



INVITATION TO CONSTRUCTION MANAGERS AT RISK TO PREQUALIFY TO OFFER PROPOSALS

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

**MAIN BUILDING RENOVATION PROJECT 2
PROJECT NUMBER: 901772
UCONN HEALTH**

Completed Applications will be accepted until **2:00 PM, October 30, 2014**. Applications received after the time and date specified shall be returned unopened.

Prequalification Applications shall be submitted on forms and in the manner specified. The appropriate Prequalification Application for this project must be retrieved by accessing the following web link: http://www.cpcu.uconn.edu/profserv/profserv_currentops.html
Click on the project number: 901772 for this information.

Applicants must provide a copy of their current approved prequalified status by the State of Connecticut Department of Administrative Services, (DAS), with their Application as a prequalified Construction Manager At Risk, Classification Group "C". This certificate must be included in your application as of the application due date of **October 30, 2014**.

Only Construction Managers at Risk prequalified by both the DAS, for the Classification of Construction Manager at Risk Classification Group "C" and by the University for this specific project, will be invited to submit Proposals in response to the University's Request for Proposal process (RFP) for this project.

Construction Managers are advised that the goal for SBE participation is thirty percent (30%) or more of the values of their awarded contracts; and ten percent (10%) or more must be awarded to SBE's who are also MBE's. The Construction Managers are responsible for ensuring that the SBE's they have selected are eligible subcontractors, and that they meet State requirements.

Project Delivery:

The Owner intends to utilize a Construction Manager at Risk contract format with a Guaranteed Maximum Price, (GMP), with separately negotiated pre-construction services. The selection process will include, but not be limited to, a firm's proven performance to manage projects of similar scope, size and complexity and deliver it on time and within budget. Due to the nature of the proposed project, the CM's experience should include examples of successful projects which required similar types of construction as described below producing superior quality within time and pricing constraints.

The Management team and its key staff members to be assigned to the project are expected to be of the highest caliber, possess technical excellence and share the University's utmost concern with planning and maintaining schedule compliance. After prequalification, each prequalified firm will be asked to respond to a Request for Proposal, (RFP), by providing information relative to such items as project staffing, schedule compliance, project controls, construction plan, fee for construction management services, general conditions costs and fee for pre-construction services, including producing estimates based on the proposed design. A combination of technical qualifications, an interview process, and fees will be considered in the final selection process. The GMP will be established prior to the start of construction in accordance with State Statute and University Policies and Procedures.

Project Description:

UCONN HEALTH (UCH) of Farmington, CT, intends to renovate a portion of the Main Research Building (L Building) located on the main campus. The L Building is a 13 floor, 477,000 gsf structure that was built in 1972. The majority of the building is research laboratory facilities with some offices and administrative areas. The facility infrastructure is the original construction and is in need of major renovations to bring it in line with current standards for research facilities.

UCH developed a Master Plan for the renovation of L Building in 2010. The first phase of the master plan; renovating half of the research laboratories on floors 1 through 7 (Project 1), is currently under construction. UCH is implementing the next phase (Project 2) of the Master Plan; to renovate the remaining research laboratory space located on floors 1 thru 7 (approximately 138,000 gsf) as well as replace the MEP infrastructure serving those areas. The current renovation plan would create flexible, efficient wet lab spaces as well as space to support the trend towards higher utilization of electronic technology within labs similar to the spaces created within Project 1, along with the replacement of the outdated lighting, power, heating, ventilating, and air conditioning systems serving the areas. The renovated space will contain offices, wet & dry lab research and associated support spaces.

UCH currently anticipates the renovation of the L Building will focus on the phased replacement of the buildings main HVAC systems as well as the renovation of approximately 138,000 gsf of space on the 1st thru 7th floor into state-of-the-art research laboratory space. The laboratory renovations would be phased based upon the HVAC zones serving the area, similar to the renovation strategy developed in project #1. Spaces adjacent to the areas under construction will be occupied. Coordination of construction activities and the removal and replacement of MEP systems to avoid disruption of adjacent occupied areas will be crucial to the success of this project.

The successful CM will be required to engage with the Architect and UCH in developing renovation strategies that analyze the amount of main MEP systems replacement that can occur along with the actual renovation of laboratory space within the limited construction budget.

The construction budget for this project is \$40,000,000.

