



PROCUREMENT SERVICES

**CAPITAL PROJECTS AND
FACILITIES PROCUREMENT**

**INVITATION TO SEWER & WATERLINE, WATER TREATMENT PLANT and SITEWORK
CONTRACTORS
TO SUBMIT PREQUALIFICATION APPLICATION**

The University of Connecticut is accepting Prequalification Applications limited to the following project:

HORSEBARN HILL PUMP STATION

PROJECT NUMBER: FO500016

Completed Applications will be accepted until **January 3, 2019 by 2:00 p.m.** Applications received after the due date and time will not receive consideration and shall be returned unopened.

Completed Applications must be received at:

University of Connecticut
Capital Projects & Facilities Procurement
ATTN: Walt Dalia
3 Discovery Drive, Unit 6076
Storrs, Connecticut 06269-6047

Qualifications shall be submitted on forms and in the manner specified. The Prequalification Application for this project can be retrieved by accessing the following web link: www.cpcu.uconn.edu/construction-current-opportunities-open-bids or on the CT Contracting Portal <http://das.ct.gov/cr1.aspx?page=12>. Click on the project number noted above to access the prequalification documents when visiting the either website.

Applicants must provide a copy of their current approved Classification status by the State of Connecticut Department of Administrative Services, ("DAS"), with their Application as a prequalified Sewer & Waterline, Water Treatment Plant or Sitework Contractor. This certificate must be included with your Application and must be valid as of the due date of this Application.

Only Contractors pre-qualified by both the DAS, in the classification required for this specific project, and the University of Connecticut ("University") through this Prequalification Application, will be eligible to submit bids for this project.

Project Description:

The Horsebarn Hill Pump Station (HBH) receives influent from the northeast portion of campus associated with animal husbandry and was constructed and placed into service circa 1964. The facility does not meet present building codes, most importantly with respect to isolation of hazardous gasses from arc-

producing electrical devices. Pump isolation and check valves are in poor condition. Existing pumps are prone to frequent clogging, and upgrade to recommended "chopper" type pumps requires an increase in motor horsepower, which becomes problematic for the existing electrical service and generator.

The University of Connecticut (UConn) is undertaking a rehabilitation project to upgrade the facility to minimum building code requirements; upgrade pumps, piping, and components to address clogging issues; upgrade the electrical service and control systems as required; and make minor operational enhancements.

Scope of Work:

- Construct new space to house electrical and control equipment
- Installation of a new ceiling to prevent gases from migrating
- Sealing of present and former unused roof and floor slabs
- Conversion of wetwell level instrumentation to an ‘intrinsically safe’ design
- Construction of a new exterior and pad
- Installation of a precast vault
- New 3 phase 480V electrical service with a 400A service
- Replacement of sewage pumps with “chopper” type pumps
- Removal and installation of new suction piping
- Replacement of pump and header isolation valves and pump discharge valves
- Extend aluminum platform from door landing and install a ship’s ladder
- Installation of a microprocessor-based Pump Station Control Panel
- Installation of a new service sink and a water service backflow preventer
- Capability and ability to install and operate full lift station bypass, if necessary.

Project Schedule/Duration:

- The construction is planned to start: Late Spring-Summer 2019
- Construction duration: Project duration is approximately 250 calendar days from NTP.

Contractor Qualifications:

Contractors requesting prequalification to submit bids on this project must demonstrate proven financial ability, managerial ability, technical ability, and integrity.

The Contractor must demonstrate the financial ability and bonding capacity to complete a construction project with a minimum value of at least \$550,000. Most recent audited financial statements are required for this prequalification, as further outlined in this Prequalification Application.

The Contractor must demonstrate the ability to staff the project with high quality, experienced personnel. A full time, dedicated Project Superintendent and Project Manager is mandatory and the contractor must demonstrate adequate levels of staffing to oversee the project through completion. The firm must demonstrate the individual staff members’ experience on past relevant projects performing work of a similar scope and nature to this project and in a comparable position as assigned on this project.

The Contractor must demonstrate, through past experience, the highest degree of ability to successfully complete projects of a similar size, scope, nature, value, and duration as the project which is the subject of this Prequalification Application. The project relevant experience must demonstrate the ability to work in a similar environment. Proven project relevant experience in managing subcontractors must also be demonstrated.

Project relevant experience demonstrating these requirements must be submitted on the Attachment A Form provided with this Prequalification Application; substitution of this Form is not allowed. A minimum of **three (3) examples** must be submitted that are in progress (at least 75% complete) or completed within the past **five (5) years**. **For a project to be considered, the value of that project must have a minimum value of \$412,500**. A detailed description of the work performed and how it relates to the scope of work outlined in the Prequalification Application shall be included. Failure to provide accurate required information on the Attachment A Form may lead to the rejection of the Prequalification Application.

The Contractor shall also demonstrate the ability to work safely and in harmonious, non-adversarial relationships with the owner and its agents in order to achieve successful completion of the project. Additionally, if requested by the University, the Contractor must be able to show past compliance with the State of Connecticut CHRO and Department of Labor requirements and regulations.

If prequalified, a bidding requirement prerequisite will be that the awarded Contractor must self-perform a minimum of **ten percent (10%)** of their submitted bid amount. Also, in the bidding of most deferred maintenance, major renovation, and new construction projects, contractors are advised that they must award **thirty percent (30%)** or more of the value of their awarded contract to certified SBE's and, of that amount, one-third (10% of the total award) or more must be awarded to SBE's who are also MBE's. The contractors are responsible for ensuring that they and the SBE's they have elected are eligible contractors, and that they meet state requirements.

The University reserves the right to reject any or all Applications, and to waive any informality or technical defects if it is deemed to be in the best interest of the University.

The University reserves the right to refuse to prequalify any contractor or subcontractor for a particular project notwithstanding the fact that they may have prequalified for a previous project(s).

Walt Dalia
Purchasing Agent II

INSTRUCTIONS FOR CONTRACTOR'S APPLICATION FOR PREQUALIFICATION

Prospective bidders shall submit to the University a "Prequalification Application" which shall be used to evaluate the qualifications of each Applicant. Only contractors prequalified by both the Department of Administrative Services (DAS) in the specified classification for this project (**Sewer & Waterline, Water Treatment Plant or Sitework Contractor**) as of the due date of the Application, and the University, through this Prequalification Application, shall be permitted to bid on this project.

