance with the procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- g. Supplier will include the provisions of Paragraphs (a) through (g) in every subcontract or purchase order unless exempted by the rules, regulations, or orders issued pursuant to Section 204 of Executive Order 11246 of September 24, 1965, so that such provision will be binding upon each subcontractor or vendor. Supplier will take such action with respect to any subcontract or purchase order as the Government or Buyer may direct as a means of enforcing such provisions including sanctions for noncompliance; provided, however, that in the event Supplier becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, Supplier may request the United States to enter into such litigation to protect the interests of the United States.¹

2. AFFIRMATIVE ACTION FOR DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA

(Applicable to Suppliers exceeding \$10,000 in Contracts with a UofL affiliated entity)

This Contract is subject to the requirements of Executive Order 11701 and the regulations of the U.S. Secretary of Labor (41 CFR Chapter 60, Part 60-250) in promoting employment opportunities for disabled and Vietnam veterans.

During the performance of this contract or purchase order, Supplier agrees as follows:

- a. To provide special emphasis to the employment of qualified disabled veterans and veterans of the Vietnam era. The Supplier also agrees that all suitable employment openings of the Supplier which exist at the time of execution of this Contract and those which occur during the performance of this Contract, including those not generated by this Contract and including those occurring at an establishment of the Supplier other than the one wherein the Contract is being performed but excluding those of independently operated corporate affiliates, shall be offered for listing at an appropriate local office of the State Employment Service system wherein the opening occurs and to provide such reports to such local office regarding employment openings and hires as may be required: provided, that if the Contract or purchase order is for less than \$10,000 or if it is with a state or local government, the reports set forth in Paragraphs (c) and (d) of this clause are not required.
- b. Listing of employment openings with the employment service system pursuant to this clause shall be made at least concurrently with the use of any other recruitment service or effort and shall involve the normal obligations which attach to the placing of a bona fide job order, including the acceptance of any particular job applicant or from any particular group of job applicants, and nothing herein is intended to relieve the Supplier from any requirements in Executive Order or regulations regarding nondiscrimination in employment.

¹ For federally-assisted construction contracts, the Supplier further agrees that it shall comply with the requirements of 41 CFR 60-1.4(b), which is specifically incorporated by reference herein.

- c. The reports required by Paragraph (a) of this clause shall include, but not be limited to, periodic reports which shall be filed at least quarterly with the appropriate local office or where the Supplier has more than one establishment in a state, with the central office of the state employment service. Such reports shall indicate for each establishment (1) the number of individuals who were hired during the reporting period; (2) the number of those hired who were disabled veterans; and (3) the number who were nondisabled veterans of the Vietnam era.
- d. The Supplier shall submit a report within 30 days after the end of each reporting period wherein any performance is made on this contract or purchase order. The Supplier shall maintain copies of the reports submitted until the expiration of one year after final payment under the Contract, during which time they shall be made available, upon request, for examination by any authorized representatives of the contracting officer or of the University's Affirmative Action Office.
- e. Whenever the Supplier becomes contractually bound to the listing provisions of this clause, he shall advise the employment service system in each state wherein he has establishments of the name and location of each such establishment in the state. As long as the Supplier is contractually bound to these provisions and has so advised the state system, there is no need to advise the state system of subsequent contracts or purchase orders. The Supplier may advise the state system when it is no longer bound by this contract clause.
- f. This clause does not apply to the listing of employment openings which occur and are filled outside of the 50 states, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands.
- g. This clause does not apply to openings which the Supplier proposed to fill from within his own organization or to fill pursuant to a customary and traditional employer-union hiring arrangement. This exclusion does not apply to a particular opening once an employer decides to consider applicants outside of his own organization or employer-union arrangement for that opening.
- h. As used in this clause:
 - 1. "All suitable employment openings" includes, but is not limited to, openings which occur in the following job categories: production and nonproduction; plant and office; laborers and mechanics; supervisory and nonsupervisory; technical, and executive administrative, and professional openings which are compensated on a salary basis of less than \$18,000 per year. This term includes full-time employment, temporary employment of more than three days' duration, and part-time employment. It does not include openings which the Supplier proposes to fill from within his own organization or to fill pursuant to a customary and traditional employer-union hiring arrangement. Under the most compelling circumstances an employment opening may not be suitable for listing, including the situations where the needs of the Government cannot reasonably be otherwise supplied, where listing would be contrary to national security, or where the requirement of listing would otherwise not be for the best interest of the Government
 - 2. "Appropriate office of the state employment service system" means the local office of the federal-state national system or public employment offices with assigned responsibility for serving the area where the employment opening is to be filled, including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands.
 - 3. "Openings which the Supplier proposes to fill from within his own organization" means employment openings for which no consideration will be given to persons outside the Supplier's organization (including any affiliates, subsidiaries, and the parent companies) and includes any openings which the Supplier proposes to fill from regularly established "recall" or "rehire" lists.

