

**UCONN HEALTH CENTER
REQUEST FOR CONTRACTOR PRE-QUALIFICATIONS**

The University of Connecticut Health Center is accepting Pre-Qualification Applications limited to the following project:

**PRE-QUALIFICATION APPLICATION NO. 0-1750
16 MUNSON PHASE II RENOVATIONS & PARKING LOT EXPANSION
PROJECT NUMBER: # 05006770
UNIVERSITY OF CONNECTICUT HEALTH CENTER
263 FARMINGTON AVE
FARMINGTON, CT 06032**

Completed Applications will be accepted until 3:30 PM, on May 7, 2007. Applications received after the time and date specified shall be returned unopened. Pre-Qualification Applications are available on-line at <http://bids.uchc.edu>. Note: Vendor registration required.

Project Description:

The Project consists of parking lot expansion and renovations at three levels of the UCHC 16 Munson Road building to accommodate the relocation of Departments. Additionally a new fire alarm system will be installed through out the facility at all five levels of the building. The contractor will be responsible for developing a phasing plan for the fire alarm work at all occupied levels. All demolition work associated with the removal of the existing fire alarm system must be coordinated by the contractor to ensure the safety of all occupants. The following scope of work identifies an overview of the work to be performed and does not constitute a detail description of the work. The contractor is responsible for bidding on the exact scope as defined in the plans, specifications and other related documents for this project.

The third level renovations include:

- Renovations and reconfiguration of the existing storage rooms for high density storage.
- Mechanical work to service the office layout on this floor and the floors above which may include refurbishing and/or replacing associated mechanical units, pumps, ducts, controls, etc.
- Electrical work to service the office layout and mechanical work on this floor.
- Work may be required in occupied office areas to modify ductwork serving floors above requiring phased off hours work to maintain normal business activities.
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level. The reconfiguration of spaces may require modifications to meet coverage requirements.
- At this level there may be some outside sidewalk construction at stairwell "D".
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.

The fourth level renovations include:

- Very limited demolition, reconfiguration and/or renovation of the existing office space.
- Mechanical and electrical work to service the office layout on this floor.
- Renovations at the existing public toilet facilities to add additional handicapped accessible fixtures.
- Removal and replacement of the existing entry doors and revolving door including exterior concrete work and patching of the plaster soffit.
- Conduit and junction boxes for security, data and audio visual systems
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level.

- New doors and hardware in renovated spaces, including the installation of existing doors at designated locations.
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.

The fifth level renovations include:

- Demolition, reconfiguration and/or renovation of the existing office space.
- Mechanical and Electrical work to service the office layout on this floor.
- Repair and Patch the roof where existing mechanical exhausts, vents and other equipment has been removed.
- Renovations at the existing toilets to add additional fixtures.
- Conduit and junction boxes for security, data and audio visual systems
- The approximate area of the renovation work at this level is 10,000 square feet.
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level.
- New doors and hardware in renovated spaces, including the installation of existing doors at designated locations.
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.
- Work associated with the relocation of the telephone equipment room.

This project is anticipated to last 6 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 the full amount of the construction cost.

Munson Road Parking Lot Expansion includes:

The exterior project includes construction of the 16 Munson Road parking lot expansion located at the University of Connecticut Health Center in Farmington, Connecticut.

The work includes: installation and maintenance of erosion and sediment control systems; clearing and grubbing; striping and stockpiling topsoil; saw cutting of bituminous concrete paving; cement concrete sidewalks, ramps, and curb cuts with detectable warning strips; storm drainage system; bituminous concrete paving and curbing; pavement markings; site improvements including wood fencing; turf establishment; conduit and wiring for site lighting; traffic control signal light and electric handholes.

This project is anticipated to last 3 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 \$1,500,000.

The Contractor is required to complete and submit the attached AIA 305 Pre-Qualification Application Number 0-1750 which includes: the GENERAL CONTRACTOR'S APPLICATION AND STATEMENT OF QUALIFICATIONS TO BID FORM (Submittal Cover Sheet), Contractor's Qualification Statement (AIA A305), Attachments A, B and C together with the Audited Financial Statement.

Robert Murphy
 Director of Purchasing
 University of Connecticut Health Center

Enclosure

GENERAL CONTRACTOR'S APPLICATION AND STATEMENT OF QUALIFICATIONS TO BID FORM

TO: Robert Murphy
Director of Purchasing
University of Connecticut Health Center
263 Farmington Avenue, MC 4036
Farmington, CT 06032
Phone: (860)679-2408

Gentlemen:

The undersigned hereby applies and consents to the terms and conditions for pre-qualification to bid as a Contractor. 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:

Date: _____

(Signature of Official)

(Print Name and Title of Official)

Connecticut Building: License, Registration, or Certification Number

Valid Until: _____ (Date)

(Name of Firm)

(Business Address)

(City, State, Zip Code)

(Telephone Number)

(Fax Number)

(Email/Web Address)

AIA[®] Document A305™ – 1986

Contractor's Qualification Statement

The Undersigned certifies under oath that the information provided herein is true and sufficiently complete so as not to be misleading.

The following document is the A305 as modified by the University of Connecticut.
Modified Date April 16, 2007

INVITATION TO SITE CONTRACTORS TO PRE-QUALIFY TO OFFER PROPOSALS

The University of Connecticut Health Center is accepting Pre-Qualification Applications limited to the following project:

**PRE-QUALIFICATION APPLICATION NO. 0-1750
16 MUNSON PHASE II RENOVATIONS & PARKING LOT
EXPANSION
PROJECT NUMBER: # 05006770
UNIVERSITY OF CONNECTICUT HEALTH CENTER
263 FARMINGTON AVE
FARMINGTON, CT 06032**

Completed Applications will be accepted until 3:30 PM, on May 7, 2007. Applications received after the time and date specified shall be returned unopened. Pre-Qualification Applications are available on-line at <http://bids.uhc.edu>. **Note: Vendor registration required.**

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 Contractor. Applicants not so pre-qualified by DAS may access program information and the online application directly from: <http://www.pdc.state.ct.us/prequal>. Applicants who have not yet been pre-qualified by DAS, but are conditionally pre-qualified by the University, shall have up to 30 days from the date on the notification letter from the University of Connecticut, to become pre-qualified by DAS, or forfeit their right to offer a Proposal.

Only Contractors pre-qualified by **both** the DAS, for the Classification of Contractor Classification Group, and the University of Connecticut, 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 parking lot expansion and renovations at three levels of the UHC 16 Munson Road building to accommodate the relocation of Departments. Additionally a new fire alarm system will be

ADDITIONS AND DELETIONS:

The author of this document has added information needed for its completion. The author may also have revised the text of the original AIA standard form. An *Additions and Deletions Report* that notes added information as well as revisions to the standard form text is available from the author and should be reviewed. A vertical line in the left margin of this document indicates where the author has added necessary information and where the author has added to or deleted from the original AIA text.

This document has important legal consequences. Consultation with an attorney is encouraged with respect to its completion or modification.

This form is approved and recommended by the American Institute of Architects (AIA) and The Associated General Contractors of America (AGC) for use in evaluating the qualifications of contractors. No endorsement of the submitting party or verification of the information is made by AIA or AGC.

- Electrical work to service the office layout and mechanical work on this floor.
- Work may be required in occupied office areas to modify ductwork serving floors above requiring phased off hours work to maintain normal business activities.
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level. The reconfiguration of spaces may require modifications to meet coverage requirements.
- At this level there may be some outside sidewalk construction at stairwell "D".
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.

