



# Prequalification Application

#FCL-07-00091

Data Center Infrastructure Improvements  
Project Number: 09-603.01

University of Connecticut Health Center  
Office of Facility Contracts & Leases MC4039  
263 Farmington Avenue  
Farmington, CT 06032



# University of Connecticut Health Center

**INVITATION TO PRE-QUALIFY TO BID**  
**PRE-QUALIFICATION APPLICATION NO. FCL-07-00091**  
**DATA CENTER INFRASTRUCTURE IMPROVEMENTS**  
**PROJECT NUMBER: #09-603.01**  
**UNIVERSITY OF CONNECTICUT HEALTH CENTER**  
**263 FARMINGTON AVE**  
**FARMINGTON, CT 06032**

*Completed Applications shall be accepted in electronic format via email only as stated in 1.03.2.2 of the instructions document, until 8:00 PM, on October 29, 2009. Applications received after the time and date specified shall be rejected. **Pre-Qualification Applications** are available on-line at*

*<http://purchasing.uchc.edu/huskybid/index.html> (Note: Vendor registration required) and  
[http://www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp)*

Qualifications shall be submitted on forms and in the manner specified. Applicants shall provide a copy of their current approved pre-qualified status by the State of Connecticut Department of Administrative Services (DAS), with their Application as a pre-qualified General Contractor. Applicants not so pre-qualified by DAS may access program information and the online application directly from: [http://www.das.state.ct.us/Purchase/New\\_purchHome/busopp\\_template.asp?F\\_ID=16](http://www.das.state.ct.us/Purchase/New_purchHome/busopp_template.asp?F_ID=16) . Applicants who have not yet been pre-qualified by DAS, but are conditionally pre-qualified by University of Connecticut Health Center (UCHC), shall have up to 30 days from the date on the notification letter from UCHC, to become pre-qualified by DAS, or forfeit their right to offer a Proposal.

Only Contractors pre-qualified by **both** the Department of Administrative Services (DAS), for the Classification of **GENERAL BUILDING CONSTRUCTION (Group C)** Classification Group, and UCHC, for this specific project, will be invited to submit Proposals for this project, subject to the limitation noted in the preceding paragraph.

## **Project Description:**

The Project consists of renovations of the Information Technologies Data Center located on the second floor of the D building at the University of Connecticut Health Center, in Farmington, Connecticut. Total square footage of the Data Center area is approximately 6,620 square feet and will require multiple phases of construction.

The renovation work includes, but is not limited to: the Data Center, a new UPS room, a new Help Desk area, a new Work Room, redundant electrical & cooling, enhancement of the grounding grid and Computing Communications Infrastructure, roof penetrations, removing exterior windows and adding interior windows and new finishes.

The Contractor shall provide provisions for environmental controls within the construction area for the protection of Data Center equipment areas.

## **Contractor Qualifications:**

The contractor must have experience acting as a general contractor on renovation projects within occupied spaces that required construction controls to prevent the spread of dust and protect the building occupants, of a short duration for the dollar volume (ie 4 month & 2 million) and involving the



## University of Connecticut Health Center

replacement of major mechanical and electrical systems, within a data center, healthcare or critical equipment setting. Demonstrating knowledge/implementation of Interim Life Safety Measures (ILSM) and Construction Area Environmental Controls for the protection of dust sensitive computer equipment areas. The contractor's experience should demonstrate the ability to complete projects with a value greater than \$1,200,000.

Past completed projects should demonstrate the talents of its workforce or long term sub contractual relationships with other trades as required. The contractor should demonstrate the ability to work on multiple phase projects. The contractor's work should demonstrate high levels of finish quality and solid, secure installations that are esthetically pleasing. It is also important that the Contractor have harmonious working relationships with its subcontractors and a comprehensive plan of assuring the proper payment of State of Connecticut Prevailing Wage Rates and full compliance with all applicable wage related statutes and regulations.

The Contractor shall have also demonstrated the ability to work safely and in harmonious, non-adversarial relationships with previous owners and their agents to achieve successful completion of their projects.

The ability to staff the project with experienced personnel will be required. The contractor will be required to demonstrate adequate levels of staffing required to oversee the project and provide a Job Superintendent who will be dedicated to this project.

This project is anticipated to last 8 months at an anticipated cost of approximately **\$1,200,000**; accordingly, the minimum acceptable bonding capacity on a single project as authorized by the contractor's Bonding Company shall be no less than \$1,300,000.

**UCHC has modified the AIA 305 Pre-Qualification Document that is required to be submitted with your application. A copy of this modified AIA 305, including an Application Submission Checklist is included in the Pre-Qualification Package for this project and will be furnished to your firm upon request as noted herein.**

## **INTRODUCTION TO THE APPLICATION**

UCHC has successfully applied the concept of Pre-Qualification for a number of projects valued between \$500,000.00 to \$70,000,000.00. Certain factors warrant special attention.

### **1. Audited Financial Statement**

Submit an Audited Financial Statement, which must include the Independent Auditor's Report; Balance Sheets; Incomes Statements; Cash Flow Statements; and Notes to the Financial Statement. These statements cannot be older than 15 months as of the date of the application. In addition, if your financial statement is older than 15 months, you must supply an Interim financial statement including Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Interim Financial Statement, if any. These statements must be provided for consideration and should be no older than 6 months as of the date of application. 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 your Firm's notes to the Financial Statement are not available, you are required to disclose any litigation that may result in a material adjustment to the financial statements. The detailed documentation must be included in your prequalification Application at time of submission to UCHC Purchasing and Supply Chain Services Department.