"Applicant," as used in these documents, shall include the actual legal entity or entities submitting and executing this Prequalification Application.

1. The Applicant must provide, to the satisfaction of the University, complete responses to the questions and questionnaires contained within this Prequalification Application and all required documentation requested. Leaving any blank spaces on the Application, or failure to completely answer any questions, may result in the University's refusal to prequalify the Applicant.
2. Submit one (1) original, five (5) copies and one (1) copy in electronic media format of the completed and signed Application to the University. You must clearly identify which is your original Application.
3. Please include two (2) copies of your firm's Financial Statement behind Tab 4 of your **original Application only** and include Interim Financials, if required. The financial requirements are further defined in the "Objective Criteria for Evaluating Qualifications of Applicants" section of this Application. Failure to submit Financials and Interim Financials (if required) may result in the University's refusal to prequalify the Applicant.
4. The Applications shall be submitted in a sealed package with the Project Name and Project Number identified on the package and addressed to:

University of Connecticut
Capital Projects & Facilities Procurement
ATTN: Walt Dalia
Purchasing Agent II
3 Discovery Drive Unit 6076
Storrs, Connecticut 06269-6047

Prequalification Application Due Date: January 3, 2019

Application Due Time: 2:00 p.m.

5. Applications received after the due date and time will not receive consideration and will be returned to the sender unopened.
6. All questions pertaining to the information/documents requested in the Application must be received by December 17, 2018 by 2:00 p.m. Questions shall be in writing and emailed to the attention of Walt Dalia at walter.dalia@uconn.edu Please reference "RFI (indicating the project name & number)" in the subject line. The University shall render any interpretations or clarifications in a form and manner which it deems appropriate, given the nature and circumstances of the question involved. The University will not be responsible for any interpretations or instructions other than those issued in written form. No phone calls will be accepted.

7. Responses to any RFIs and any clarifications will be posted on the CPCA website at www.cPCA.uconn.edu and on the CT DAS Contracting Portal at <http://das.ct.gov/cr1.aspx?page=12> under the project number as an addendum.
8. The Prequalification Application shall be submitted on the forms included in this Prequalification Application. No substitution of forms is permitted. More information on submitting the Application can be found under "*Submitting Prequalification and Additional Information.*"
9. If the Applicant is a joint venture, identify the nature and percentage of the work of this project for which each joint venture partner will be primarily responsible. Whenever the words "you," "your firm," "your organization," etc. appear, the responses to any such question must be responded to by each firm represented in the joint venture.
10. The University expressly reserves the following rights:
 - A. To reject any and all Applications and to waive any informalities, irregularities or technical defects in the Application, if it is deemed to be in the best interest of the University.
 - B. To solicit, receive and/or utilize information from any persons or entities identified in the Application as references, or from persons or entities having knowledge of the Applicant's experience, abilities, past performance, integrity, financial status, or any other item referenced in the Application for Prequalification.
 - C. To find any Applicant to be non-responsible or non-qualified with respect to a specific project, notwithstanding the fact that it may have previously been prequalified or selected for previous projects for the University.
11. The Applicant must completely, fully and fairly respond to all questions and requests for information contained in the Application. The University reserves the right to request the Applicant provide, or to obtain from any source it deems appropriate, additional information to obtain a fuller explanation of any response. If the Applicant believes that it is necessary or appropriate to explain, in the Application, the circumstances surrounding any response, they shall have the right to do so, even if the question responded to does not specifically require an explanation. Any failure by an Applicant to completely, fully or fairly respond to any of the questions in the Application, or to otherwise provide any information or documentation requested by the University in the prequalification process, to the satisfaction of the University, shall constitute grounds for a nonresponsive Prequalification Application.
12. The making of any false, deceptive, fraudulent, or intentionally misleading or inaccurate statements or representations in the Application shall constitute grounds for a refusal to prequalify the Applicant and/or grounds for the revocation of any prequalification.
13. Evaluation: Applicants and their Applications will be evaluated in conjunction with the objective criteria referred to herein, on the basis of the information provided in the individual Application, as well as any additional information obtained from references, persons or other sources identified in the Application.

14. Notification: All prospective firms who submit Applications will be notified of their standings as soon as practical after determination by email and letter via USPS.
15. Reconsideration: In the event that an Applicant is denied prequalification, the Applicant may, within five (5) business days of the date of the notification letter, request in writing that the University reconsider their Application. The request shall also include any additional information the Applicant wishes to include in the reconsideration process. Applicant should send reconsideration notice and any additional material to the CPCA Purchasing Agent identified in this Prequalification Application. No request or additional information received after that date will be given consideration. The University will again consider the matter and may either adhere to or modify its previous decision. Shall the Applicant receive a notification letter denying them prequalification again, they may request a final reconsideration of their Application by requesting such in writing within three (3) business days of the date of the notification letter. Applicant should send reconsideration notice to the CPCA Purchasing Agent identified in this Prequalification Application. The Applicant shall not submit any additional information with the final request. The University shall give prompt notice to the Applicant of the action taken.
16. Prequalified Applicants List: Contractors who are prequalified to bid will be listed on the CPCA website and the CT DAS Contracting Portal in a Document entitled "List of Prequalified Bidders" under the Project Number and will be included in the ITB or RFP.
17. Authorization: The submission of a completed Application by an Applicant shall constitute an express authorization by the Applicant to the University to obtain all information it deems pertinent with respect to the financial worth and assets and liabilities of the Applicant, as well as its experience, abilities, past performance, integrity or any other item referenced in the Prequalification documents, from banks or other financial institutions, sureties, vendors in materials, equipment or supplies, any person identified in the Application as references, or any other persons having business transactions with the Applicant. The Applicant shall expressly authorize all such financial institutions or other persons or entities to furnish any such information requested from them by the University. The Applicant, by submission of a completed Application, also acknowledges that any information provided to or obtained by the University in the Prequalification process, whether related to financial matters as noted in this Paragraph or otherwise, may be subject to disclosure under the Connecticut Freedom of Information Act; provided, however, that if the Applicant indicates that certain financial documentation, as required, is submitted in confidence, by specifically and clearly marking and identifying said documentation as CONFIDENTIAL. The Connecticut Freedom of Information Act does have a provision that permits the University to withhold certain types of information in records that meet particular criteria as proprietary and/or financial information given in confidence that is not otherwise available anywhere else for the public to access (note: we will not be able to withhold the submission in its entirety). If, your firm has flagged certain information and we agree that the information meets the standard, we will withhold the information. However, if the University receives a challenge from a requester under the Freedom of Information Act, your firm will need to be prepared to defend the position UConn is taking on your firm's behalf in any hearing before the Connecticut Freedom of Information Commission.