The fourth level renovations include:

- Very limited demolition, reconfiguration and/or renovation of the existing office space.
- Mechanical and electrical work to service the office layout on this floor.
- Renovations at the existing public toilet facilities to add additional handicapped accessible fixtures.
- Removal and replacement of the existing entry doors and revolving door including exterior concrete work and patching of the plaster soffit.
- Conduit and junction boxes for security, data and audio visual systems
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level.
- New doors and hardware in renovated spaces, including the installation of existing doors at designated locations.
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.

The fifth level renovations include:

- Demolition, reconfiguration and/or renovation of the existing office space.
- Mechanical and Electrical work to service the office layout on this floor.
- Repair and Patch the roof where existing mechanical exhausts, vents and other equipment has been removed.
- Renovations at the existing toilets to add additional fixtures.
- Conduit and junction boxes for security, data and audio visual systems
- The approximate area of the renovation work at this level is 10,000 square feet.
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level.
- New doors and hardware in renovated spaces, including the installation of existing doors at designated locations.
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.
- Work associated with the relocation of the telephone equipment room.

Munson Road Parking Lot Expansion includes:

The exterior project includes construction of the 16 Munson Road parking lot expansion located at the University of Connecticut Health Center in Farmington, Connecticut.

The work includes: installation and maintenance of erosion and sediment control

systems;
clearing and grubbing; striping and stockpiling topsoil; saw cutting of bituminous concrete paving; cement concrete sidewalks, ramps, and curb cuts with detectable warning strips; storm drainage system; bituminous concrete paving and curbing; pavement markings; site improvements including wood fencing; turf establishment; conduit and wiring for site lighting; traffic control signal light and electric handholes.

Contractor Qualifications:

For the interior/renovation aspects of the project the contractors pre-qualified to submit bids on this project must demonstrate, through past experience, the ability to successfully complete projects of a similar nature. That is, demonstrate the completion of the renovations requiring coordination and phasing of work, projects that involved demolition of typical interior architectural, mechanical and electrical systems, and reconstruction of the area to create. Due to the nature of the project, the Contractor's experience should include highly successful projects which required working in occupied buildings and closely coordinating construction activities with occupants of the neighboring space, demonstrating knowledge/implementation of Interim Life Safety Measures (ILSM) and Construction Area Environmental Controls for the protection of adjacent work spaces. 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 the 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 6 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 the full amount of the construction cost.

Project Specific Questions:

1. Provide a list of similar renovation projects or other similar renovations of at least One Million two hundred thousand dollars in construction cost. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, and references. Describe any schedule related constraints or issues.
2. Describe other related construction projects your have performed that involved renovation of occupied office space. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, name of equipment vendor, and references. Describe any schedule related constraints or issues.

3. Describe other related construction projects you have performed that involved implementation of Interim Life Safety Measures, a phased construction approach and replacement of fire alarm systems in occupied buildings during construction.. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, training and/or certification received and references. Describe any schedule related constraints or issues.

For the Exterior/Civil aspects of the project the contractors pre-qualified to submit bids on this project must demonstrate, through past experience, the ability to successfully complete projects of a similar nature. That is, demonstrate the completion of projects that are expansions of existing parking lots with added storm drainage systems, site lighting, traffic signal installations, etc. The contractor's experience should demonstrate the ability to complete paving 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 3 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 \$1,500,000.

Project Specific Questions:

1. Provide a list of similar paving projects or other similar projects of at least one million dollars in construction cost. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, date of completion, and references. Describe any schedule related constraints or issues.

2. Describe other related construction projects you have performed that involved site drainage and site lighting systems. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, name of equipment vendor, and references. Describe any schedule related constraints or issues.

3. Describe the construction equipment sufficient to produce, deliver, and pave as required for this project.

4. Demonstrate the experience of your operators that are required on all equipment used in the production and laying of the asphaltic and drainage material.

The University of Connecticut 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.

Robert W. Murphy
Director of Purchasing Department
Purchasing Department

INTRODUCTION TO THE APPLICATION

The University 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.

First, you are required to submit your most recent 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 the office of Purchasing Department.

Second, in the pre-qualification process, the University considers as a significant component in evaluating the qualifications and experience of the Applicant required by section 1.04 of this Application, the level of experience and qualifications of the individuals the Applicant proposes as the team for the project. Particular attention should thus be paid to those questions regarding the individuals proposed to work on the project. The University 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 the University.

Third, we are supplying three attachments for you to relate 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 are as follows:

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 the University to consider.

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.

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.

Please take special note that the information provided by you relevant to your bonding status requires that your bonding agent authenticate the information.

Please also note that leaving any spaces blank on the Application, or failure to completely or fully answer any questions, can result in the University's refusal to pre-qualify the Applicant.

Please do not wait until the last possible minute to deliver your Application, or as several firms have found, you may be late and not have your Application be considered.

Finally, the University wishes to bring to your attention that in the course of applying the Pre-Qualification procedure to various projects the Application, including the questions asked, has been modified in certain respects. Therefore, you should make sure that you are responding to the University modified AIA A-305 questions asked, and providing the information requested, in this updated Application.

We look forward to receiving your completed Application.

Robert W. Murphy
Director of Purchasing Department
Purchasing Department

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

I. 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 the University 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. The University 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 the University responses to the following questions and questionnaires contained within these documents. The Contractor's Qualification Statement (AIA A305 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:

A. 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.

B. Submission of Applications: **Submit one (1) original and four (4) copies** of the completed and signed Application to the University of Connecticut Health Center. The **mailed applications** shall be submitted to: Robert W. Murphy, Director of Purchasing Department, University of Connecticut Health Center, 263 Farmington Avenue, Farmington, Connecticut 06032. **Hand delivered applications** shall be submitted to: Robert W. Murphy, University of Connecticut Health Center, Administration Building, Purchasing Department, 16 Munson Road, Farmington, CT 06032.

1. Please arrange your submittal as follows:

- Contractor's Application and Statement of Qualifications to Bid Form
- AIA Document 305 Contractor's Qualification Statement
- Attachments A, B and C
- Any Additional Information which you feel would be appropriate
- Audited Financial Statement

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

3. The University 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 the University.

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.

4. 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 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.

5. 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 pre-qualification process, to the satisfaction of the University, shall constitute grounds for a refusal to pre-qualify the Applicant and/or grounds for the revocation of any pre-qualification.

6. 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.

7. 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.

C. 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 the University.

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

E. 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 the University within those five (5) calendar days) that the University 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. The University shall again consider the matter and may either adhere to or modify its previous decision. The University shall give prompt notice to the Applicant of the action taken.

F. 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 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 the University. The Applicant, by submission of a completed Application, also acknowledges that any information provided to or obtained by the University 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, the University 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 the University, 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. The University 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 the University's experience, if any, with the Applicant on prior or ongoing University of Connecticut projects, and upon the above-stated and following objective criteria:

A. PREVIOUS EXPERIENCE

1. The Applicant must show or be able to demonstrate to the satisfaction of the University 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.
2. The Applicant shall demonstrate to the satisfaction of the University 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.
3. 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.
4. 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.
5. 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.
6. 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.

7. The Applicant shall demonstrate to the satisfaction of the University 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.