### **2. Project Team Experience**

The level of experience and qualifications of the Applicants project team is a significant evaluation component of this Application (Re. 1.04). Particular attention must be paid to those questions regarding the individuals proposed to work on the project. UCHC recognizes that a firm's allocation and commitment of personnel may change prior to a project being awarded. Therefore, if, after pre-qualification, the firm determines that it is necessary to propose a substitute for any individual named, such a request will be considered only upon a demonstration that the proposed team member has at least equivalent experience and qualifications of the individual sought to be replaced, and that the Applicant otherwise meets the requirements of section 1.04, to the satisfaction of UCHC.

### **3. Relevant Project Experience**

Three attachments (A, B, C) are provided to document your experience to us. Attachment A is critical as it directly relates your experience with the particular project for which we are pre-qualifying. Attachment B provides us with an overview of your current work commitments. Attachment C provides us with information as to your overall project capability and experience.

Attachments A, B, and C descriptions follow:

- a. Attachment A is for the purpose of describing all projects which you believe best show your capability to do the project for which this Application is being submitted. Please do not substitute for this format, but do feel free to make as many blank copies as you need for this Attachment in order to supply the necessary information for all projects you wish UCHC to consider.
- b. Attachment B is for the purpose of describing all current projects and any instances in which you are the apparent low bidder or for which you anticipate being awarded the project. Please feel free to substitute your own format; just be sure to label each page and note that it is Attachment B.

- c. Attachment C is for the purpose of describing all your projects over the past five years. Please feel free to substitute your own format; just be sure to label each page and note that it is Attachment C.
- 4. Information relative contractor's bonding status requires written authentication by the contractor's bonding agent.
- 5. Failure to answer questions or leaving spaces blank may result in UCHC's refusal to pre-qualify the Applicant.
- 6. Late responses will be rejected.
- 7. Each Pre-Qualification procedure is based the specific requirements of an individual project. Please carefully review and respond to the UCHC modified AIA A-305 questions as stated in this updated Application.

We look forward to receiving your completed Application.

Robert Murphy, Director  
Office of Facility Contracts & Leases

## NOTICE TO AND INSTRUCTIONS FOR CONTRACTOR'S APPLICATION AND STATEMENT OF QUALIFICATION TO BID

### 1. General

#### 1.01 PRE-QUALIFICATION TO BID:

Prospective bidders who wish to receive consideration for pre-qualification to bid the work of the projects, shall submit to UCHC a "Contractor's Application and Statement of Qualifications to Bid" which shall be used to evaluate the qualifications of Applicant Contractors. Only pre-qualified Contractors shall be permitted to bid on specific projects. UCHC may also pre-qualify trade contractors, subcontractors, or suppliers for certain projects. In such a case, the prospective trade contractor, subcontractor or supplier shall also be required to submit an "Application and Statement of Qualification to Bid" for evaluation.

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

The Applicant must provide to the satisfaction of UCHC responses to the following questions and questionnaires contained within these documents: the AIA305 Contractor's Qualification Statement, AIA305 AutoFill Aid, General Contractor's Application and Statement of Qualifications to Bid Form and Attachments A, B and C

#### 1.02 PRE-QUALIFICATION DOCUMENTS:

Pre-qualification Documents include the Invitation to Pre-Qualify to Bid (the "Invitation"), the Notice and Instructions for the Contractor's Application and Statement of Qualification to Bid (the "Instructions"), and the Contractor's Application and Statement of Qualifications Form and accompanying documents (the "Application").

#### 1.03 PRE-QUALIFICATION PROCEDURES:

Form of Application: The Application shall be submitted on forms identical to the "Contractor's Application and Statement of Qualifications to Bid" forms included in the Pre-qualification Documents.

The AIA305 Contractor's Qualification Statement Section 6.0 shall be completed, signed and submitted by a duly authorized representative of the contractor. Use the **AIA305 AutoFill Aid** (MS Excel file) to provide electronic answers.

Electronic Submission of Applications:

- **Submit one (1) indexed and signed original in PDF format**
- **Submit one (1) unprotected and completed AIA305 AutoFill Aid in MS Excel format (file supplied) to UCHC.** Information will be copied into a comparison model.

Submit electronic responses only to email address: [misterka@uchc.edu](mailto:misterka@uchc.edu). Completed Applications will be accepted until 8:00 PM, on October 29, 2009. Applications received after the time and date specified shall be rejected.

**Please format and compile your response using the provided index. Please print index and collate and attach the required information to the appropriate index title. See below (index supplied in electronic format):**

1. Contractor's Application and Statement of Qualifications to Bid Form
2. AIA 305
3. Attachment A
4. Attachment B
5. Attachment C
6. DAS Prequalification Certificates (AIA 1.9)
7. Litigation (AIA 3.2)
8. Resumes (AIA 3.6, 4.2)
9. Quality Assurance/Quality Control/Code Compliance (AIA 3.7)
10. References (AIA 4.1.1)
11. CT Secretary of State Letter (AIA 4.1.2)
12. CT License, Registration or Certificate (AIA 4.1.3)
13. Bonding Company Letter (AIA 4.3.6.2)
14. Financial Statement (AIA 5.1.1)
15. NCCI (AIA 5.5)
16. Liability Certificates (AIA 5.6 & 5.7)
17. Other

Applications received after the time specified in the Invitation shall not receive consideration.

UCHC of Connecticut 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 UCHC.
- b. to rescind any prior pre-qualification; and to find any Applicant or Contractor to be non-responsible or non-qualified with respect to a specific project, notwithstanding the fact that it may have previously been pre-qualified pursuant to the pre-qualification process;
- c. 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 pre-qualification documents.