OBJECTIVE CRITERIA FOR EVALUATING QUALIFICATIONS OF APPLICANTS

Each Applicant shall demonstrate, to the satisfaction of the University, that it possesses the proven financial ability, managerial ability, technical ability and the integrity necessary to faithfully and efficiently perform the work for which it intends to bid, without conflict of interest. The University shall review and evaluate each Application and determine whether it meets the above-stated and following objective criteria:

1. Financial Ability

The Applicant shall demonstrate, through the financial information submitted with its Application, that they possess the financial means and bonding capacity to complete a construction project valued at the estimated project construction cost stated for this project. The review of the financial information is performed by an independent third-party using criteria developed by the University and is based on the estimated construction value of this project.

2. Managerial Ability

The Applicant shall demonstrate, through the information submitted with its Application, that they possess the managerial resources, capability, and commitment necessary to complete the project to the satisfaction of the University. The Applicant shall have on its payroll, or must be able to prove, that they customarily employ managerial and supervisory personnel of the type qualified to perform the kind of work which may be called for this project. The University reserves the right to request additional information about the managerial and supervisory personnel and/or to request any member of the managerial or supervisory staff be replaced after good cause is shown.

3. Technical Ability

The Applicant shall demonstrate, through the information submitted in their Application, that they possess the technical capacity, resources, capability, experience, and commitment necessary to complete the project to the satisfaction of the University.

4. Integrity

The Applicant shall demonstrate, through the information submitted in their Application, that, by their past and present actions and conduct, and that of their principals and management, they possess the integrity necessary for and satisfactory to the University for the proper performance of the work for which they intend to bid. The Applicant shall also have a record of harmonious, cooperative, non-adversarial, and honest relationships with Owners, including the University and the State of Connecticut, if the Applicant has performed work on prior University or state projects, as well as with Architects, Engineers, Consultants, Subcontractors and Suppliers on prior public and private projects.

SUBMITTING PREQUALIFICATION APPLICATION AND ADDITIONAL INFORMATION

The Prequalification Application shall include the requested information and documents arranged in the following order:

- Coversheet (**Use form provided**)*
- Tab 1 – Applicant Prequalification Questionnaire (**Use form provided**)*
- Tab 2 – Previous Project Relevant Experience (**Use form provided**)*
- Tab 3 – Managerial Ability/Project Team (**Use form provided**)*
- Tab 4 – Financial Ability/Bonding Capacity
- Tab 5 – Quality Assurance/Quality Control/Code Compliance
- Tab 6 – Health and Safety/OSHA
- Tab 7 – Litigation/Claims/Proceedings
- Tab 8 – Labor and Employment
- Tab 9 – Integrity
- Tab 10 – Conflict of Interest
- Tab 11 – Miscellaneous Documents
- Verification of Information Form (**Use form provided**)*

**Forms are provided at the end of this Prequalification Application*

1. Tab 1 - Applicant Prequalification Questionnaire

- A copy of the completed Prequalification Questionnaire shall be included behind Tab 1. Applicant shall make a good faith effort to fully and completely respond to each question on the Prequalification Questionnaire truthfully and accurately. It is important that no question is left blank and any additional information requested, due to the Applicant's particular response to a question, shall be provided behind the relevant tab. The University shall have a right to rely on such responses and information to help determine whether an Applicant meets the Prequalification criteria.
- If the Applicant is a joint venture identify the nature and percentage of the work of this project for which each joint venture partner will be primarily responsible. All information asked for must be responded to by each firm represented in the joint venture.

2. Tab 2 – Previous Project Relevant Experience

Using Attachment A (form included at the end of this Application), the Applicant must show or be able to demonstrate to the satisfaction of the University that they possess the ability and capacity to successfully complete the project through the satisfactory past performance of work of a similar nature, size, scope, and comparable dollar value to that of the subject work/project.

- A minimum of **three (3)** project relevant experience examples within the past **five (5)** years must be provided.
- The projects listed in Attachment A must demonstrate the various types of major trades or work required in comparison to the University project and the scope of work described for the particular project for which this application is submitted.
- A separate Attachment A is to be completed for each project and included behind Tab 2.
- The inclusion of digital photographs to demonstrate the work performed on the project is highly encouraged.

References from owners, architects, or engineers indicating that the Applicant has satisfactorily and timely completed work similar to the project being bid may be requested.

3. **Tab 3 – Managerial Ability/Project Team**

Using the Resume Form (included at the end of this Application), the Applicant shall supply resumes of their proposed team that will be assigned to this project. Prequalification evaluations will be based on the proposed project team submitted in the Prequalification Application. If Applicant makes changes to the proposed team, which are not at the request of the University, then the University reserves the right to review the new proposed team to determine if the Application still meets the prequalification criteria.

- A separate Resume Form shall be completed for each member of the proposed team.
- Additional information may be included for proposed team members, however, the Resume Form must also be completed. The Resume Forms and any additional information are to be included behind Tab 3.

4. **Tab 4 – Financial Ability/Bonding Capacity**

Bonding Capacity - The Applicant shall demonstrate that they have sufficient bonding capacity to perform the work in question, is bonded through a surety or sureties possessing a history of responsibility, financial stability, and resources satisfactory to the University, and is able to post surety bonds which may be required by any contract for which your firm intends to submit a bid. (See [Capital Projects Delivery Procedure Manual](#).)