4. "Openings which the Supplier proposes to fill pursuant to a customary and traditional employer-union hiring arrangement" means employment openings for which no consideration will be given to persons outside of a special hiring arrangement, including openings which the Supplier proposes to fill from union halls, which is part of the customary and traditional hiring relationship which exists between the Supplier and representatives of his employees.
5. "Disabled veteran" means a person entitled to disability compensation under the law administered by the Veterans' Administration for disability rates at 30 per centum or more, or a person whose discharge or release from active duty was for a disability incurred or aggravated in line of duty.
6. "Veterans of the Vietnam era" means a person (1) who (i) served on active duty for a period of more than 180 days, any part of which occurred after August 05, 1964, and was discharged or released therefrom with other than a dishonorable discharge, or (ii) was discharged or released from active duty for service-connected disability if any part of such duty was performed after August 05, 1964, and (2) who was so discharged or released within the 48 months preceding his application for employment covered under this part.

3. CERTIFICATE OF NONSEGREGATED FACILITIES

(Applicable to Suppliers exceeding \$10,000 in Contracts with a UofL affiliated entity)

This Contract is subject to the requirements of Executive Order 11246 and the regulations of the U.S. Secretary of Labor (41 CFR Part 60-1.8) prohibiting segregated facilities based upon race, color, religion, sex or national origin.

The undersigned Supplier certifies to the University of Louisville and the Federal Government agencies with which it contracts that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit the employees to perform their services at any location under his control where segregated facilities are maintained. Supplier certifies further that he will not maintain or provide for his employment any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location under his control where segregated facilities are maintained. The undersigned bidder, offerer, applicant, supplier, or subcontractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in this Contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise. He further agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time period) he will obtain identical certifications from proposed subcontractors prior to the award of subcontractors exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause, that he will retain such certification in his files, and that he will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certification for specific time periods):

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATION OF NONSEGREGATED FACILITIES

A Certification of Nonsegregated Facilities must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provision of the Equal Opportunity Clause. The

Certification may be submitted either for each subcontract or for all subcontracts or for all subcontracts during a period (i.e., quarterly, semiannually, or annually).

Note: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

4. EMPLOYMENT OF INDIVIDUALS WITH DISABILITIES

(Applicable to Suppliers exceeding \$10,000 in Contracts with a UofL affiliated entity)

This Contract is subject to the requirements of Executive Order 11758, section 503 of the Rehabilitation Act of 1973, as amended, and the regulations of the U.S. Secretary of Labor (41 CFR Part 60-741.5) to promote the employment and advancement of qualified handicapped individuals.

During the performance of this Contract, Supplier agrees as follows:

a. that it will not discriminate against any employee or applicant for employment because of physical or mental disability in regard to any position for which the employee or applicant for employment is qualified. The contractor agrees to take affirmative action to employ, advance in employment and otherwise treat qualified individuals with disabilities without discrimination based on their physical or mental disability in all employment practices, including the following:

- i. Recruitment, advertising, and job application procedures;
- ii. Hiring, upgrading, promotion, award of tenure, demotion, transfer, layoff, termination, right of return from layoff and rehiring;
- iii. Rates of pay or any other form of compensation and changes in compensation;
- iv. Job assignments, job classifications, organizational structures, position descriptions, lines of progression, and seniority lists;
- v. Leaves of absence, sick leave, or any other leave;
- vi. Fringe benefits available by virtue of employment, whether or not administered by the contractor;
- vii. Selection and financial support for training, including apprenticeship, professional meetings, conferences, and other related activities, and selection for leaves of absence to pursue training;
- viii. Activities sponsored by the contractor including social or recreational programs; and
- ix. Any other term, condition, or privilege of employment.