The Applicant must completely, fully and fairly respond to all questions and requests for information contained in the Application. UCHC reserves the right to request the applicant to provide, or to obtain from any source it deems appropriate, additional information to obtain a fuller explanation of any response. If the Applicant believes it is necessary or appropriate to explain, in the Application, the circumstances surrounding any response, it shall have the right to do so, even if the question responded to does not specifically call for 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 UCHC in the pre-qualification process, to the satisfaction of UCHC, shall constitute grounds for a refusal to pre-qualify the Applicant and/or grounds for the revocation of any pre-qualification.

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 pre-qualify the Applicant and/or grounds for the revocation of any pre-qualification.

In this application whenever the words “you”, “your firm”, “your organization”, etc. appear, if the entity is a joint venture, the responses to any such question shall include responses on behalf of each joint venture partner. Each such response shall identify, by initials or otherwise, the joint venture partner to whom it pertains.

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 Applications, as well as any information obtained in follow up to same from references, persons or other sources identified in the Application, or otherwise obtained by or known to UCHC.

Notification: All prospective Bidders who submit Applications will be notified of their standings as soon as practical after determination by phone, fax, or letter.

Reconsideration: In the event that an Applicant is not found to be pre-qualified, it may, within five (5) calendar days of the date of oral, faxed or written notice, of the determination, request in writing (which must be received by UCHC within those five (5) calendar days) that UCHC reconsider its Application, and it may submit with such request any additional evidence bearing on its qualifications. No request and supporting data received after that date shall be given consideration. UCHC shall again consider the matter and may either adhere to or modify its previous decision. UCHC shall give prompt notice to the Applicant of the action taken.

Authorization: The submission of a completed Application by an Applicant shall constitute an express authorization by the Applicant to UCHC 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 pre-qualification documents from banks or other financial institutions, sureties, dealers in materials, equipment or supplies, any person identified in the Application as references, or any other persons having business transactions with the Applicant, and shall expressly authorize all such financial institutions or other persons or entities to furnish any such information requested from them by UCHC. The Applicant, by submission of a completed Application, also acknowledges that any information provided to or obtained by UCHC in the Pre-Qualification 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 by Question 5.1 (and its sub-parts), is submitted in confidence, by specifically and clearly marking and identifying said documentation as CONFIDENTIAL, UCHC will endeavor to keep said data confidential to the extent permitted by law.

#### 1.04 OBJECTIVE CRITERIA FOR EVALUATING QUALIFICATIONS OF APPLICANTS

Each Applicant shall demonstrate, to the satisfaction of UCHC, that it is able to post surety bonds satisfactory for the project and required by the contract and that it possesses the financial, managerial and technical ability, and the integrity necessary to faithfully and efficiently perform the work for which it intends to bid, without conflict of interest. UCHC shall evaluate whether the Applicant is qualified based upon the Applicant’s experience with projects similar to that for which the bid is to be submitted, the nature of UCHC’s experience, if any, with the Applicant on prior or ongoing UCHC of Connecticut projects, and upon the above-stated and following objective criteria:



## PREVIOUS EXPERIENCE

The Applicant must show or be able to demonstrate to the satisfaction of UCHC that it possesses 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/projects.

The Applicant shall demonstrate to the satisfaction of UCHC that it has maintained a satisfactory level of performance on such similar work continuously over a 5-year period preceding the date of the Application. If the Applicant is unable to do so, it must include in the Application any and all information demonstrating its ability and capacity to perform the work.

The Applicant shall be able to furnish references from owners, architects, or engineers indicating that it has satisfactorily and timely completed work similar to the project being bid. If delays occurred, evidence explaining and exonerating the Applicant shall also be provided.

The Applicant shall be able to demonstrate expertise in the various types of major trades or work required on the work/projects listed by example of successfully completed similar projects.

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. Otherwise they are excluding themselves from that particular project(s) in their submission. If a joint venture, all joint venture partners shall be so licensed, registered or certified.

If an Applicant intends to perform the work of any trade(s) with its own forces, and a license is required by the State of Connecticut in order to perform that work, the Applicant shall hold a valid license, registration or certification to perform work at the time its Application is submitted. If a joint venture, all joint venture partners shall be so licensed, registered or certified.

The Applicant shall demonstrate to the satisfaction of UCHC that it has utilized on projects similar in nature, scope, and dollar value to the work/project or projects for which this Application is submitted and has currently in place the capability to implement and utilize, a Quality Assurance/Quality Control/Code Compliance program and set of procedures appropriate for the work/project or projects for which this Application is submitted.

## FINANCIAL ABILITY/BONDING CAPACITY

The Applicant shall demonstrate that it has 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 UCHC, and is able to post surety bonds which may be required by any contract for which it intends to submit a bid.

The Applicant shall demonstrate, through the materials submitted in its Application, that it possesses sufficient financial resources and stability, and is otherwise financially responsible and able to satisfactorily perform and complete the work for which it intends to submit a bid.

## MANAGERIAL ABILITY

The Applicant shall have on its payroll, or must be able to prove that it customarily employs managerial and supervisory personnel of the type qualified to perform the kind of work which may be

called for on any project for which it intends to submit a bid.

The Applicant shall demonstrate, through the information submitted in its Application, that it possesses the managerial resources, capability and commitment necessary for and satisfactory to UCHC for the proper performance of the work for which it intends to bid.

#### TECHNICAL ABILITY

The Applicant or its principals shall own or possess rented or leased equipment of the type customarily required by contractors in the performance of contract work and that such equipment, if needed, is available for the work for which it intends to bid.