- Provide a letter from your firm’s bonding company or representative confirming bonding capacity and if they ever had to complete or finance work on your behalf.
- Bonding capacity shall be for, at a minimum, the estimated construction cost specified for this project. The Letter shall be included behind Tab 4.

Financial Ability - The Applicant shall demonstrate, through the materials submitted in their Application, that they possess sufficient financial resources and stability, and is otherwise financially responsible and able to satisfactorily perform and complete the work for which they intend to submit a bid.

- Include two (2) copies of your firm’s audited Financial Statement along with any applicable interim Financial Statement behind Tab 4 with your marked “original” application only.

Financial requirements for Contractor’s submitting for prequalification with the University are as follows:

1. **General Contractor Projects < (Less Than) \$10,000,000:** Most recent Audited Financial Statements are preferred, which must include the Independent Auditors Report; Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Financial Statements.
 - 1.1. These statements cannot be older than 15 months as of the date of the application.
 - 1.2. **In addition, you must supply Interim financial statements including Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Interim Financial Statements, if any.** These statements must be provided for consideration and should be no older than 6 months as of the due date of this Application.
 - 1.3. If Audited statements are not completed by the company, statements reviewed or compiled by an independent public accountant may be accepted for review and evaluation (these should include balance sheets, income statements, cash flow statements and notes to the financial statements, if available—if not available see #3 below).
2. **General Contractor Projects >= (Greater Than or Equal To) \$10,000,000:** Most recent Audited Financial Statements are required, which must include the Independent Auditors Report; Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Financial Statements.
 - 2.1. These statements cannot be older than 15 months as of the due date of this application.

2.2. In addition you must supply Interim financial statements including Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Interim Financial Statements, if any, by an outside CPA. These statements must be provided for consideration and should be no older than 6 months as of the due date of this application.

3. If Notes to the Financial Statements are not available or inadequate disclosure is provided:

When submitting a compilation, if notes are not available, you are required to disclose the following. *(This detailed documentation, including the amount and description, must be included in your Prequalification Application at the time of submission to the University):*

3.1. Litigation that may result in a material adjustment to the financial statements.

3.2. Other liabilities or contingencies not recorded in the financial statement.

3.3. Financial commitments not recorded in the financial statements

3.4. Related parties including:

- Activities between a parent and its subsidiaries.
- Activities between affiliates of the same parent company.
- Joint ventures.
- Relationships between the company and its major owners, management, or their immediate families.
- Company and employee trusts established & managed by the company, such as a profit sharing / pension plan.

3.4.1. You must disclose the following with respect to these related parties:

- Terms and settlements.
- Nature and substance of relationship.
- Description of the transactions, whether or not dollar amounts are involved.
- Dollar figures for the applicable transactions.
- Balances due from or owed to the related parties at year-end, including payment terms.
- Nature of the control relationship between entities under common ownership or management control.

3.5. Where applicable, if company listed on the financial statement provided is not the Applicant, provide statement from the company providing the financial statement that they will be the guarantor of the contract.

3.6. Where applicable, provide a copy of the executed Joint Venture Agreement specific to this project and application.

5. Tab 5 – Quality Assurance/Quality Control/Code Compliance

The Applicant shall demonstrate, to the satisfaction of the University that they have in place a Quality Assurance/Quality Control Plan that possesses the managerial commitment necessary for the successful performance of the work for which they intend to bid.

- A copy of your firm's Quality Assurance/Quality Control Plan ("QA/QC") Plan must be included behind Tab 5.
- The QA/QC Plan must be one that is appropriate for the work/project for which this Application for Prequalification is submitted.
- The document can be included in its entirety in your submission or it can be presented via electronic media (disk or memory stick). If submitted on an electronic device, provide a total of six (6) copies. The electronic device may also include your firm's Health & Safety Plan.

6. Tab 6 – Health and Safety/OSHA

The Applicant shall demonstrate, to the satisfaction of the University that they have in place a Health and Safety Plan that possesses the managerial commitment necessary for the successful performance of the work for which it intends to bid.

- A copy of your firm’s Health and Safety Plan must be included behind Tab 6.
- The Health and Safety Plan must be one that is appropriate for the work/project for which this Application for Prequalification is submitted.
- The document can be included in its entirety in your submission or it can be presented via electronic media (disk or memory stick). If submitted on an electronic device, provide a total of six (6) copies. The electronic device may also include your firm’s Quality Assurance/Quality Control Plan.
- For any “yes” response to the questions in the Applicant’s Prequalification Questionnaire, Section D, Health and Safety/OSHA, please attach details/additional information behind Tab 6.

7. Tab 7 – Litigation/Claims/Proceedings

- For any “yes” response to the questions in the Applicant’s Prequalification Questionnaire, Section E, Litigation/Claims/Proceedings, please attach details/additional information behind Tab 7. Such details, if applicable, shall include but not be limited to, the offense, along with the location of the court or tribunal administering the matter, and the docket or proceeding number of the matter. Include the name of the project, the project location and the court or arbitration number and location. Describe the circumstances and disposition of each case.

Note: Generalized responses such as “litigation arising in the ordinary course of doing business” are not acceptable.

8. Tab 8 – Labor and Employment

- For any “yes” response to the questions in the Applicant’s Prequalification Questionnaire, Section F, Labor and Employment, please attach details behind Tab 8. Such details, if applicable, shall include but not be limited to, the circumstances of each violation, including but not limited to, the date and nature of the violation, the project on which the violation occurred, the source, if known, of any complaint giving rise to any Department of Labor investigation, the results of any such investigation, the penalty imposed or other action taken by the Department of Labor, any remedial action which was taken and any other resolution of any such complaint or violation.
- When applicable, provide a written statement of the policy and procedures you would implement on this project in an effort to insure that you and your subcontractors would remain in compliance with the statutory requirements for wage rates and payment of wages.

9. Tab 9 – Integrity

- For any “yes” response to the questions in the Applicant’s Prequalification Questionnaire, Section G, Integrity, please attach details/additional information behind Tab 9.

10. Tab 10 – Conflict of Interest

- For any “yes” response to the questions in the Applicant’s Prequalification Questionnaire, Section H, Conflict of Interest, please attach details/additional information behind Tab 10.