b. that it will comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the act.

c. that in the event of noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the act.

d. that it will post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Deputy Assistant Secretary for Federal Contract Compliance Programs, provided by or through the contracting officer. Such notices shall state the rights of applicants and employees as well as the contractor's obligation under the law to take affirmative action to employ and advance in employment qualified employees and applicants with disabilities. The contractor must ensure that applicants and employees with disabilities are informed of the contents of the notice (e.g., the contractor may have the notice read to a visually disabled individual, or may lower the posted notice so that it might be read by a person in a wheelchair).

e. that it will notify each labor organization or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the contractor is bound by the terms of

section 503 of the Rehabilitation Act of 1973, as amended, and is committed to take affirmative action to employ and advance in employment individuals with physical or mental disabilities.

f. that it will include the provisions of this clause in every subcontract or purchase order in excess of \$10,000, unless exempted by the rules, regulations, or orders of the Secretary issued pursuant to section 503 of the act, as amended, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the Deputy Assistant Secretary for Federal Contract Compliance Programs may direct to enforce such provisions, including action for noncompliance.

5. AFFIRMATIVE ACTION PROGRAM REQUIREMENT

(Applicable to Suppliers employing 50 or more employees and exceeding \$50,000 in Contracts with a UofL affiliated entity)

This Contract is subject to the requirements of Executive Order 11758, section 503 of the Rehabilitation Act of 1973, as amended, and the regulations of the U.S. Secretary of Labor (41 CFR Part 60-741.40) in promoting affirmative action in Employment of the Handicapped. Supplier agrees to conform to its requirements as outlined in 41 CFR Part 60-741.44.

Furthermore, Supplier agrees to develop a written Affirmative Action Compliance Program for each of its establishments as required by 41 CFR 60-2.1.

6. FILING CERTIFICATE

(Applicable to Suppliers employing 50 or more employees and exceeding \$50,000 in Contracts with a UofL affiliated entity)

Supplier has filed or will file the necessary compliance reports, including Standard Form 100 (EEO-1) where and when required by law and applicable regulations, including, without limitation, the Civil Rights Act of 1964 as amended by the Equal Employment Opportunity Act of 1972 and regulations in 41 CFR 60-1.7. Supplier further agrees that it shall require similar certification and filing from its nonexempt subcontractors and suppliers. The Supplier agrees to submit a copy of his Affirmative Action Program to the Affirmative Action Office, University of Louisville, within 30 days after the award to him of a Contract. Subsequent reports shall be submitted annually in accordance with 41 CFR 60-1.7(a)(1).

7. AFFIRMATIVE ACTION CERTIFICATE

(Applicable to Suppliers employing 50 or more employees and exceeding \$50,000 in Contracts with a UofL affiliated entity)

Supplier has developed, is maintaining, and will continue to maintain the written affirmative action compliance program to guarantee equal employment opportunity to minority groups required by applicable laws and regulations, including, without limitations, those appearing in 41 CFR 60-1.40. Supplier further agrees that it shall require similar certification and filing from its nonexempt subcontractors and suppliers.²

² Nonconstruction contractors should refer to 41 CFR Part 60-2 for specific affirmative action requirements. Construction contractors should refer to 41 CFR Part 60-4 for specific affirmative action requirements.

8. ADMINISTRATIVE, CONTRACTUAL, LEGAL REMEDIES

(Applicable to federally funded Contracts exceeding \$150,000 [or a higher threshold if the \$150,000 is adjusted for inflation as determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council])

Supplier acknowledges that the applicable UofL affiliated entity may impose sanctions or penalties on the Supplier for violation of terms of the Contract or breach of contract including violation of applicable regulations, other applicable provisions of law, or any directive or instruction from the UofL affiliated entity or the federal entity providing the funding. The UofL affiliated entity will determine the appropriate sanction and/or penalty, up to and including the inability to provide future goods or services to any UofL affiliated entity. In determining the appropriate sanction and/or penalty, the UofL affiliated entity will consider previous violations, potential harm to the project for which the goods or services are being provided, and any other relevant factors. The Supplier will be notified in writing of the intent to sanction and/or penalize and will have 10 business days from the date of receipt of the notice to submit a written response. The response will be reviewed and a final decision will be communicated in writing to the Supplier. These sanctions or penalties do not preclude the UofL affiliated entity, nor the Supplier, from pursuing any other alternate dispute resolution or legal remedy to which either may be entitled under law or regulation.