B. FINANCIAL ABILITY/BONDING CAPACITY

1. 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 the University, and is able to post surety bonds which may be required by any contract for which it intends to submit a bid.

2. 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.

C. MANAGERIAL ABILITY

1. 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.

2. 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 the University for the proper performance of the work for which it intends to bid.

D. TECHNICAL ABILITY

1. 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.

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

3. 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 the University for the proper performance of the work for which it intends to bid.

E. INTEGRITY

1. The Applicant shall have a record of harmonious, cooperative, non-adversarial and honest relationships with Owners, including the University of Connecticut 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 State projects or other projects.

2. 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.

3. 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.
4. 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.
5. 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.
6. 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.
7. 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.
8. 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.
9. 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.
10. 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 the University for the proper performance of the work for which it intends to bid.

F. CONFLICT OF INTEREST

1. The Applicant shall disclose and identify to the University, 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 University 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 the University, which shall determine whether an impermissible conflict exists.

1.05 PRE-QUALIFIED BIDDERS LIST

1. 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.
2. 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 the University and to assure that the plans and specifications are clear and unambiguous.
3. 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.
4. On certain projects, if the University deems it to be in its best interests, the University reserves the right to limit the number of pre-qualified contractors from whom bids will be solicited.
5. The University, 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 the University inviting them to supply specific information updating the Applicant's most recent Application.
6. The University 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 the University 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. 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 of Connecticut will not be responsible for any interpretations or instructions other than those issued in written form.

GENERAL CONTRACTOR'S APPLICATION AND STATEMENT OF QUALIFICATIONS TO BID FORM

TO: Robert W. Murphy
Director of Purchasing
Purchasing Department
University of Connecticut Health Center
263 Farmington Avenue, MC 4036
Farmington, CT 06032-4036
rmurphy@uchc.edu

Gentlemen:

The undersigned hereby applies and consents to the terms and conditions for pre-qualification to bid as a Site Contractor. 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:

Date: _____

(Signature of Official)

(Print Name and Title of Official)

Connecticut Building: __ License, __ Registration, or __ Certification Number

Valid Until: _____ (Date)

(Name of Firm)

(Business Address)

(City, State, Zip Code)

(Telephone Number)

(Fax Number)

(Email/Web Address)

SUBMITTED TO:

ADDRESS:

SUBMITTED BY:

NAME:

ADDRESS:

PRINCIPAL OFFICE:

- Corporation
- Partnership
- Individual
- Joint Venture
- Other

NAME OF PROJECT (if applicable): 16 Munson Phase II Renovations & Parking Lot Expansion

TYPE OF WORK (file separate form for each Classification of Work):

- General Construction
- HVAC
- Electrical
- Plumbing
- 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 The State of Connecticut, Dept. of Administrative Services (DAS) Contractor Pre-qualification Program requires all contractors to pre-qualify before they can bid on any construction, alteration, remodeling, repair or demolition of any public building, for work by the state or municipality, estimated to cost more than \$500,000 and which is funded in whole or in part with state funds.

Have you been Pre-qualified by the Connecticut Department of Administrative Services (DAS) Contractor Pre-qualification Program for the classifications listed in the Invitation to Pre-Qualify for this specific project?

_____yes _____no

If yes, attach a copy of each Classification for which you have been Pre-qualified which is relevant to this Application for Pre-qualification for the specific project for which this application is being submitted to the University of Connecticut. If no, then Applicants who have not yet been pre-qualified by DAS, shall have up until noon the day before the receipt of proposals, for the specific project for which this Application is being submitted to the University, to become pre-qualified by DAS, or forfeit their right to offer a Proposal.

§ 2. LICENSING

§ 2.1 List jurisdictions and trade categories in which your organization is legally qualified to do business, and indicate registration or license numbers, if applicable.

It is mandatory that the 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.

§ 2.2 List jurisdictions in which your organization's partnership or trade name is filed.

§ 3. EXPERIENCE

§ 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 the work for which you have served under contract for 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?

3.2.1.1 Within the past 5 years has your firm or any part of your firm; any owner, or partial owner of your firm; or any other person in any way associated with or employed by your firm 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? If so, include an explanation of any previous debarment and copies of any notice of reinstatement.

3.2.1.2 State whether within the past 5 years you have been defaulted, terminated, or have had any liquidated damages or other contractual penalties for failure to timely or properly perform a contract assessed against you and indicate the current status of any litigation involving those transactions.

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.

3.2.1.3 Please indicate either yes or no to the following questions. You may attach a separate sheet to explain any yes answers. For any yes answer in response to the following questions please identify the offense, along with the location of the court or tribunal administering the matter, and the docket or proceeding number of the matter.

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 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

3.2.1.3.2 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

3.2.1.3.3 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

3.2.1.3.4 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

3.2.1.3.5 within the previous 5 years compiled a record of failure to perform or of unsatisfactory performance in accordance with the terms of one or more contracts, unless such failure to perform or unsatisfactory performance was caused by acts beyond your control?

_____yes _____no

3.2.1.3.6 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

§ 3.2.2 Are there any civil or criminal judgments, claims, arbitration proceedings or suits pending or outstanding against your organization or its officers?

3.2.2.1 Where applicable, list all litigation or arbitration proceedings including out of court settlements initiated by or against you within the past five (5) years including all pending cases. List the name of the project, the project location and the court or arbitration number and location. Briefly describe, use a separate sheet if necessary, the circumstances and disposition of each case. **Specifically identify and provide details of each instance of claims or legal proceedings by or against a public or private Owner. Please note that generalized responses such as "litigation arising in the ordinary course of doing business" are not acceptable.**

3.2.2.2 List any OSHA citations within the past five (5) years under present business name or any past business name. Have you been cited for three or more willful or serious violations of OSHA, or of any standard, order or regulations promulgated pursuant to such Act 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; and which citation has not been set aside following appeal to the appropriate agency

or court having jurisdiction? Additionally list any criminal convictions related to the injury or death of any employee.

3.2.2.3 Have you 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?

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 any instances within the previous five years in which you or any entity in which you have an interest, has appeared on a list published by the State of Connecticut Labor Department of persons or firms who the Labor Department has found you to have disregarded or violated your 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. Describe in detail 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.

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 to, or any investigation or inquiry has been conducted by, the State of Connecticut Department of Labor regarding any alleged non-compliance by your or by any subcontractors on your 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 calendar years immediately preceding this Application. Describe in detail 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 complain or violation.

3.2.2.4.2 If in the event that there were such instances as described in your response, you are further required to provide with your Application 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 as noted above.

3.2.2.5 State whether you have ever 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 you. If so, provide the date(s), details, disposition and docket number(s) for each such instance.

3.2.2.6 Are there any criminal charges, indictments or civil enforcement actions currently pending against you or your principals involving any of the offenses or violations referred to in 3.2.1.3 above? If so identify the offense(s), court docket number and status of proceeding(s).

3.2.2.7 Have you ever 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? If so indicate the nature, date and circumstances of any such violation.

3.2.2.8 Have you ever been cited for or been the subject of a civil or criminal court proceeding alleging that you have 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?

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 Connecticut office and indicate whether it constitutes your home office, branch office, one of your principal places of business or otherwise, and state the number of years your have maintained an office in Connecticut.