Note: All such disclosures require acceptance/approval action on the part of the University, which shall determine whether an impermissible conflict exists.

The University also reserves the right to find any Applicant to be non-responsible or nonqualified with respect to a specific project should the University determine that a conflict of interest exists, notwithstanding the fact that the Applicant may have been selected for previous projects at the University.

11. Tab 11 – Miscellaneous Documents

- Please provide a copy of the following documents behind Tab 11:
 - A copy of your firm’s current Prequalification Certificate issued by the State of Connecticut Department of Administration Services (DAS) in the categories required for this project. Note: the Certificate must be current as of the due date of the Application.
 - Copies of your firm’s current licenses, registrations, and/or certifications from the State of Connecticut. Include current licenses for any trades(s) your firm intends to self-perform.
 - If the project which is the subject of this Prequalification Application is a “Threshold Building,” provide a copy of your firm’s current license, registration, and/or certification from the Department of Consumer Protection for “Threshold Building.”
 - Pursuant to C.G.S. §29-276b, the term “threshold limit” shall apply to any structure or addition thereto (1) having four stories, (2) sixty feet in height, (3) with an clear span of one hundred fifty feet in width, (4) containing one hundred fifty thousand square feet of total gross floor area, or (5) with an occupancy of one thousand persons.
 - A Status Letter from the Connecticut Department of Revenue Services that your firm is currently in good standing as a corporation. This letter must be dated within the past three (3) months from the due date of your Prequalification Application. A Letter can be requested online and is generally issued immediately by following the instructions on [CT DRS Status Letter](#).
 - The Applicant shall read The University Vendor Code of Conduct, understand, and attest to operating and maintaining business commitments to this Vendor Code of Conduct. A copy of the Vendor Code of Conduct is available at <http://csr.uconn.edu/>. The Applicant shall include the signed Acknowledgement Form.
 - The Verification of Information Form executed by an Officer of your firm.

Forms Start on the Next Page

COVER SHEET

___ ORIGINAL ___ Copy 1 ___ Copy 2 ___ Copy 3 ___ Copy 4 ___ Copy 5

**RESPONSE TO PREQUALIFICATION APPLICATION
FOR
HORSEBARN HILL SEWAGE PUMP STATION UPGRADE
PROJECT NUMBER: FO500016**

**Due Date: No Later than 2:00 p.m. on
January 3, 2019**

Firm Name: _____

Firm Address: _____

Principal Office

Branch Office

If Firm Address is branch office, list the principal office address:

Name of Primary Contact: _____

Phone Number for Primary Contact: _____

Email for Primary Contact: _____

Indicate if your firm is a:

Corporation

Partnership

Individual

Joint Venture

Other

Indicate if your firm is certified as one of the following:

SBE

MBE

WBE

DBE

N/A

APPLICANT PREQUALIFICATION QUESTIONNAIRE

Include this completed questionnaire behind Tab 1 of your Prequalification package.

A. ORGANIZATION

1. Number of years your firm has been in business: _____
2. Number of years your firm has been in business under its present business name: _____
3. Other or former names that your firm has operated under: _____
4. List any parent company (if any), and all subsidiaries and/or affiliates associated with your firm: _____

5. If your firm is a corporation, answer the following:
Date of incorporation: _____
State of incorporation: _____
President's name: _____
Vice-president's name(s): _____
Secretary's name: _____
Treasurer's name: _____

If your firm is a partnership, answer the following:

- Date of organization: _____
Type of partnership (if applicable): _____
Name(s) of general partner(s): _____

If your firm is individually owned, answer the following:

- Date of organization: _____
Name of owner: _____

If your firm is other than those listed above, indicate the type of firm and name the principals:

6. If applicable, on a separate sheet of paper provide a statement detailing any financial interest of 25% or more that your firm has in any other construction business. *(Provide such information behind Tab 10).*
7. If applicable, on a separate sheet of paper, provide a statement detailing any financial interest of 25% or more that any officer, principal or member of management have in your firm. *(Provide such information behind Tab 10).*
8. If applicable, on a separate sheet of paper, provide a statement detailing any financial interest of 25% or more that any officer, principal or member of management has in any other construction business. *(Provide such information behind Tab 10).*

B. LICENSING

Provide additional information or documents required as a result of your firm’s response to any of the questions in the “Licensing” section behind Tab 11.

Note: It is mandatory that your firm be legally qualified to do business in Connecticut. If the applicant is a joint venture, all joint venture partners must be qualified to do business in the State of Connecticut.

1. Does your firm have a Certificate of Existence or Authorization to do business in Connecticut from the Secretary of the State? ____yes ____no *(if yes, provide a copy of your firm’s current Certificate of Existence or Authorization from the Secretary of State behind Tab 11).*

2. As a prerequisite to prequalify with the University, your firm must be DAS prequalified under the specified classification(s) as of the due date of your Application. Is your firm prequalified? ____yes ____no *(if yes, provide a copy of your firm’s current Prequalification Certificate issued by DAS for the required classifications behind Tab 11).*

3. If your firm intends to perform the work of any trade(s) with its forces, and a license is required by the State of Connecticut, does your firm hold a current valid license, registration or certification to perform such work? ____yes ____no *(if yes, provide copies of your firm’s current licenses, registrations, and/or certifications from the State of Connecticut behind Tab 11).*

4. All contractors and major subcontractors must possess, at the time the Application is submitted, a valid license, registration or certification issued by the Department of Consumer Protection in accordance with Connecticut General Statutes Sec. 20-341gg if a project(s) is for a “Threshold Building” as defined in Connecticut General Statutes Sec. 29-276b. (Pursuant to C.G.S. §29-276b, the term “threshold limit” shall apply to any structure or addition thereto (1) having four stories, (2) sixty feet in height, (3) with a clear span of one hundred fifty feet in width, (4) containing one hundred fifty thousand square feet of total gross floor area, or (5) with an occupancy of one thousand persons. If a joint venture, all joint venture partners shall be licensed, registered or certified).