9. DAVIS BACON ACT

(Applicable to federally funded construction projects exceeding \$2,000)

Supplier agrees to pay wages to mechanics and laborers at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. Supplier agrees to pay wages and meet the other requirements as specified by Davis-Bacon Act, as amended (40 U.S.C. 3141-3148) as supplemented by the Department of Labor regulations (29 CFR Part 5). Supplier acknowledges that the UofL affiliated entity's decision to make a Contract with Supplier is conditioned upon the acceptance of the wage determination.

10. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

(Applicable to federally funded Contracts exceeding \$100,000 which involves the employment of mechanics and laborers)

Supplier agrees to pay salaries and wages in accordance with the Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708) as supplemented by Department of Labor regulations (29 CFR part 5.) Supplier acknowledges that such requirements include computation of wages of a standard work week of 40 hours for every mechanic and laborer and that work in excess of the standard work week is permissible provided the worker is compensated at a rate no less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. These requirements do not apply to purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

11. CLEAN AIR AND FEDERAL WATER POLLUTION CONTROL ACT

(Applicable to federally funded Contracts exceeding \$150,000)

Supplier agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33

U.S.C. 1251-1387). Supplier acknowledges the requirement to report any violations with the funding Federal agency and to the Regional Office of the Environmental Protection Agency (EPA) and agrees to notify the UofL affiliated entity of any such violations.

12. TERMINATION

(Applicable to federally funded Contracts exceeding \$10,000)

The UofL affiliated entity shall have the right to terminate/cancel this Contract at any time upon thirty (30) days' written notice to the Supplier. The UofL affiliated entity shall pay Supplier for termination costs as allowable under OMB Circular A-21 or 2 CFR Part 200 as applicable.

13. LOBBYING/ANTI-KICK BACK

Copeland Anti-Kick Back Act:

(Applicable to any federally funded Contracts or funded by a federal loan)

The Supplier agrees to comply with the Copeland "Anti-Kick Back" Act (18 USC 874) as supplemented in the Department of Labor Regulations (29 CFR, Part 3). This Act provides that each Supplier, Bidder, subcontractor or subgrantee is prohibited from inducing, by any means, any person employed in the construction, prosecution, completion or repair of any public building, public work, or building or work financed in whole or in part by loans or grants from the United States to give up any part of the compensation to which he is otherwise entitled.

Certification Governing Lobbying:

(Applicable to federally funded Contracts exceeding \$100,000)

The Supplier certifies to the best of his/her knowledge and belief that:

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Supplier, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, , the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Supplier shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying", to the UofL affiliated entity.
- 3) The Supplier shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

14. ACCESS TO RECORDS

(Applicable to any federally funded Contracts)

The UofL affiliated entity reserves the right to inspect, upon reasonable advance notice by the UofL affiliated entity and during normal business hours, Supplier's physical facilities, and all books, records, and documents of any kind pertaining to this Contract or Supplier's performance of supplying the goods or services provided by this Contract. Supplier agrees to provide copies of any records, receipts, accounts or other documentation to the UofL affiliated entity in a timely fashion as reasonably requested by the UofL affiliated entity. Supplier will keep all usual and proper records and books of accounts in accordance with Generally Accepted Accounting Principles (GAAP) relating to performance of the Contract for a minimum period of three (3) years after the date of receipt of the final payment.

15. AUDITS

(Applicable to any federally funded Contracts)

Supplier assures UofL affiliated entity that it complies with either A-133 or the applicable provisions of 2 CFR Part F Audit Requirements (§200.500-200.520) applicable to assurances from subawards/subcontracts and that it will notify the UofL affiliated entity of completion of required audits and of any adverse findings which impact this Agreement, including those required audits conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS). The UofL affiliated entity reserves the right to inspect, upon reasonable advance notice and during normal business hours, Supplier's physical facilities used to provide the Services undertaken under this Agreement, and all books, records, and documents of any kind pertaining to the provision of the Services provided under this Agreement. Supplier agrees to provide copies of any records, receipts, accounts or other documentation in a timely fashion as reasonably requested by the UofL affiliated entity. Supplier will keep all usual and proper records and books of accounts in accordance with Generally Accepted Accounting Principles (GAAP) relating to performance/provision of Services for a minimum period of three (3) years after the date of receipt of the final payment.