The Applicant or its principals shall have adequate physical facilities in which and from which the work can be performed.

The Applicant shall demonstrate, through the information submitted in its Application, that it possesses the technical capacity, resources, capability, and commitment necessary for and satisfactory to UCHC for the proper performance of the work for which it intends to bid.

#### INTEGRITY

The Applicant shall have a record of harmonious, cooperative, non-adversarial and honest relationships with Owners, including UCHC of Connecticut and the State of Connecticut if the Applicant has performed work on prior UCHC or State projects, as well as with Architects, Engineers, Consultants, Subcontractors and Suppliers on prior State projects or other projects.

The Applicant shall demonstrate that it has not been cited for three or more willful or serious violations of any OSHA, or of any standard, order or regulations promulgated pursuant to such act, during the 5-year period preceding any bid which may be submitted, which 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; which citations have not been set aside following appeal to the appropriate agency or court having jurisdiction.

The Applicant shall not have received one or more criminal convictions related to the injury or death of any employee in the 5-year period preceding any bid which may be submitted.

The Applicant shall not have appeared on any list published by the Connecticut State Labor Department of persons or firms that have been found in violation of the National Labor Relations Act, 29 U.S.C. 151 et. seq., by the National Labor Relations Board and by a final decision rendered by a federal court or that have been found in contempt of court by a final decision of a federal court for failure to correct a violation of said National Labor Relations Act on three or more occasions involving different violations during the five preceding calendar years, if the first day of July following publication of said list has occurred less than three years prior to the award of any contract to the Applicant.

The Applicant, or any entity in which the Applicant has an interest, shall not have appeared on any list published by the Connecticut State Labor Commissioner pursuant to Connecticut General Statutes Section 31-53a(a) of persons or firms whom he or she has found to have disregarded their obligations under Connecticut General Statutes. Sec. 31-53 and 31-76c to employees and subcontractors on public works projects or to have been barred from federal government contracts in accordance with the provisions of the Davis Bacon Act, 40 U.S.C. 276a-2, if said list has been published less than three (3) years prior to the award of any contract to the Applicant.

The Applicant shall demonstrate that it and its subcontractors on its previous projects have a satisfactory record of compliance with the provisions of Part III of Chapter 557 and Chapter 558; (Connecticut General Statutes Sections 31-52 through 31-57e and 31-58 through 31-76l respectively) during the five calendar years immediately preceding this Application.

The Applicant shall demonstrate that it has a satisfactory record of compliance with Connecticut General Statutes 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 during the five years immediately preceding this Application.

The Applicant or its principals shall not have been convicted of, nor entered any plea of guilty, or nolo contendere, or otherwise have been found civilly liable for any criminal offense or civil action involving embezzlement; forgery; bribery; falsification or destruction of records; receipt of stolen property; collusion, antitrust, conspiracy or other offenses arising out of the submission of bids or proposals on public works projects or contracts.

The Applicant shall not be the subject of any order in effect which has been issued by the Commission of Human Rights and Opportunities, pursuant to Connecticut General Statutes 46a-56 or any regulation, prohibiting any contracting agency of the State of Connecticut from entering into contracts with the Applicant. The Applicant shall also not be listed in any current list compiled by the Commission of contractors whom it has found to be in non-compliance with anti-discrimination or contract compliance statutes, nor shall the Applicant be the subject of any unabated or unexpired Notice of Non-Compliance issued by the Commissioner.

The Applicant shall demonstrate, through the information submitted in its Application, that, by its past and present actions and conduct, and that of its principals and principal employees, it possess the integrity necessary for and satisfactory to UCHC for the proper performance of the work for which it intends to bid.

#### CONFLICT OF INTEREST

The Applicant shall disclose and identify to UCHC, with its Application, any relationships which may constitute a potential conflict of interest with Purchasing, Architectural & Engineering Services, Capital Project & Contract Administration or any other UCHC organizations or departments; or any architect, engineer, consultant, or designer of the proposed projects for the purpose of determining whether a conflict of interest exists. All such disclosures require acceptance/approval action on the part of UCHC, which shall determine whether an impermissible conflict exists.

#### 1.05 PRE-QUALIFIED BIDDERS LIST

Contractors who are pre-qualified to bid will be listed in the bid Documents on a “List of Pre-Qualified Bidders”. Bids from Contractors not on the list will not be accepted.

Contractors who are pre-qualified may be invited to participate in the final stage of specifications and drawings, for selected projects, to share their combined expertise in determining best value for UCHC and to assure that the plans and specifications are clear and unambiguous.

Recognizing conditions change over the course of a year, each pre-qualified Applicant when participating in an actual bid shall be required to submit any and all changes which have occurred since

their acceptance as one of the selected pre-qualified firms.

On certain projects, if UCHC deems it to be in its best interests, UCHC reserves the right to limit the number of pre-qualified contractors from whom bids will be solicited.

UCHC, at its sole discretion, may invite one or more previously Pre-Qualified firms to participate in being considered for a future project(s) by submitting a response to a letter from the Office of Capital Project and Contract Administration of UCHC inviting them to supply specific information updating the Applicant's most recent Application.

UCHC reserves the right to refuse to pre-qualify any general contractor or subcontractor for a particular project notwithstanding the fact that they may have been pre-qualified for a previous project(s).