3.2.2.10 Please state the percentages of your current work and the dollar value which is being performed in Connecticut.

2006	_____ %	\$ _____
2005	_____ %	\$ _____
2004	_____ %	\$ _____
2003	_____ %	\$ _____

3.2.2.11 Please indicate the State in which you are incorporated and if it is not Connecticut indicate whether you are currently authorized to do business in Connecticut, as well as the date of such authorization was obtained.

§ 3.2.3 Has your organization filed any law suits or requested arbitration with regard to construction contracts within the last five years?

3.2.3.1 List all bid or proposal protests you have engaged in over the past five years and the results of each instance by date, owner, architect, engineer, consultant, project and court or administrative docket number and location as applicable.

§ 3.3 Within the last five years, has any officer or principal of your organization ever been an officer or principal of another organization when it failed to complete a construction contract? (If the answer is yes, please attach details.)

§ 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 your current projects, also 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 named as the Contractor in the near future. Record this information on copies of Attachment B included at the end of this document.

3.4.3 Indicate the capacity in which you are or expect to be performing work; i.e. general contractor, construction manager at risk, construction manager for fee, sub/trade contractor, joint venture partner, design/builder, part of a design/build team, etc. Also, if you are not or do not expect to perform the entire project, specify the dollar value of work you did or will perform. Lines 6 & 7 of Attachments A, B & C.

§ 3.5 On a separate sheet, list the major projects your organization has completed in the past five years, giving the name of project, owner, architect, contract amount, date of completion and percentage of the cost of the work performed with your own forces. Record this information on copies of Attachment C included at the end of this document.

§ 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, construction manager for fee, sub/trade contractor, joint venture partner, design/builder, part of a design/build team, etc. Also, if you are not or do not expect to perform the entire project, specify the dollar value of work you did or will perform. Lines 6 & 7 of Attachments A, B & C.

3.5.3 Additionally provide a list and description of projects for which you served under contract as the prime contractor. Choose projects which you feel are most representative of the project(s) for which this Application is made. Record this information on copies of Attachment A, included at the end of this document. All information requested in Attachment A must be provided for each project.

§ 3.6 On a separate sheet, list the construction experience and present commitments of the key individuals of your organization. Additionally list the personnel, together with their qualifications and resumes, of whom would most likely be assigned to the project team for this project, including but not limited to the Project Executive, Site Manager, Project Manager(s), Safety Engineer, support staff, either located at the University or your home office or both for administrative, accounting, estimating etc. State the specific anticipated involvement of each individual in the 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, in order to assure that the construction complies throughout with the requirements of the Contract Documents and complies with all applicable Building and Fire/Safety Code requirements. Your response should include, but not be limited to, a description of any and all inspection and testing procedures and activities, the various steps and procedures and methods used in the QA/QC/CC process, the nature and qualifications of the internal team and/or organizations and process are being followed from the planning, through construction, and through any applicable warranty or post construction period, the methods used to report on inspections and observations such as, Quality Control reports, the methods to report to the Owner and to address and correct instances of contract and code non-compliance and construction and/or design defects and deficiencies, and whether your firm's QA/QC/CC program and procedures are in writing.

Please further state whether on the project or projects for which this application for prequalification is being submitted you intend to use the QA/QC/CC program and procedures described in response to the foregoing. If no, describe any differences.

Every applicant is expected to have in place a QA/QC/CC program and procedures and to describe them in detail in response to this question. You may use a separate sheet identifying the response as being to Question 3.7 if necessary. If your firm's programs and procedures are in writing, such as in the form of a manual, you should additionally attach a copy of same in response to Item 5.9 of this Application, whereby miscellaneous materials are permitted to be attached.

Have you attached the requested materials?

yes 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.

4.1.1 Provide a list of references who can attest to having a record of harmonious relations with your firm. The list should include subcontractors, State and/or Municipal project administrators and any other projects which demonstrate harmonious relationships to the satisfaction of the University. Prompt payment to subcontractors is one factor to be considered by the University in evaluating relations with subcontractors and suppliers.

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 Connecticut license, registration or certificate number, if a joint venture provide for each joint venture partner, for threshold building construction or if for a demolition project the Class A demolition license number.

	Contractor	Joint Venture Partner(s)
General Contracting		
Demolition		

§ 4.2 Bank References:

4.2.1 Has your firm or any part of your firm, affiliate, subsidiary, parent or predecessor, any owner, partial owner, or principal of your firm, or any officer or managerial or supervisory employee of your firm ever been involved in any bankruptcy proceedings?

Chapter 11: ____yes ____no

Chapter 7: ____yes ____no

4.2.2 Provide the court location, caption and docket number of any such bankruptcy proceedings as well as a statement explaining the circumstances resulting in the filing. Please note that the institution of bankruptcy proceedings in and of itself shall not be considered as grounds for non-qualification.

§ 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 **capacity** as of the first working day of this month, state in dollars, not as a range:

\$ _____

4.3.4.1 Total bonding **committed** as of the first working day of this month, state in dollars not as a range:

\$ _____

4.3.4.2 Maximum bonding **permitted** 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 Certificate of Authority as an acceptable Surety and/or Reinsuring Company acceptable to the US Department of Treasury?

____yes ____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

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 Attach a financial statement, audited, including your organization's latest balance sheet and income statement showing the following items:

Current Assets (e.g., cash, joint venture accounts, accounts receivable, notes receivable, accrued income, deposits, materials inventory and prepaid expenses); 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 for consideration and should be no older than 6 months as of the date of the application.
- If an Audited statement is 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 Statements are not available, you are required to disclose any litigation that may result in a material adjustment to the financial statements. This detailed documentation must be included in your Prequalification Application at the time of submission to the Purchasing Department.

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. If the Applicant is a Joint Venture, attach the required financial statement for each Joint Venture Partner. To be considered responsive, the audited statement shall contain, as a minimum, all Notes to the Financial Statement, Audited Balance Sheet, Audited Statements of Income and Retained Earnings, Audited Statements of Cash Flow, as well as

the Statement of Auditors Opinion. In addition to your most recent Audited Financial Statement, if the end date of your fiscal year covered by the statement is three (3) or more months old, you must provide current financial documentation demonstrating that your present financial position has remained the same, or showing and identifying any changes in any way, in relation to the audited financial statement you are submitting with this Application. Please note: Failure or neglect to submit an Audited Financial Statement will result in the non-consideration of your firm. The submission of any other documents intended to take the place of an Audited Financial Statement will result in the non-consideration of your firm.

§ 5.1.2 Name and address of firm preparing attached financial statement, and date thereof:

§ 5.1.3 Is the attached financial statement for the identical organization named on page one?

§ 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?

yes 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, Capital Project and Contract Administration, or any other University organization or department; or any architect, consultant, engineer or designer of the proposed project for the purpose of determining whether a conflict of interest exists.

Applicant has no conflict of interest

Applicant has a potential conflict of interest and herewith has attached a full disclosure of said potential conflict of interest.

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, or by any other State of Connecticut Agency or Department, regarding any alleged non-compliance by you, or anyone employed by you or acting in your 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. 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.

5.4 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.

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 Connecticut Workers Compensation Insurance Certificate. Also please provide your National Council on Compensation Insurance (NCCI) Experience Modification Sheet and **state here** your Workers Compensation Experience Modification: _____

5.6 Attach a sample copy of your General Liability Certificate

5.7 Attach a sample copy of your Automobile Liability Certificate

5.8 Have you ever performed work on a project on which an Owner Controlled Insurance Program (O.C.I.P.), also known as "wrap" insurance program was in effect?