This Supplier Certification is hereby incorporated into the applicable Contract with you. Your signature on the Contract, acceptance of the Contract/purchase order, acceptance of payment, or other form of acceptance/acknowledgement (e.g. continuing business relationship) with a UofL affiliated entity indicates your agreement to and acceptance of the applicable provisions. No counter offer or provision of alternate terms and conditions is accepted by the UofL affiliated entity. Any changes must be agreed to in a signed separate writing specifically addressing the particular provision(s).



CONFLICT OF INTEREST CERTIFICATION

By signature below, the Chair/Department Head or the individual(s) that signs the Personal Service Contract as Recommended By in the signature block listed as Chair/Department Head is certifying:

- (1) That he/she/they is/are not and will not be in violation of the University of Louisville Conflict of Interest (COI) Policies found at <http://louisville.edu/conflictinterest/coi-policies> by this Personal Services Contract being executed;
- (2) That neither he/she/they nor any member of his/her/their immediate family¹ has an interest in any business entity/individual involved in the performance of this contract²; and
- (3) That any potential conflict of interest involving this contract has been disclosed in accordance with UofL's Conflict of Interest policies and,

(A) there was no Conflict of Interest which was required to be managed by a Management Plan; OR

(B) this contract is being executed in accordance with an approved Management Plan.

Signature - Chair / Department Head

Printed Name

Title

Date

¹ For definition of immediate family under University of Louisville COI policy see <http://louisville.edu/conflictinterest/coi-policies>. See definition section within "Addressing Potential Individual Conflict of Interest Policy and Procedures".

² If the PSC is federally funded: No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family (which in this context is the federal definition of immediate family), his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

**Legislative Research Commission
Personal Services Contract Proof of Necessity (PON)**

Contract Number _____

Agency: University of Louisville

Division, Branch, Etc. _____

TYPE OF CONTRACT: **New** **Renewal (Renegotiation)** **Extension (Time Only)**

NOTE: All questions must be answered fully. If space provided is insufficient, additional pages should be attached referencing the specifically numbered item. Questions regarding this form should be directed to the Bureau/Staff Office Contract Officer.

1. Name & Address of Contractor:

2. Effective Period of Contract: Start Date: _____

End Date: _____

3. Explain work to be performed. (Be specific. Include: Description of project, type(s) of service to be delivered, reports or products to be prepared, reason for duration of contract, etc.)

4. Budget and Cancellation

a. Does an identified or anticipated reason now exist which would indicate a need to renew the contract for the succeeding fiscal year? YES NO

If YES, explain: _____

b. Will the contract provide for cancellation by the Department upon a maximum of thirty (30) days or less written notice to the contractor? YES NO

5. Financial and Contract Cost Data

a. Total Project Cost of Contract \$ _____

Source of Funds: Federal \$ _____ State \$ _____ Local/Other \$ _____

b. If contract is supported by federal funds, indicate: grant/project title, grant I.D.#, and CFDA #

c. If contract is supported by state funds, indicate: source(s) and amount(s) (i.e., General Fund, Trust and Agency, Other)

d. Was the contract cost included in the original Budget Request? YES NO

If no, explain: _____

e. Describe in detail how the projected cost of the contract was derived (attach proposed budge when applicable):

f. Basis for Payment: Hourly \$ _____ per hour
Per Diem \$ _____ per day
Fee for Service \$ _____ per service
Other (explain) _____

g. Method of Payment: Straight Disbursement Inter-Account

h. Frequency of Payment: Monthly Quarterly Upon completion

Other: Explain _____

i. Social Security Number (if individual) or IRS Federal I.D. number (if firm/corporate entity): _____

NOTE: If professional employment contract with firm or corporate entity, attach a complete list of names and social security numbers of all officers, as well as all employees, performing work directly related to contract. If individual, attach name and social security number.