#### 1.06 QUESTIONS AND INTERPRETATIONS

Applicants having questions regarding the Pre-Qualification Documents should promptly notify UCHC of Connecticut in writing. If they are received by seven (7) or more calendar days before the date set for the receipt of Applications they will be given consideration. UCHC shall render any interpretations or clarifications in a form and manner which it deems appropriate, given the nature and circumstances of the question involved. UCHC of Connecticut will not be responsible for any interpretations or instructions other than those issued in written form.

October 8, 2009

Robert Murphy, Director  
University of Connecticut Health Center  
Office of Facility Contracts & Leases MC4039  
263 Farmington Ave.  
Farmington, CT 06032

**Re: General Contractor's Application and Statement of Qualifications to Bid**

Gentlemen:

The undersigned hereby applies and consents to the terms and conditions for pre-qualification to bid as a General Contractor (Class C). The completed and signed Contractor's Application, Contractor's Qualification Statement (AIA A305), Attachments A, B, and C together with the Audited Financial Statement are attached hereto.

Submitted by:

Print Name	<u>Click here to enter text.</u>	
Title	<u>Click here to enter text.</u>	
Connecticut License Number	<u>Click here to enter text.</u>	<u>Click here to enter text.</u>
Name of Firm	<u>Click here to enter text.</u>	Expiration Date
Street Address	<u>Click here to enter text.</u>	
City, State, Zip Code	<u>Click here to enter text.</u>	
Phone Number	<u>Click here to enter text.</u>	
Fax Number	<u>Click here to enter text.</u>	
Email Address	<u>Click here to enter text.</u>	

Signature



# University of Connecticut Health Center

AIA305 AUTOFILL AID

## Prequalification Response Summary

### AIA305 AutoFill Aid

**Project Title: Data Center Infrastructure Improvements**

**Vendor Name:**

Submitted By:

Date

Name

Address

Principal Office

Corporation, Partnership, Individual, Joint Venture, Other

If other, please specify

General Construction, HVAC, Electrical, Plumbing, Other

If other, please specify

#### 1. ORGANIZATION

1.1 How many years has your organization been in business as a Contractor?

1.2 How many years has your organization been in business under its present business name?

1.2.1 Under what other or former names has your organization operated?

1.3 If your organization is a corporation, answer the following:

1.3.1 Date of incorporation:

1.3.2 State of incorporation:

1.3.3 President's name:

1.3.4 Vice-president's name(s)

1.3.5 Secretary's name:

1.3.6 Treasurer's name:

1.4 If your organization is a partnership, answer the following:

1.4.1 Date of organization:

1.4.2 Type of partnership (if applicable):

1.4.3 Name(s) of general partner(s)

1.5 If your organization is individually owned, answer the following:

1.5.1 Date of organization:

1.5.2 Name of owner:

1.6 If the form of your organization is other than those listed above, describe it and name the principals:

1.7 Please indicate if you are certified as one of the following:

MBE/WBE/DBE/SET ASIDE

1.8 If you are a MBE, WBE, DBE or Set Aside please indicate which governmental body certified you.

1.9 Have you been Pre-qualified by (DAS) for the classifications listed in the Invitation to Pre-Qualify for this specific project? Yes/No

☐ Yes

☐ No

If yes, attach a copy of each Classification for which you have been Pre-qualified and list each Classification

#### 2. LICENSING

Project Title: Data Center Infrastructure Improvements		Vendor Name:	
2.1 List jurisdictions/trade categories your organization is legally qualified to do business & indicate registration/license numbers, if applicable.			
It is mandatory that the firm or joint venture be legally qualified to do business in Connecticut.			
2.2 List jurisdictions in which your organization's partnership or trade name is filed.			
<b>3. EXPERIENCE</b>			
3.1 List the categories of work that your organization normally performs with its own forces.			
3.1.1 List all labor organizations with which you have agreements; a negative response will not be reason for disqualification.			
3.1.2 What percentage of work do you commonly perform with your own forces as opposed to work contracted separately (average) of the past 5 years?			
_____ % of work performed with own forces			
_____ % of work subcontracted			
3.1.3 What percentage of contract work in the past 5 years has been competitively bid on an open bid market as opposed to selected bidding or negotiation on the basis of invitation only?			
_____ % open bid work			
_____ % selected bid list or negotiated work			
3.2 Claims and Suits. (If the answer to any of the questions below is yes, please attach details.)			
3.2.1 Has your organization ever failed to complete any work awarded to it?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.1 Within the past 5 years has your firm or any part of your firm; ever been barred, suspended, disqualified?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.2 In the past 5 years have you been defaulted, terminated, or had any liquidated damages or other contractual penalties for failure to timely or properly perform a contract?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.2.1 State whether within the past 5 years you have been declared to be a non-responsible bidder or proposer on any public work project and identify the project and date of the findings.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.3 Please indicate either yes or no. Attach a separate sheet to explain any yes answers. For any yes answer please identify the offense, location of the court/tribunal administering the matter, and the docket/proceeding number			
Has your firm, or any part of your firm, any owner, or partial owner of your firm, or any person in any way associated with or employed by your firm ever:			
3.2.1.3.1 had a conviction/plea of guilty/nolo contendere for a criminal offense obtaining or attempting to obtain a public/or private contract/subcontract or in the performance a contract/subcontract? Yes/No		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.3.2 had a conviction/plea of guilty/nolo contendere under state or federal law for embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property? Yes/No		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.3.3 had a conviction/plea of guilty/nolo contendere under state/federal antitrust, collusion/conspiracy statutes arising out of the submission of bids/proposals? Yes/No		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.3.4 been cited for noncompliance on a public project to indicate lack of responsibility as a contractor, include: deliberate failure, w/o good cause to perform in accordance w/specifications/time limits provided in a contract? Yes/No		<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.2.1.3.5 w/in 5 years compiled a record of failure to perform/unsatisfactory performance unless such failure was caused by acts beyond your control? Yes/No		<input type="checkbox"/> Yes <input type="checkbox"/> No	