_____yes _____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 at this _____ day of _____

Name of Organization:

By:

Title:

§ 6.2

M _____ being duly sworn deposes and says that the information provided herein is true and sufficiently complete so as not to be misleading.

Subscribed and sworn before me this _____ day of _____ 20____

Notary Public:

My Commission Expires:

Additions and Deletions Report for AIA® Document A305™ – 1986

This Additions and Deletions Report, as defined on page 1 of the associated document, reproduces below all text the author has added to the standard form AIA document in order to complete it, as well as any text the author may have added to or deleted from the original AIA text. Added text is shown underlined. Deleted text is indicated with a horizontal line through the original AIA text.

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PAGE 1

The following document is the A305 as modified by the University of Connecticut.
Modified Date April 16, 2007

INVITATION TO SITE CONTRACTORS TO PRE-QUALIFY TO OFFER PROPOSALS

The University of Connecticut Health Center is accepting Pre-Qualification Applications limited to the following project:

**PRE-QUALIFICATION APPLICATION NO. 0-1750
16 MUNSON PHASE II RENOVATIONS & PARKING LOT
EXPANSION
PROJECT NUMBER: # 05006770
UNIVERSITY OF CONNECTICUT HEALTH CENTER
263 FARMINGTON AVE
FARMINGTON, CT 06032**

Completed Applications will be accepted until 3:30 PM, on May 7, 2007. Applications received after the time and date specified shall be returned unopened. Pre-Qualification Applications are available on-line at <http://bids.uhc.edu>. Note: Vendor registration required.

Project Description:

The Project consists of parking lot expansion and renovations at three levels of the UCHC 16 Munson Road building to accommodate the relocation of Departments. Additionally a new fire alarm system will be installed through out the facility at all five levels of the building. The contractor will be responsible for developing a phasing plan for the fire alarm work at all occupied levels. All demolition work associated with the removal of the existing fire alarm system must be coordinated by the contractor to ensure the safety of all occupants. The following scope of work identifies an overview of the work to be performed and does not constitute a detail description of the work. The contractor is responsible for bidding on the exact scope as defined in the plans, specifications and other related documents for this project.

The third level renovations include:

- Renovations and reconfiguration of the existing storage rooms for high density storage.
- Mechanical work to service the office layout on this floor and the floors above which may include refurbishing and/or replacing associated mechanical units, pumps, ducts, controls, etc.
- Electrical work to service the office layout and mechanical work on this floor.

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User Notes:

(1006571668)

- Work may be required in occupied office areas to modify ductwork serving floors above requiring phased off hours work to maintain normal business activities.
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level. The reconfiguration of spaces may require modifications to meet coverage requirements.
- At this level there may be some outside sidewalk construction at stairwell "D".
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.

The fourth level renovations include:

- Very limited demolition, reconfiguration and/or renovation of the existing office space.
- Mechanical and electrical work to service the office layout on this floor.
- Renovations at the existing public toilet facilities to add additional handicapped accessible fixtures.
- Removal and replacement of the existing entry doors and revolving door including exterior concrete work and patching of the plaster soffit.
- Conduit and junction boxes for security, data and audio visual systems
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level.
- New doors and hardware in renovated spaces, including the installation of existing doors at designated locations.
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.

The fifth level renovations include:

- Demolition, reconfiguration and/or renovation of the existing office space.
- Mechanical and Electrical work to service the office layout on this floor.
- Repair and Patch the roof where existing mechanical exhausts, vents and other equipment has been removed.
- Renovations at the existing toilets to add additional fixtures.
- Conduit and junction boxes for security, data and audio visual systems
- The approximate area of the renovation work at this level is 10,000 square feet.
- The building currently has a limited fire sprinkler system with hose connections which may require modifications at this level.
- New doors and hardware in renovated spaces, including the installation of existing doors at designated locations.
- Fire alarm system replacement.
- The Contractor shall provide provisions for environmental controls within the construction area for the protection of adjacent areas.
- Work associated with the relocation of the telephone equipment room.

Munson Road Parking Lot Expansion includes:

The exterior project includes construction of the 16 Munson Road parking lot expansion located at the University of Connecticut Health Center in Farmington, Connecticut.

The work includes: installation and maintenance of erosion and sediment control systems;

clearing and grubbing; striping and stockpiling topsoil; saw cutting of bituminous concrete paving; cement concrete sidewalks, ramps, and curb cuts with detectable warning strips; storm drainage system; bituminous concrete paving and curbing; pavement markings; site improvements including wood fencing; turf establishment; conduit and wiring for site lighting; traffic control signal light and electric handholes.

Contractor Qualifications:

For the interior/renovation aspects of the project the contractors pre-qualified to submit bids on this project must demonstrate, through past experience, the ability to successfully complete projects of a similar nature. That is, demonstrate the completion of the renovations requiring coordination and phasing of work, projects that involved demolition of typical interior architectural, mechanical and electrical systems, and reconstruction of the area to create. Due to the nature of the project, the Contractor's experience should include highly successful projects which required working in occupied buildings and closely coordinating construction activities with occupants of the neighboring space, demonstrating knowledge/implementation of Interim Life Safety Measures (ILSM) and Construction Area Environmental Controls for the protection of adjacent work spaces. 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 the 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 6 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 the full amount of the construction cost.

Project Specific Questions:

1. Provide a list of similar renovation projects or other similar renovations of at least One Million two hundred thousand dollars in construction cost. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, and references. Describe any schedule related constraints or issues.

2. Describe other related construction projects you have performed that involved renovation of occupied office space. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, name of equipment vendor, and references. Describe any schedule related constraints or issues.

3. Describe other related construction projects your have performed that involved implementation of Interim Life Safety Measures, a phased construction approach and replacement of fire alarm systems in occupied buildings during construction.. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, training and/or certification received and references. Describe any schedule related constraints or issues.

For the Exterior/Civil aspects of the project the contractors pre-qualified to submit bids on this project must demonstrate, through past experience, the ability to successfully complete projects of a similar nature. That is, demonstrate the completion of projects that are expansions of existing parking lots with added storm drainage systems, site lighting, traffic signal installations, etc. The contractor's experience should demonstrate the ability to complete paving 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 3 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 \$1,500,000.

Project Specific Questions:

1. Provide a list of similar paving projects or other similar projects of at least one million dollars in construction cost. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, date of completion, and references. Describe any schedule related constraints or issues.

2. Describe other related construction projects your have performed that involved site drainage and site lighting systems. Include the following information in your descriptions: Client, project name, scope of work, size of project, construction cost, name of equipment vendor, and references. Describe any schedule related constraints or issues.

3. Describe the construction equipment sufficient to produce, deliver, and pave as required for this project.

4. Demonstrate the experience of your operators that are required on all equipment used in the production and laying of the asphaltic and drainage material.

The University of Connecticut 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.

Robert W. Murphy
Director of Purchasing Department
Purchasing Department

your bonding agent authenticate the information.

Please also note that leaving any spaces blank on the Application, or failure to completely or fully answer any questions, can result in the University's refusal to pre-qualify the Applicant.

Please do not wait until the last possible minute to deliver your Application, or as several firms have found, you may be late and not have your Application be considered.

Finally, the University wishes to bring to your attention that in the course of applying the Pre-Qualification procedure to various projects the Application, including the questions asked, has been modified in certain respects. Therefore, you should make sure that you are responding to the University modified AIA A-305 questions asked, and providing the information requested, in this updated Application.