j. If an individual, will terms of contract require that the contractor be considered an "employee" of this Department for FICA purposes? YES NO

6. Justification for Contracting with an Outside Provider to Perform Service

The following questions should be addressed, at a minimum:

- (1) *What in-house method(s) were considered and why were potential in-house method(s) rejected?*
- (2) *Is the part of such nature that: it should be done independently of the agency to avoid conflict of interest; it requires unique or special expertise/qualifications; and/or legal or other special circumstances require the use of an outside provider?*
- (3) *If services are needed on a continuing basis, describe efforts made to secure services through regular state employment channels.*
- (4) *Will agency personnel provide staff support services to the contractor?*

7. Name and address of other provider(s) considered to perform the service (add more pages if needed):

8. Basis for selection of the proposed contractor (explain process used in making decision. i.e., solicitation of proposals/bids, references, and evaluation criteria applied): _____

9. Planned Supervision and Monitoring of the Contractor's Performance

a. Name and Title of Responsible Individual: _____

Office and Location: _____

Email Address and Telephone Number: _____

b. Describe monitoring activities, both programmatic and fiscal, which will be performed, including the manner in which monitoring needs will be addressed in the contract to facilitate this activity.

SIGNATURES

Recommended By: _____

Department Chair / Head Signature

Print Name

Title

Date

Approved By: _____

Chief Financial Officer or Designee

Date



PERSONAL SERVICE CONTRACT INVOICE FORM

GOVERNMENT CONTRACT REVIEW COMMITTEE LEGISLATIVE RESEARCH COMMISSION

Pursuant to [KRS 45A.695](#), no payment shall be made on any personal service contract unless the individual, firm, partnership, or corporation awarded the personal service contract submits its invoice for payment on a form established by the committee.

Invoices shall be submitted every ninety (90) days, unless the personal service contract specifies a different submission period.

Separate invoices shall be submitted for each distinct matter covered by the personal service contract and shall be signed by the individual responsible for that matter.

The issuance of an invoice to the Commonwealth of Kentucky constitutes an affirmation by the individual, firm, partnership, or corporation awarded the personal service contract that the invoice truly and accurately represents work performed and the expenses incurred.

The head of the contracting body shall approve the invoice, indicating that the charges in the invoice reflect the value of the work performed, and all recorded costs and disbursements were reasonably and necessarily incurred in connection with the matter invoiced.

NOTE: All questions must be answered fully. If the space provided is insufficient, additional pages should be attached referencing the specifically numbered item. Any questions regarding the invoice requirements should be directed to the contracting agency.

Contract Number		Date of Invoice	
Contracting Body	University of Louisville	Division, Branch, etc.	

Second Party Name	
Second Party Tax ID (leave blank if SSN)	
Street Address	
City, State, Zip Code	

Effective Period of Contract

Dates of Service Covered

Start Date		Start Date	
End Date		End Date	

1. Combined Total Amount Charged in this Invoice for Services and Reimbursable Ending Disbursements: \$ _____

2. Is this the FINAL invoice for services performed under this contract? YES NO

3. Date of most recent invoice submitted prior to this invoice: _____

4. How often is the contractor required to submit invoices under the terms of the personal service contract? _____

5. Provide a description of the matter covered by this invoice: _____

6. Provide a full description of each service provided, including the date each service was performed, the name and title of each individual who worked on the matter, and the time the individual spent on the matter.

7. Provide the hourly rate for each individual working on the matter and the time the individual spent on the matter:

8. Provide the hourly rate for each individual working on the matter and the total charge for that individual for each matter involved.

9. Provide the subject matter and recipient of any correspondence. _____

10. Provide a full description of any work product produced, designating the way in which the work product is associated with the matter being invoiced. (Attorneys billing for legal services: If you contend that any information is subject to privilege, please identify the privileged item, and provide sufficient information to evaluate the claim of privilege.).

11. Provide an itemized list of all disbursements to be reimbursed by the state for each matter invoiced and the total charge for that matter.

SIGNATURES

UNIVERSITY OF LOUISVILLE

Dept. Chair/Head Signature

Print Name

Date:

SECOND PARTY

Authorized Signature

Print Name

Title

Date