Project Title: Data Center Infrastructure Improvements		Vendor Name:	
3.2.1.3.6 on a public project/contract, been cited for any other cause the awarding authority determined to be so serious as to affect responsibility as a contractor, include: disqualification by governmental entity, financial loss to the state or having caused a serious delay/inability of state officials to carry out their duties? Yes/No		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2 Are there any civil or criminal judgments, claims, arbitration proceedings or suits pending or outstanding against your organization or its officers?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.1 Where applicable, list all litigation/arbitration proceedings including out of court settlements within the past five (5) years including all pending cases...			
<b>Actions</b>			
3.2.2.2 List any OSHA citations within the past five (5) years under present business name or any past business name....			
<b>Citations</b>			
3.2.2.3 Have you appeared on any list of persons or firms that have been found to have been in violation of the National Labor Relations Act...		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.3.1 If the answer to the preceding question is "yes" state the date of publication of such list by the Connecticut State Labor Department.			
3.2.2.4 Identify instances w/in five years the Labor Department has found you to have disregarded/violated CGS 31-53 and 31-76c (payment of prevailing wages) 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.			
3.2.2.4.1 Identify any instances other than those described in response to Question 3.2.2.4 in which any complaint has been made of any provision of Part III of Chapter 557 (CGS 31-52 through 31-57e, prevailing wage, etc) and Chapter 558 (CGS 31-58 through 31-761, minimum wage, etc) during the five years immediately preceding this Application.			
3.2.2.4.2 written statement of the policy and procedures you would implement on this project for wage rates and payment of wages compliance		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.5 State whether you have ever been cited or penalized for failure to comply w/affirmative action, non-discrimination, or other human rights requirements?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.6 Are any criminal charges/indictments/civil enforcement actions pending against you/principals involving the offenses/violations referred to in 3.2.1.3?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.7 Have you been found by CT DPW/other State Agency to be in violation of the subcontractor listing requirements/or other provisions of CGS 4b-95?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.8 Have you been cited for a civil/criminal court proceeding alleging a violation of the provisions of CGS Sections 31-52 or 31-52a regarding providing preference to CT citizens/residents in the construction of public buildings/works?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2.2.8.1 If so provide details concerning the date, circumstances and disposition of any such citation or court proceeding.			
3.2.2.9 Please provide the address of your CT office and indicate whether its your home office/branch office/one of your principal places of business or otherwise, and the number of years you have had an office in CT.			
3.2.2.10 State the % of your work and the dollar value which is in CT.			
2008	% \$		
2007	% \$		
2006	% \$		
2005	% \$		
3.2.2.11 Please indicate the State in which you are incorporated, if not CT, are you currently authorized to do business in CT? Date of authorization?			



Project Title: Data Center Infrastructure Improvements		Vendor Name:	
3.2.3 Has your organization filed any law suits or requested arbitration w/regard to construction contracts w/in the last five years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3.2.3.1 List all bid or proposal protests you have engaged in over the past five years and the results			
3.3 W/in the last five years, has any officer/principal of your organization ever been an officer/principal of another organization when it failed to complete a construction contract? (If the answer is yes, please attach details.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3.4 On a separate sheet, list major construction projects your organization has in progress, giving the name of project, owner, architect, contract amount, percent complete and scheduled completion date. Record this information on copies of Attachment B, included at the end of this document.			
3.4.1 State total worth of work in progress and under contract:			
3.4.2 In addition to current projects, list projects for which you are the apparent low bidder and your bid amount as well as any other project for which you expect to be names as the Contractor in the near future.			
3.4.3 Indicate the capacity you are or expect to perform work; i.e. general contractor, construction manager at risk, etc. If you are not/do not expect to perform the entire project, specify the \$ value of work you did/will perform. Lines 6&7 Attach A, B &C			
3.5 List major projects your organization has completed in the past five years, giving name of project/owner/architect/contract amount/date of completion/percentage of the cost of work performed with your own forces. Record this information on copies of Attach C			
3.5.1 State average annual amount of construction work performed during the past five years:			
3.5.2 Indicate the capacity in which you performed work; i.e. general contractor, construction manager at risk, etc. Also, if you are not/do not expect to perform the entire project, specify the dollar value of work you did or will perform. Lines 6 & 7 of Attach A, B & C.			
3.5.3 Provide a list and description of projects you served under contract as prime contractor. Record this information on copies of Attachment A,			
3.6 List the construction experience/present commitments of the key individuals of your organization. List the personnel w/their quals & resumes, of whom would most likely be assigned to the project team for this project....			
3.7 Describe the Quality Assurance/Quality Control/Code Compliance ("QA/QC/CC") Program and Procedures which your firm typically uses on the type of project or projects for which this application for prequalification is submitted...			
State whether on the project/projects this application is being submitted you intend to used the QA/QC/CC program & procedures described. If no, describe any differences.			
Every applicant is expected to have a QA/QC/CC program & procedures and describe them. Use a separate sheet in response Question 3.7 if necessary. If your firm's programs and procedures are in writing attach a copy in response to Item 5.9			
Have you attached the requested materials?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
if No, please explain			
4. REFERENCES			
4.1 Trade References: List three or more trade references from whom you have purchased in quantity materials or equipment in the past five years.			