If the project which is the subject of this Prequalification Application is a “Threshold Building,” does your firm possess the required license, registration or certification? ____yes ____no *(if yes, provide a copy of your firm’s current license, registration, and/or certification from the Department of Consumer Protection for “Threshold Building” behind Tab 11).*

5. List any other jurisdictions and trade categories in which your firm is legally qualified to do business. Include state/jurisdiction, registration or license numbers, and expiration dates of each registration/license:

C. EXPERIENCE

1. List the categories of work that your firm normally performs with its own forces:

2. What (average) percentage of work does your firm commonly perform with their own forces as opposed to work subcontracted separately during the past 5 years? _____% of work performed with own forces.

3. List all labor organizations with which your firm has agreements; a negative response will not be reason for disqualification.

D. HEALTH and SAFETY/OSHA

Provide additional information or documents required as a result of your firm's response to any of the questions in the "Health and Safety/OSHA" section behind Tab 6.

1. Has your firm, your parent company, your subsidiaries or your affiliates, any officer or partner thereof, or any member of management thereof ever:

1.1. Been cited for three or more willful or serious violations of any occupational safety and health act or of any standard, order or regulation promulgated pursuant to such act during the three (3) year period preceding the date of this Application, provided such violations were cited in accordance with the provisions of any state occupational safety and health act or the Occupational Safety and Health Act of 1970 and which were not abated within the time fixed by the citation and which citation has not been set aside following appeal to the appropriate agency or court having jurisdiction? _____yes _____no (if yes, provide details/additional information of the violations behind Tab 6).

1.2. Received one or more criminal convictions related to the injury or death of any employee in the three (3) year period preceding the date of this Application? _____yes _____no (if yes, provide details/additional information of the violations behind Tab 6).

1.3. Received any OSHA citations within the past 5 years under the present business name or any past business name, including both pending and closed/settled matters? _____yes _____no (if yes, provide details/additional information of citations behind Tab 6).

2. What is your firm's National Council on Compensation Insurance (NCCI) Experience Modification Rating (EMR)? _____ (if the EMR is in excess of 1.00, provide a letter detailing the reasons why your rating is in excess and state what managerial commitment your firm is taking to reduce its rating. Include this information behind Tab 6).

E. LITIGATION/CLAIMS/PROCEEDINGS

Provide additional information or documents required as a result of your firm's response to any of the questions in the "Health and Safety/OSHA" section behind Tab 7.

1. Has your firm, your parent company, your subsidiaries or your affiliates, any officer or partner thereof, or any member of management thereof ever:
 - 1.1. Failed to complete any work awarded to it? ____yes ____no *(if yes, provide details/additional information behind Tab 7).*
 - 1.2. Within the past five (5) years has any officer or principal of your firm ever been an officer or principal of another organization when it failed to complete a construction contract? ____ yes ____ no *(if yes, provide details/additional information behind Tab 7).*
 - 1.3. Within the past five (5) years ever been barred, suspended, disqualified or otherwise precluded from bidding or offering a proposal on contracts by any municipality or any agency of the State of Connecticut, other states, or the Federal Government? ____yes ____no *(if yes, include an explanation of any previous debarment and copies of any notice of reinstatement behind Tab 7).*
 - 1.4. Within the past five (5) years been defaulted or terminated, for failure to timely or properly perform a contract? ____yes ____no *(if yes, provide details/additional information behind Tab 7).*
 - 1.5. Within the past five (5) years had any liquidated damages or other contractual penalties for failure to timely or properly perform a contract assessed against your firm? ____yes ____no *(if yes, provide list of liquidated damages or other contractual penalties assessed against your firm behind Tab 7).*
 - 1.6. Within the past five (5) years been declared to be a non-responsible bidder or proposer on any public work project? ____yes ____no *(if yes, provide details/additional information behind Tab 7).*
 - 1.7. Engaged in any bid or proposal protests within the past five (5) years? ____ yes ____ no *(if yes, provide the results of each instance and include date, owner, project and court or administrative docket number and location as applicable behind Tab 7).*
 - 1.8. Had a conviction or entry of a plea of guilty or nolo contendere for commission of a criminal offense as an incident to obtaining or attempting to obtain a public or private contract or subcontract or in the performance of such contract or subcontract? ____yes ____no *(if yes, provide details/additional information behind Tab 7).*
 - 1.9. Had a conviction or entry of a plea of guilty or nolo contendere under state or federal law for embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or any other offense indicating a lack of business integrity or business honesty which affects responsibility as a contractor? ____yes ____no *(if yes, provide details/additional information behind Tab 7).*

- 1.10. Had a conviction or entry of a plea of guilty or nolo contendere under state or federal antitrust, collusion or conspiracy statutes arising out of the submission of bids or proposals? _____yes _____no *(if yes, provide details/additional information behind Tab 7).*
- 1.11. Been cited for noncompliance with contract provisions on a public project, of a character regarded by the awarding authority to be of such gravity as to indicate a lack of responsibility to perform as a state contractor, including deliberate failure, without good cause, to perform in accordance with specifications or time limits provided in a contract? _____yes _____no *(if yes, provide details/additional information behind Tab 7).*
- 1.12. On a public project or contract, been cited for any other cause the awarding authority determined to be so serious or compelling as to affect responsibility as a state contractor, including disqualification by another governmental entity, having caused financial loss to the state or having caused a serious delay or inability of state officials to carry out their duties on a past contract or contracts? _____yes _____no *(if yes, provide details/additional information behind Tab 7).*
- 1.13. Are there any civil or criminal judgments, claims, litigation or arbitration proceedings or suits pending or outstanding against your firm or its officers? _____yes _____no *(if yes, provide details/additional information behind Tab 7).*
- 1.14. In the past five (5) years, have there been any civil or criminal judgments, claims, litigation or arbitration proceedings or suits initiated by your firm or against you involving a public Owner? _____yes _____no *(if yes, provide details/additional information behind Tab 7).*
2. Provide a list of all litigation or arbitration proceedings including out of court settlements initiated by your firm or against your firm within the past five (5) years including both pending and closed/settled cases not previously included as part of your firm’s response to the above questions listed in Section E. *(Provide details/additional information behind Tab 7).*

F. LABOR and EMPLOYMENT

Provide additional information or documents required as a result of your firm’s response to any of the questions in the “Labor and Employment” section behind Tab 8.