We look forward to receiving your completed Application.

Robert W. Murphy
Director of Purchasing Department
Purchasing Department

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 the University 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. The University 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 the University responses to the following questions and questionnaires contained within these documents. The Contractor's Qualification Statement (AIA A305 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:

A. 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.

B. Submission of Applications: **Submit one (1) original and four (4) copies** of the completed and signed Application to the University of Connecticut Health Center. **The mailed applications shall be submitted to: Robert W. Murphy, Director of Purchasing Department, University of Connecticut Health Center, 263 Farmington Avenue, Farmington, Connecticut 06032. Hand delivered applications shall be submitted to: Robert W. Murphy, University of Connecticut Health Center, Administration Building, Purchasing Department, 16 Munson Road, Farmington, CT 06032.**

1. Please arrange your submittal as follows:

- Contractor's Application and Statement of Qualifications to Bid Form
- AIA Document 305 Contractor's Qualification Statement
- Attachments A, B and C
- Any Additional Information which you feel would be appropriate
- Audited Financial Statement

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

3. The University of Connecticut expressly reserves the following rights:

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User Notes:

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 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.

4. 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 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.

5. 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 pre-qualification process, to the satisfaction of the University, shall constitute grounds for a refusal to pre-qualify the Applicant and/or grounds for the revocation of any pre-qualification.

6. 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.

7. 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.

C. 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 the University.

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

E. 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 the University within those five (5) calendar days) that the University 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. The University shall again consider the matter and may either adhere to or modify its previous decision. The University shall give prompt notice to the Applicant of the action taken.

F. 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 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 the University. The Applicant, by submission of a completed Application, also acknowledges that any information provided to or obtained by the University 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, the University 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 the University, 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. The University 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 the University's experience, if any, with the Applicant on prior or ongoing University of Connecticut projects, and upon the above-stated and following objective criteria:

A. PREVIOUS EXPERIENCE

1. The Applicant must show or be able to demonstrate to the satisfaction of the University 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.

2. The Applicant shall demonstrate to the satisfaction of the University 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.

3. 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.

4. 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.

5. 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.

6. 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.

7. The Applicant shall demonstrate to the satisfaction of the University 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.

B. FINANCIAL ABILITY/BONDING CAPACITY

1. 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 the University, and is able to post surety bonds which may be required by any contract for which it intends to submit a bid.

2. 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.

C. MANAGERIAL ABILITY

1. 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.

2. 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 the University for the proper performance of the work for which it intends to bid.

D. TECHNICAL ABILITY

1. 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.

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

3. 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 the University for the proper performance of the work for which it intends to bid.

E. INTEGRITY

1. The Applicant shall have a record of harmonious, cooperative, non-adversarial and honest relationships with Owners, including the University of Connecticut 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 State projects or other projects.

2. 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.

3. 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.

4. 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.

5. 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.

6. 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 31-76f respectively) during the five calendar years immediately preceding this Application.

7. 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.

8. 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.

9. 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.

10. 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 the University for the proper performance of the work for which

it intends to bid.

F. CONFLICT OF INTEREST

1. The Applicant shall disclose and identify to the University, 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 University 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 the University, which shall determine whether an impermissible conflict exists.

1.05 PRE-QUALIFIED BIDDERS LIST

1. 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.

2. 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 the University and to assure that the plans and specifications are clear and unambiguous.

3. 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.

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

5. The University, 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 the University inviting them to supply specific information updating the Applicant's most recent Application.

6. The University 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 the University 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. 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 of Connecticut will not be responsible for any interpretations or instructions other than those issued in written form.

GENERAL CONTRACTOR'S APPLICATION AND STATEMENT OF QUALIFICATIONS TO BID FORM

TO: Robert W. Murphy
Director of Purchasing
Purchasing Department
University of Connecticut Health Center
263 Farmington Avenue, MC 4036
Farmington, CT 06032-4036
rmurphy@uchc.edu

Gentlemen:

The undersigned hereby applies and consents to the terms and conditions for pre-qualification to bid as a Site Contractor. 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:

Date: _____

(Signature of Official)

(Print Name and Title of Official)

Connecticut Building: License, Registration, or Certification Number

Valid Until: _____ (Date)

(Name of Firm)

(Business Address)

(City, State, Zip Code)

(Telephone Number)

(Fax Number)

(Email/Web Address)

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NAME OF PROJECT (if applicable): 16 Munson Phase II Renovations & Parking Lot Expansion

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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 The State of Connecticut, Dept. of Administrative Services (DAS) Contractor Pre-qualification Program requires all contractors to pre-qualify before they can bid on any construction, alteration, remodeling, repair or demolition of any public building, for work by the state or municipality, estimated to cost more than \$500,000 and which is funded in whole or in part with state funds.

Have you been Pre-qualified by the Connecticut Department of Administrative Services (DAS) Contractor Pre-qualification Program for the classifications listed in the Invitation to Pre-Qualify for this specific project?

 yes no

If yes, attach a copy of each Classification for which you have been Pre-qualified which is relevant to this Application for Pre-qualification for the specific project for which this application is being submitted to the University of Connecticut. If no, then Applicants who have not yet been pre-qualified by DAS, shall have up until noon the day before the receipt of proposals, for the specific project for which this Application is being submitted to the University, to become pre-qualified by DAS, or forfeit their right to offer a Proposal.

...

It is mandatory that the 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.

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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 the work for which you have served under contract for 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

...

3.2.1.1 Within the past 5 years has your firm or any part of your firm; any owner, or partial owner of your firm; or any other person in any way associated with or employed by your firm 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? If so, include an explanation of any previous debarment and copies of any notice of reinstatement.

3.2.1.2 State whether within the past 5 years you have been defaulted, terminated, or have had any liquidated damages or other contractual penalties for failure to timely or properly perform a contract assessed against you and indicate the current status of any litigation involving those transactions.

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.

3.2.1.3 Please indicate either yes or no to the following questions. You may attach a separate sheet to explain any yes answers. For any yes answer in response to the following questions please identify the offense, along with the location of the court or tribunal administering the matter, and the docket or proceeding number of the matter.

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 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

3.2.1.3.2 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

3.2.1.3.3 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

3.2.1.3.4 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

3.2.1.3.5 within the previous 5 years compiled a record of failure to perform or of unsatisfactory performance in accordance with the terms of one or more contracts, unless such failure to perform or unsatisfactory performance was caused by acts beyond your control?

_____ yes _____ no

3.2.1.3.6 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

§ 3.2.2 Are there any civil or criminal judgments, claims, arbitration proceedings or suits pending or outstanding against your organization or its officers?

3.2.2.1 Where applicable, list all litigation or arbitration proceedings including out of court settlements initiated by or against you within the past five (5) years including all pending cases. List the name of the project, the project location and the court or arbitration number and location. Briefly describe, use a separate sheet if necessary, the circumstances and disposition of each case. Specifically identify and provide details of each instance of claims or legal proceedings by or against a public or private Owner. Please note that generalized responses such as "litigation arising in the ordinary course of doing business" are not acceptable.

3.2.2.2 List any OSHA citations within the past five (5) years under present business name or any past business name. Have you been cited for three or more willful or serious violations of OSHA, or of any standard, order or regulations promulgated pursuant to such Act 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; and which citation has not been set aside following appeal to the appropriate agency or court having jurisdiction? Additionally list any criminal convictions related to the injury or death of any employee.