Project Title: Data Center Infrastructure Improvements		Vendor Name:	
4.1.1 List of references who can attest to a harmonious relationship w/your firm. The list should include subcontractors, State/Municipal project adminis, etc. Prompt payment to subcontractors is one factor to be considered			
4.1.2 Provide documentation from the Connecticut Secretary of State's Office that your firm is currently in good standing as a corporation if applicable.			
4.1.3 Provide your State of CT license, registration/certificate number for threshold building construction or the Class A demolition license number.		General Contracting:	
4.2 Bank References:		Demolition:	
Name of Bank/Contact Name			
Address			
Phone/Fax			
4.2.1 Has your firm or any part of your firm, affiliate, etc ever been involved in any bankruptcy proceedings?			
Chapter 11:		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Chapter 7:		<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.2.2 Provide court location, caption and docket number of such bankruptcy proceedings & a statement explaining the circumstances resulting in the filing.			
4.3 Surety:			
4.3.1 Name of bonding company:			
4.3.2 Name and address of agent:			
4.3.3 What is the most current rating the A.M. Best Company has assigned your bonding company?			
4.3.4 Total bonding <b>capacity</b> as of the first working day of this month, state in dollars, not as a range:			
\$			
4.3.4.1 Total bonding <b>committed</b> as of the first working day of this month, state in dollars not as a range:			
\$			
4.3.4.2 Maximum bonding <b>permitted</b> by your Bonding Company for a single project for your firm, state in dollars not as a range:			
\$			
4.3.4.3 Provide a listing of your anticipated completion of current bonded work to indicate when additional capacity will be available.			
4.3.5 Does your bonding company hold a Cert of Authority as an acceptable Surety/Reinsuring Company acceptable to the US Department of Treasury?			
yes no		<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.3.6 What is the maximum single amount Bond limitation established by the US Department of Treasury for your Bonding Company?			
\$			
4.3.6.1 If this amount is less than the estimated value of the project(s) contemplated under this Application, how will the bonding requirement be met?			
4.3.6.2 Provide a letter from your Bonding Company or its representative confirming items from paragraphs 4.3.3 through 4.3.6.			
4.4 Has any surety which issued a performance bond on your behalf ever completed work in its own name or financed such completion on your behalf?			
yes no		<input type="checkbox"/> Yes	<input type="checkbox"/> No

Project Title: Data Center Infrastructure Improvements		Vendor Name:	
4.5 Provide a statement detailing any financial interest in any other construction business, including any financial interest of 25% or more, which any officer, principal or key employee of the firm have in the Contractor or other construction business.			
5. FINANCING			
5.1 Financial Statement.			
5.1.1 Date of financial statement:			
Months between date submitted and date of financial statement		0.00	
Current Assets (e.g., cash, joint venture accounts, accounts receivable, etc); Projects < (Less Than) \$1,000,000; Attach your most recent Audited Financial Statement, which must include the Independent Auditor's Report; Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Financial Statement. This Statement must be:			
No older than 15 months old as of the date of the application			
In addition, you must supply an Interim financial statement including Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Interim Financial Statement, if any. These statements must be provided and must not be older than 6 months as of the date of the application.			
If an Audited statement is not completed by the company, statements reviewed/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 your firm's notes to the Financial Statements are not available, you must disclose any litigation that may result in material adjust to the financial statements. This documentation must be included in your Prequal App at the time of submission			
Net Fixed Assets;			
Other Assets;			
Current Liabilities (e.g., accounts payable, notes payable, accrued expenses, provision for income taxes, advances, accrued salaries and accrued payroll taxes);			
Other Liabilities (e.g., capital, capital stock, authorized and outstanding shares par values, earned surplus and retained earnings).			
Attach an Audited Financial Statement. To be considered responsive, the audited statement shall contain, as a minimum, all Notes to the Financial Statement, Audited Balance Sheet...			
5.1.2 Name & address of firm preparing attached financial statement, and date			
5.1.3 Is the attached financial statement for the organization named on page one?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
5.1.4 If not, explain the relationship and financial responsibility of the organization whose financial statement is provided (e.g., parent-subsidiary).			
5.2 Will the organization whose financial statement is attached act as guarantor of the contract for construction?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
If No, Please explain			
5.3 Disclose and identify any relationship and/or potential conflicts of interest which the Applicant may have with Purchasing, Architectural and Engineering Services, etc...			

Project Title: Data Center Infrastructure Improvements		Vendor Name:	
_____ Applicant has no conflict of interest		<input type="checkbox"/> No Conflict	
_____ Applicant has a potential conflict of interest and herewith has attached a full disclosure of said potential conflict of interest.		<input type="checkbox"/> Potential Conflict	
5.3.1 Identify any instances during the five calendar years immediately preceding the current date in which any complaint has been made to, or any investigation or inquiry has been conducted by the State of Connecticut Ethics Commission...			
5.4 If the Applicant is a Joint Venture identify the nature & percentage of the work of this project for which each joint venture partner will be primarily responsible.			
5.4.1 Please attach a copy, executed if available, of your joint venture agreement pursuant to which you propose to perform work on this project.			
5.5 Attach a sample copy of your CT Workers Comp Insurance Certificate. Also provide your National Council on Compensation Insurance (NCCI) Experience Modification Sheet and <b>state here</b> your Workers Compensation Experience Modification:		<input type="checkbox"/> Worker Comp Attached? <input type="checkbox"/> NCCI Attached?  Experience Mod:	
5.6 Attach a sample copy of your General Liability Certificate			
What is your General Liability Limit per occurrence? (State Min = \$1,000,000)			
What is your Workers Comp Limit per accident? (State Min = \$100,000)			
What is your Worker Comp Policy Limit for disease? (State Min = \$500,000)			
What is your Workers Comp Limit for Disease per employee? (State Min = \$100,000 limit)			
What is your Excess Umbrella Liability?			
5.7 Attach a sample copy of your Automobile Liability Certificate			
What is your Auto Liability Limit? (State Min = \$1,000,000 per occurrence)			
5.8 Have you ever performed work on a project on which an Owner Controlled Insurance Program (O.C.I.P.) was in effect?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, please identify the project(s), date of completion, owner, and the company/firm administering the insurance program.			
5.9 Please provide any other information which you feel would be appropriate or helpful for the University to consider in making its determination.			
6. SIGNATURE			
6.1 Dated			
Name of Organization:			
By:			
Title:			
6.2			
Notarized?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Date of notarization:			
Notary Public:			
Commission Expires:			