1. Has your firm, your parent company, your subsidiaries or your affiliates, any officer or partner thereof, or any member of management thereof ever:
- 1.1. Appeared on any list published by the Connecticut State Labor Department of persons or firms that have been found by the National Labor Relations Board and by a final decision rendered by a Federal Court to have been in violation of the National Labor Relations Act, 29USC 151 et. seq. or to have been found in contempt of court by a final decision of a Federal Court for failure to correct a violation of the National Labor Relations Act on three or more occasions involving different violations? _____yes _____no *(if yes, provide details/additional information behind Tab 8).*

- 1.2. Had any instances within the past five (5) years in which your firm or any entity in which your firm has an interest, appeared on a list published by the State of Connecticut Labor Department of persons or firms who the Labor Department has found your firm to have disregarded or violated your firm's obligations to employees and subcontractors on public works projects under Connecticut General Statutes 31-53 and 31-76c (i.e. payment of prevailing wages and overtime payments) or in which you have been barred from Federal government contracts in accordance with the provisions of the Davis Beacon Act, 40 U.S. C. 276a-2? ____ yes ____ no *(If yes, provide details/additional information behind Tab 8).*
- 1.3. Had an instances other than those previously described in response to question #2, in which any complaint has been made to, or any investigation or inquiry has been conducted by, the State of Connecticut Department of Labor regarding any alleged non-compliance by your firm or by any subcontractors on your firm's previous projects, of any provision of Part III of Chapter 557 (Connecticut General Statutes Sections 31-52 through 31-57e, prevailing wage and other requirements) and Chapter 558 (Connecticut General Statutes Sections 31-58 through 31-761, minimum wage, overtime and other requirements) during the five (5) years preceding this Application. ____ yes ____ no *(If yes, provide details/additional information behind Tab 8).*
- 1.4. Been cited or penalized by any government agency for failure to comply with any affirmative action, non-discrimination, or other human rights requirements applicable to any work performed by your firm. ____ yes ____ no *(if yes, provide date(s), details, disposition and docket number(s) for each such instance behind Tab 8).*
- 1.5. Been the subject of any order in effect which has been issued by the Connecticut Commission of Human Rights and Opportunities, pursuant to Connecticut General Statute's Section 46a-56 or any regulation, prohibiting any contracting agency of the State of Connecticut from entering into contracts with the Applicant. ____ yes ____ no *(if yes, provide details/additional information behind Tab 8).*
- 1.6. Been named on a current list compiled by the Connecticut Commission of Human Rights and Opportunities whom it has found to be in non-compliance with anti-discrimination or contract compliance statutes, or been the subject of any unabated or unexpired Notice of Non-Compliance issued by the Commissioner, pursuant to Connecticut General Statute's Section 46a-56? ____yes ____no *(if yes, provide details/additional information behind Tab 8).*
- 1.7. Been found by the Connecticut Department of Public Works, or another State Agency to be in violation of the subcontractor listing requirements or other provisions of Connecticut General Statutes Section 4b-95? ____ yes ____ no *(if yes, provide the nature, date and circumstance of any such violation behind Tab 8).*
- 1.8. Been cited for or been the subject of a civil or criminal court proceeding alleging that your firm has violated the provisions of Connecticut General Statutes Sections 31-52 or 31-52a regarding providing preference to Connecticut citizens or residents in the construction of public buildings or works? ____ yes ____ no *(if yes, provide details concerning the date, circumstances and disposition of any such citation or court proceeding behind Tab 8).*

- 1.9. Been issued, by the Connecticut Commission of Human Rights and Opportunities, pursuant to Connecticut General Statute's Section 46a-56 or any regulation, or a comparable agency of any other state pursuant to a statute or regulation of that state, any order as a result of non-compliance with statutory affirmative action or non-discrimination requirements/statutes. _____ yes _____ no (if yes, provide details/additional information behind Tab 8 including all currently unabated or unexpired Notices of Non-Compliance issued by the CHRO or any similar commission, agency or department of another state. Provide a detailed description of the circumstances, status and disposition of each instance identified in response to the above).

G. INTEGRITY

Provide additional information or documents required as a result of your firm's response to any of the questions in the "Integrity" section behind Tab 9.

1. During the past five (5) years, does the Applicant have a satisfactory record of compliance with Connecticut General Statute's Sections 1-79 through 1-101, pertaining to Codes of Ethics for Public Officials and Lobbyists, including but not limited to Section 1-84, listing prohibited activities including the giving of "gifts", as defined therein, to public officials and employees? _____yes _____no (if no, provide details/additional information behind Tab 9).
2. Have there been any instances during the past five (5) years in which any complaint has been made to, or any investigation or inquiry has been conducted by the State of Connecticut Ethics Commission, or by any other State of Connecticut Agency or Department, regarding any alleged non-compliance by your firm, or anyone employed by your firm or acting in your firm's behalf, with Connecticut General Statutes Sections 1-79 through 1-101, pertaining to Codes of Ethics for Public Officials and Lobbyists, and particularly Section 1-84, listing prohibited activities including the giving of "gifts" as defined therein to public officials and employees? _____yes _____no (if yes, behind Tab 9 describe in detail each alleged violation and the circumstances pertaining thereto, including but not limited to the date or dates of such alleged violation, the factual background, nature and specifics of the alleged violation, the source, if known, of any complaint giving rise to the investigation, the penalty, if any, imposed or other action taken by the investigating agency or any other agency to which the matter was referred, any remedial action which has been taken and any other resolution of any such complaint or alleged violation).

H. CONFLICT OF INTEREST

Provide additional information or documents required as a result of your firm's response to any of the questions in the "Conflict of Interest" section behind Tab 10.

1. Does the Applicant have any relationship and/or potential conflicts of interest with Procurement Services, University Planning, Design & Construction, Facilities Operations and Building Services, Capital Projects and Facilities Procurement, or any other University organization or department or any employee of said departments; or any Architect, Consultant, Engineer or Designer of the proposed project? _____yes _____no (If yes, provide details/additional information of the relationship behind Tab 10 for the purpose of determining whether a conflict of interest exists).