3.2.2.3 Have you 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?

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 any instances within the previous five years in which you or any entity in which you have an interest, has appeared on a list published by the State of Connecticut Labor Department of persons or firms who the Labor Department has found you to have disregarded or violated your 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. Describe in detail 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.

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 to, or any investigation or inquiry has been conducted by, the State of Connecticut Department of Labor regarding any alleged non-compliance by you or by any subcontractors on your 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 calendar years immediately preceding this Application. Describe in detail 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 complain or violation.

3.2.2.4.2 If in the event that there were such instances as described in your response, you are further required to provide with your Application 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 as noted above.

3.2.2.5 State whether you have ever 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 you. If so, provide the date(s), details, disposition and docket number(s) for each such instance.

3.2.2.6 Are there any criminal charges, indictments or civil enforcement actions currently pending against you or your principals involving any of the offenses or violations referred to in 3.2.1.3 above? If so identify the offense(s), court docket number and status of proceeding(s).

3.2.2.7 Have you ever 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? If so indicate the nature, date and circumstances of any such violation.

3.2.2.8 Have you ever been cited for or been the subject of a civil or criminal court proceeding alleging that you have 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?

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 Connecticut office and indicate whether it constitutes your home office, branch office, one of your principal places of business or otherwise, and state the number of years you have maintained an office in Connecticut.

3.2.2.10 Please state the percentages of your current work and the dollar value which is being performed in Connecticut.

2006	%	\$
2005	%	\$
2004	%	\$
2003	%	\$

3.2.2.11 Please indicate the State in which you are incorporated and if it is not Connecticut indicate whether you are currently authorized to do business in Connecticut, as well as the date of such authorization was obtained.

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3.2.3.1 List all bid or proposal protests you have engaged in over the past five years and the results of each instance by date, owner, architect, engineer, consultant, project and court or administrative docket number and location as applicable.

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§ 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.

...

3.4.2 In addition to your current projects, also 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. Record this information on copies of Attachment B included at the end of this document.

3.4.3 Indicate the capacity in which you are or expect to be performing work; i.e. general contractor, construction manager at risk, construction manager for fee, sub/trade contractor, joint venture partner, design/builder, part of a design/build team, etc. Also, if you are not or do not expect to perform the entire project, specify the dollar value of work you did or will perform. Lines 6 & 7 of Attachments A, B & C.

§ 3.5 On a separate sheet, list the major projects your organization has completed in the past five years, giving the name of project, owner, architect, contract amount, date of completion and percentage of the cost of the work performed with your own forces. Record this information on copies of Attachment C included at the end of this document.

...

3.5.2 Indicate the capacity in which you performed work; i.e. general contractor, construction manager at risk, construction manager for fee, sub/trade contractor, joint venture partner, design/builder, part of a design/build team, etc. Also, if you are not or do not expect to perform the entire project, specify the dollar value of work you did or will perform. Lines 6 & 7 of Attachments A, B & C.

3.5.3 Additionally provide a list and description of projects for which you served under contract as the prime contractor. Choose projects which you feel are most representative of the project(s) for which this Application is made. Record this information on copies of Attachment A, included at the end of this document. All information requested in Attachment A must be provided for each project.

§ 3.6 On a separate sheet, list the construction experience and present commitments of the key individuals of your organization. Additionally list the personnel, together with their qualifications and resumes, of whom would most likely be assigned to the project team for this project, including but not limited to the Project Executive, Site Manager, Project Manager(s), Safety Engineer, support staff, either located at the University or your home office or both for administrative, accounting, estimating etc. State the specific anticipated involvement of each individual in the 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, in order to assure that the construction complies throughout with the requirements of the Contract Documents and complies with all applicable Building and Fire/Safety Code requirements. Your response should include, but not be limited to, a description of any and all inspection and testing procedures and activities, the various steps and procedures and methods used in the QA/QC/CC process, the nature and qualifications of the internal team and/or organizations and process are being followed from the planning, through construction, and through any applicable warranty or post construction period, the methods used to report on inspections and observations such as, Quality Control reports, the methods to report to the Owner and to address and correct instances of contract and code non-compliance and construction and/or design defects and deficiencies, and whether your firm's QA/QC/CC program and procedures are in writing.

Please further state whether on the project or projects for which this application for prequalification is being submitted you intend to use the QA/QC/CC program and procedures described in response to the foregoing. If no, describe any differences.

Every applicant is expected to have in place a QA/QC/CC program and procedures and to describe them in detail in response to this question. You may use a separate sheet identifying the response as being to Question 3.7 if necessary. If your firm's programs and procedures are in writing, such as in the form of a manual, you should additionally attach a copy of same in response to Item 5.9 of this Application, whereby miscellaneous materials are permitted to be attached.

Have you attached the requested materials?

___ yes ___ no If No, please explain.

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§ 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.

4.1.1 Provide a list of references who can attest to having a record of harmonious relations with your firm. The list should include subcontractors, State and/or Municipal project administrators and any other projects which demonstrate harmonious relationships to the satisfaction of the University. Prompt payment to

subcontractors is one factor to be considered by the University in evaluating relations with subcontractors and suppliers.

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 Connecticut license, registration or certificate number, if a joint venture provide for each joint venture partner, for threshold building construction or if for a demolition project the Class A demolition license number.

	Contractor	Joint Venture Partner(s)
	<u>Contractor</u>	<u>Joint Venture Partner(s)</u>
<u>General Contracting</u>		
<u>Demolition</u>		

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4.2.1 Has your firm or any part of your firm, affiliate, subsidiary, parent or predecessor, any owner, partial owner, or principal of your firm, or any officer or managerial or supervisory employee of your firm ever been involved in any bankruptcy proceedings?

Chapter 11: yes no
Chapter 7: yes no

4.2.2 Provide the court location, caption and docket number of any such bankruptcy proceedings as well as a statement explaining the circumstances resulting in the filing. Please note that the institution of bankruptcy proceedings in and of itself shall not be considered as grounds for non-qualification.

...

4.3.3 What is the most current rating the A.M. Best Company has assigned your bonding company?

4.3.4 Total bonding capacity as of the first working day of this month, state in dollars, not as a range:

_____ \$ _____

4.3.4.1 Total bonding committed as of the first working day of this month, state in dollars not as a range:

_____ \$ _____

4.3.4.2 Maximum bonding permitted 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 Certificate of Authority as an acceptable Surety and/or Reinsuring Company acceptable to the US Department of Treasury?

_____ yes _____ 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

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.

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§ 5.1.1 Attach a financial statement, preferably audited, including your organization's latest balance sheet and income statement showing the following items:

Current Assets (e.g., cash, joint venture accounts, accounts receivable, notes receivable, accrued income, deposits, materials inventory and prepaid expenses); 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 for consideration and should be no older than 6 months as of the date of the application.
- If an Audited statement is 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 Statements are not available, you are required to disclose any litigation that may result in a material adjustment to the financial statements. This detailed documentation must be included in your Prequalification Application at the time of submission to the Purchasing Department.

...

Other Liabilities (e.g., capital, capital stock, authorized and outstanding shares par values, earned surplus and retained earnings).