ATTACHMENT A

PROJECTS BEST PORTRAYING YOUR QUALIFICATIONS  
FOR THIS APPLICATION'S PROJECT

**NO SUBSTITUTION OF FORMAT**

1. **Applicant Name:** \_\_\_\_\_
2. **Project Name:** \_\_\_\_\_
3. **Project Location:** \_\_\_\_\_

Provide a detailed project description narrative which specifically addresses the Scope of this INVITATION TO PRE-QUALIFY TO BID. Failure to provide this information may lead to Application rejection.

4. **Project Description  
and  
Specific Scope**  
  
(See Project Description and  
Contractor Qualifications)

- |   | Project Owner   | Project Architect |
|---|-----------------|-------------------|
| 5. <b>Owner/Architect</b>                     |                 |                   |
| <b>Name:</b>                                  | _____           | _____             |
| <b>Address:</b>                               | _____           | _____             |
| <b>City, State, Zip</b>                       | _____           | _____             |
| <b>Phone:</b>                                 | _____           | _____             |
| <b>Fax:</b>                                   | _____           | _____             |
| <b>Email:</b>                                 | _____           | _____             |
| 6. <b>Contract Dates:</b>                     | Start: _____    | Finish: _____     |
| 7. <b>Original and Final Contract Amount:</b> | Original: _____ | Final: _____      |
| <b>Percentage/Dollar of work performed</b>    |                 | Dollar            |
| 8. <b>by Own forces:</b>                      | Percent: _____  | Value: _____      |

ATTACHMENT B

CURRENT PROJECTS AND WHERE NOTED  
PROJECTS YOU ANTICIPATE BEING AWARDED

SUBSTITUTION OF FORMAT PERMITTED

1.	<b>Applicant Name:</b>	<hr/>	
2.	<b>Project Name:</b>	<hr/>	
3.	<b>Project Location:</b>	<hr/>	
4.	<b>Project Description</b>	<hr/>	
5.	<b>Owner/Architect</b>	<b>Project Owner</b>	<b>Project Architect</b>
	<b>Name:</b>	<hr/>	<hr/>
	<b>Address:</b>	<hr/>	<hr/>
	<b>City, State, Zip</b>	<hr/>	<hr/>
	<b>Phone:</b>	<hr/>	<hr/>
	<b>Fax:</b>	<hr/>	<hr/>
	<b>Email:</b>	<hr/>	<hr/>
6.	<b>Contract Start Date:</b>	<hr/>	

ATTACHMENT C  
ALL PAST PROJECTS  
SIMPLE SUBSTITUTION OF FORMAT PERMITTED

1.	<b>Applicant Name:</b>			
2.	<b>Project Name:</b>			
3.	<b>Project Location:</b>			
4.	<b>Project Description</b>			
5.	<b>Owner/Architect</b>	Project Owner	Project Architect	
	<b>Name:</b>			
	<b>Address:</b>			
	<b>City, State, Zip</b>			
	<b>Phone:</b>			
	<b>Fax:</b>			
	<b>Email:</b>			
6.	<b>Contract Dates:</b>	Start: <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	Finish: <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	
7.	<b>Original and Final Contract Amount:</b>	Original: <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	Final: <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	
	<b>Percentage/Dollar of work performed</b>		Dollar <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	
8.	<b>by Own forces:</b>	Percent: <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	Value: <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>	



# University of Connecticut Health Center

Project Number: 09-603.01

Project Title: FCL-07-00091 Data Center Infrastructure Improvements

Vendor Name:

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University of Connecticut  
Health Center

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## 1. Contractor's Application and Statement of Qualifications to Bid Form



University of Connecticut  
Health Center

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## 2. AIA 305



University of Connecticut  
Health Center

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Vendor Name:

### 3. Attachment A



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## 4. Attachment B



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## 5. Attachment C



University of Connecticut  
Health Center

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## 6. DAS Prequalification Certificates (AIA 1.9)



University of Connecticut  
Health Center

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## 7. Litigation (AIA 3.2)



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Health Center

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## 8. Resumes (AIA 3.6, 4.2)





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## 9. Quality Assurance/Quality Control/Code Compliance (AIA 3.7)



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## 10. References (AIA 4.1.1)



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## 11. CT Secretary of State Letter (AIA 4.1.2)



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Health Center

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## 12. CT License, Registration or Certificate (AIA 4.1.3)



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### 13. Bonding Company Letter (AIA 4.3.6.2)



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Health Center

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## 14. Financial Statement (AIA 5.1.1)



University of Connecticut  
Health Center

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## 15. NCCI (AIA 5.5)



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Health Center

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## 16. Liability Certificates (AIA 5.6 & 5.7)





University of Connecticut  
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## 17. Other