ATTACHMENT A
PROJECT RELEVANT EXPERIENCE FOR THIS APPLICATION
PROJECT INFORMATION SHEET

(Complete a separate sheet for each Project. Submit completed forms behind Tab 2.)
(No substitution of format is permitted.)

1. Project Name:

2. Project Location:

3. Project Owner:

4. Project Owner Contact name:

5. Project Owner Contact Telephone Number:

6. Project Architect (if applicable):

7. Project Engineer (if applicable):

8. Contracted Role: CMr GC Subcontractor Trade Contractor

9. Percentage of Self Performed Work:

10. Final Construction Cost:

11. Notice to Proceed Start Date:

12. Substantial Completion Date:

13. Project Duration:

14. Describe the project and its relevance to the University project for which this Application is submitted, including the items listed in the Scope of Work section. Photos and additional information can be included.

15. List the key personnel in your firm who had direct responsibility for the day-to-day management for this project (if applicable):

Project Manager:

Project Engineer:

Assistant Engineer/Project Manager:

Superintendent:

Safety Engineer:

Project Executive:

Other (specify):

Other (specify):

Other (specify):

PROPOSED TEAM AND PAST PROJECT RELEVANT EXPERIENCE

(Submit completed form behind Tab 2.)
 (No substitution of format is permitted.)

NAME OF KEY PERSONNEL <i>(List the Key Personnel your company is proposing to use on the prequalifying project. Provide their resumes on the pages after this table.)</i>	ROLE IN NEW PROJECT <i>(List the role of the Proposed Key Personnel for the prequalifying project.)</i>	PROJECT KEY NUMBER <i>(Fill in the Past Relevant Experience Projects Key section below before completing the table. Place an "X" under Project Key Number for each Personnel member that participated in the same or similar role on the Past Relevant Experience Projects.)</i>					
		1	2	3	4	5	6

PAST RELEVANT EXPERIENCE PROJECTS KEY

NO.	TITLE OF PROJECT	NO.	TITLE OF PROJECT
1		4	
2		5	
3		6	

RESUME OF PROPOSED KEY PERSONNEL PROPOSED FOR THIS PROJECT

(Complete one resume for each key person. Submit completed form behind Tab 3.)

(No substitution of format is permitted.)

Name of person:	
Staff position for this project:	
Total years of experience:	
Years with current firm:	
Education (Degree and Specialization):	
Current Professional Registration(s) (State and Discipline):	
Other Professional Qualifications (Publications, Organizations, Training, Awards, etc.):	

RELEVANT PROJECTS

(Complete this section for each key person)

1.	PROJECT NAME, LOCATION (City and State) AND PROJECT OWNER	CONTRACT DURATION	
		DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
		FINAL CONSTRUCTION COST:	
	BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE	Check here if project performed with current firm	
2.	PROJECT NAME, LOCATION (City and State) AND PROJECT OWNER	CONTRACT DURATION	
		DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
		FINAL CONSTRUCTION COST:	
	BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE	Check here if project performed with current firm	

RESUMES OF PROPOSED KEY PERSONNEL PROPOSED FOR THIS PROJECT
(Continued)

RELEVANT PROJECTS

3.	PROJECT NAME, LOCATION (<i>City and State</i>) AND PROJECT OWNER	CONTRACT DURATION	
		DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
		FINAL CONSTRUCTION COST:	
	BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE	Check here if project performed with current firm	
4.	PROJECT NAME, LOCATION (<i>City and State</i>) AND PROJECT OWNER	CONTRACT DURATION	
		DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
		FINAL CONSTRUCTION COST:	
	BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE	Check here if project performed with current firm	
5.	PROJECT NAME, LOCATION (<i>City and State</i>) AND PROJECT OWNER	CONTRACT DURATION	
		DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
		FINAL CONSTRUCTION COST:	
	BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE	Check here if project performed with current firm	
6.	PROJECT NAME, LOCATION (<i>City and State</i>) AND PROJECT OWNER	CONTRACT DURATION	
		DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
		FINAL CONSTRUCTION COST:	
	BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE	Check here if project performed with current firm	

VENDOR CODE OF CONDUCT ACKNOWLEDGEMENT FORM

Acknowledgement:

In furtherance of its longstanding commitment to fundamental human rights, to the dignity of all people, and to the environment, the University has developed the Code of Conduct for University of Connecticut Vendors (the "Vendor Code of Conduct"). Contractor hereby acknowledges receipt of the Vendor Code of Conduct. A copy of the Vendor Code of Conduct is available at <http://csr.uconn.edu>. The Vendor Code of Conduct is hereby incorporated herein by reference to the extent Contractor is required to comply with the same pursuant to this section. Contractor agrees to comply with the "Principal Expectations" described in the Vendor Code of Conduct. Contractor further agrees to comply with the "Preferential Standards" described in the Vendor Code of Conduct, to the extent a commitment to so comply, or a representation of compliance, was provided by Contractor to the University in writing. Any such commitment or representation is hereby incorporated herein by reference.

After reviewing the Vendor Code of Conduct, per the signature of the authorized Company Official, all Expectations, Standards, and Procedures listed in the Vendor Code of Conduct will be in compliance in regards to this Prequalification Application and any contract that may result thereof.

Name of Firm

Signature of Authorized Company Official

Print Name of Authorized Company Official

Title of Authorized Company Official

Date

VERIFICATION OF INFORMATION FORM

I do hereby certify and affirm that all of the information contained in this Prequalification Statement/Application, including all attachments and responses hereto, have been examined by me and to the best of my knowledge are true and accurate. We recognize that the University will rely on the accuracy of the information and our responses in this Prequalification package to determine whether our firm meets the prequalification criteria.

Name of Firm: _____

Completed by (Must be an Officer of the Firm):

Print Name: _____	Print Title: _____
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Is being duly sworn, deposes and says that the foregoing information provided in this Prequalification Application is a true and accurate as of the date thereof. He/She further declares that the answers to the questions contained in the "Applicant Prequalification Questionnaire" and the statements made therein are true and correct.

Signature: _____

Subscribed and sworn before me this _____ Day of _____, 20_____

Notary Public: _____

My Commission Expires: _____