Attach an Audited Financial Statement. If the Applicant is a Joint Venture, attach the required financial statement for each Joint Venture Partner. To be considered responsive, the audited statement shall contain, as a minimum, all Notes to the Financial Statement, Audited Balance Sheet, Audited Statements of Income and Retained Earnings, Audited Statements of Cash Flow, as well as the Statement of Auditors Opinion. In addition to your most recent Audited Financial Statement, if the end date of your fiscal year covered by the statement is three (3) or more months old, you must provide current financial documentation demonstrating that your present financial position has remained the same, or showing and identifying any changes in any way, in relation to the audited financial statement you are submitting with this Application. Please note: Failure or neglect to submit an Audited Financial Statement will result in the non-consideration of your firm. The submission of any other documents intended to take the place of an Audited Financial Statement will result in the non-consideration of your firm.

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yes 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, Capital Project and Contract Administration, or any other University organization or department; or any architect, consultant, engineer or designer of the proposed project for the purpose of determining whether a conflict of interest exists.

Applicant has no conflict of interest
Applicant has a potential conflict of interest and herewith has attached a full disclosure of said potential conflict of interest.

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, or by any other State of Connecticut Agency or Department, regarding any alleged non-compliance by you, or anyone employed by you or acting in your 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. 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.

5.4 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.

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 Connecticut Workers Compensation Insurance Certificate. Also please provide your National Council on Compensation Insurance (NCCI) Experience Modification Sheet and state here your Workers Compensation Experience Modification:

5.6 Attach a sample copy of your General Liability Certificate

5.7 Attach a sample copy of your Automobile Liability Certificate

5.8 Have you ever performed work on a project on which an Owner Controlled Insurance Program (O.C.I.P.), also known as "wrap" insurance program was in effect?

_____ yes _____ 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.

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Subscribed and sworn before me this _____ day of _____ 2020

Certification of Document's Authenticity

AIA® Document D401™ – 2003

I, Thomas P. Trutter, hereby certify, to the best of my knowledge, information and belief, that I created the attached final document simultaneously with its associated Additions and Deletions Report and this certification at 14:49:51 on 04/16/2007 under Order No. 1000289415_1 from AIA Contract Documents software and that in preparing the attached final document I made no changes to the original text of AIA® Document A305™ – 1986 - Contractor's Qualification Statement, as published by the AIA in its software, other than those additions and deletions shown in the associated Additions and Deletions Report.

(Signed)

(Title)

(Dated)

ATTACHMENT A

PROJECTS BEST PORTRAYING YOUR QUALIFICATIONS
FOR THIS APPLICATION'S PROJECT**NO SUBSTITUTION OF FORMAT**

Project Information Sheet

1.	Project Name:	
2.	Project Location:	
3.	Project Owner:	
4.	Project Architect:	
5.	Project Engineer(s):	
	Civil:	
	Structural:	
	Mechanical:	
	Electrical:	
6.	Project role (refer to paragraph 3.4.3):	
7.	Percentage of work performed by Own forces:	
	If less than 100%, indicate dollar value performed:	
8.	Contract Dates: Date of Notice to Proceed:	
	Date of Substantial Completion:	
9.	Contract Times: Original Contract Time:	
	Final Contract Time:	
10.	Contract Cost: Original Contract Cost:	
	Final Contract Cost:	
11.	Owner Reference:	
	Name:	
	Telephone:	
12.	Architect Reference:	
	Name:	
	Telephone:	
13.	Engineer References:	
	Civil:	

	Name:	
	Telephone:	
	Structural:	
	Name:	
	Telephone:	
	Mechanical:	
	Name:	
	Telephone:	
	Electrical:	
	Name:	
	Telephone:	
	14.	Major Subcontractor References (if a trade is not used on this project enter N/A):
	Masonry:	
	Name:	
	Telephone:	
	Electrical:	
	Name:	
	Telephone:	
	Mechanical:	
	Name:	
	Telephone:	
	HVAC:	
	Name:	
	Telephone:	
	Plumbing:	
	Name:	
	Telephone:	
	Fire Proofing:	
	Name:	
	Telephone:	
	Roofing:	
	Name:	
Telephone:		

	Audio Visual:	
	Name:	
	Telephone:	
	Other:	
	Name:	
	Telephone:	
15.	Major Supplier Reference:	
	Name, Address, Telephone, Contact Person, Estimated Annual Expenditures:	
16.	Briefly describe the project. Indicate comparisons between the work of the above project with the work for which this application is submitted:	
17.	If the "Final Contract Time" stated above is in excess of 45 days of the "Original Contract Time", please provide a brief explanation:	
18.	If the "Final Contract Cost" exceeds the "Original Contract Cost" by more than 3%, please provide a brief explanation:	
19.	List the key personnel in your firm who were assigned to the project (principal in charge, project manager, field superintendent, field office manager, field engineer, etc.) who had direct responsibility for the day-to-day management of this project and state whether or not each of these people are still employed by your firm:	
20.	Were you required to furnish a Labor and Material Payment Bond for this project?	
	Were you required to furnish a Performance Bond for this project?	
21.	What percentage of the work for this project was performed with your own forces as opposed to subcontracted work? If less than 60%, please briefly explain the circumstance:	

ATTACHMENT B

CURRENT PROJECTS AND WHERE NOTED
PROJECTS YOU ANTICIPATE BEING AWARDED

SUBSTITUTION OF FORMAT PERMITTED

Project Information Sheet

1.	Project Name:	
2.	Project Location:	
3.	Project Owner:	
4.	Project Architect:	
5.	Project Engineer(s):	
	Civil:	
	Structural:	
	Mechanical:	
	Electrical:	
6.	Project role (refer to paragraph 3.4.3):	
7.	Percentage of work performed by Own forces:	
	If less than 100%, indicate dollar value performed:	
8.	Contract Dates: Date of Notice to Proceed:	
	Date of Substantial Completion:	
9.	Contract Times: Original Contract Time:	
	Final Contract Time:	
10.	Contract Cost: Original Contract Cost:	
	Final Contract Cost:	
11.	Owner Reference:	
	Name:	
	Telephone:	
12.	Architect Reference:	
	Name:	
	Telephone:	
13.	Engineer References:	
	Civil:	

	Name:	
	Telephone:	
	Structural:	
	Name:	
	Telephone:	
	Mechanical:	
	Name:	
	Telephone:	
	Electrical:	
	Name:	
	Telephone:	

ATTACHMENT C

ALL PAST PROJECTS

SIMPLIFIED SUBSTITUTION OF FORMAT PERMITTED

Project Information Sheet

1.	Project Name:	
2.	Project Location:	
3.	Project Owner:	
4.	Project Architect:	
5.	Project Engineer(s):	
	Civil:	
	Structural:	
	Mechanical:	
	Electrical:	
6.	Project role (refer to paragraph 3.4.3):	
7.	Percentage of work performed by Own forces:	
	If less than 100%, indicate dollar value performed:	
8.	Contract Dates: Date of Notice to Proceed:	
	Date of Substantial Completion:	
9.	Contract Times: Original Contract Time:	
	Final Contract Time:	
10.	Contract Cost: Original Contract Cost:	
	Final Contract Cost:	
11.	Owner Reference:	
	Name:	
	Telephone:	
12.	Architect Reference:	
	Name:	
	Telephone:	
13.	Engineer References:	
	Civil:	

	Name:	
	Telephone:	
	Structural:	
	Name:	
	Telephone:	
	Mechanical:	
	Name:	
	Telephone:	
	Electrical:	
	Name:	
	Telephone:	