The design firm, Stantec, has been retained to provide design services for this project. Currently the design team is in the programming/planning phase and has started Schematic Design. The anticipated completion of Construction Documents is scheduled for September 2015.

The project will be constructed in three phases with an anticipated construction start date of November 2015 and a construction duration of approximately 30 months.

The University of Connecticut will seek a LEED Silver rating for this project.

Construction Manager Qualifications:

To be considered Prequalified, in addition to the DAS requirements noted above, the firm must demonstrate proven performance to manage projects of similar scope, size, duration, dollar value and complexity and deliver them on time and within budget as a Construction Manager at Risk as outlined below. In addition, the firm shall propose a Management team for Preconstruction and Construction that would be assigned to this project. The firm must demonstrate the individual team members' experience on past relevant projects in similar roles as outlined below.

The criteria for Prequalification for the Main Building Renovation Project 2 include, but are not limited to, the following:

1. **Relevant Experience:** The Firm must demonstrate experience acting as a Construction Manager at Risk (including Pre-Construction) on recent comparable projects in progress (must be 75% or more complete) or completed preferably within the past 7 years. Specifically provide at least 3 examples acting as a "CM at Risk" on projects with a cost range of \$20,000,000 and above that meet the following criteria:
 - a. Experience completing construction of similar laboratory or complex medical renovation projects involving the replacement of major MEP systems, laboratory systems and performing construction activities within occupied areas with minimal disruption.
 - b. Experience with the preparation and implementation of detailed phasing and logistics plans within occupied buildings involving the renovation of laboratory facilities or complex medical facilities, and experience with major HVAC renovations is required.
 - c. Experience completing projects that have attained LEED Silver or higher rating.

Provide project information as required including but not limited to: original contract cost, final contract cost, original contract duration schedule, originally required substantial completion date, actual substantial completion date, and detailed description of work and roles of personnel assigned. Provide detailed information on the Pre-Construction services provided by your firm for each example submitted including the estimated GMP budget and the actual GMP award to your firm. Failure to provide accurate required information may lead to rejection of application.

2. The CM must demonstrate the ability to staff the project with high quality, experienced management personnel. The CM must identify a Management team for this project and must provide resumes of Team members showing a minimum of ten to fifteen (10-15) years' experience performing work of a similar scope and nature to this project and in a comparable position as assigned on this project during the construction period.
3. The CM must demonstrate the financial ability and bonding capacity to perform the work. For this project, a bonding capacity of \$40,000,000 will be required.
4. The CM must demonstrate successful implementation as a CM at Risk, on projects of similar size and complexity, of a comprehensive process for the pre-qualification of subcontractors, and must demonstrate successful compliance with affirmative action

and non-discrimination statutes on public projects.

5. The CM must demonstrate successfully completed projects constructed under public procurement statutes and processes similar in nature to those applicable to and implemented on State of Connecticut and University of Connecticut construction projects.
6. The CM shall have also demonstrated the ability to work safely and in harmonious, non-adversarial relationships with the owner and his agents to achieve successful completion of their project.

Applicants should note that the Contract to be issued for this Project will be based upon the standard form of Construction Manager at Risk Contract which has been developed by the University for its projects, and that the University will not solicit, consider or accept any requests for changes or modifications to that Contract from the Construction Manager, and will expect the Construction Manager to execute the Contract as issued by the University.

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

Mary Kate Sullivan
Purchasing Agent II
Capital Projects and Contract Administration

GENERAL REQUIREMENTS

1.01 PREQUALIFICATION PROCEDURES AND REQUIREMENTS:

A. Submit one (1) original and five (5) copies and one (1) electronic disc of the completed and signed Application to the University of Connecticut. You must clearly identify which is your original application. Please include two (2) copies of your firm's financial statement under Tab 10 with your original application only. Include Interim Financials if required. Review the Financial Requirements section for this information. The applications shall be submitted in a sealed package with the Project Name and Project Number identified on the package. Applications received after the due date shall not receive consideration and shall be returned to sender unopened.

Prequalification Application Due Date:
Application Due Time:

Thursday, October 30, 2014
2:00 p.m. EST

The applications shall be submitted and addressed to:

Mary Kate Sullivan, Purchasing Agent II
University of Connecticut
Capital Projects & Contract Administration
3 North Hillside Road, Unit 6047
Storrs, Connecticut 06269-6047

All questions pertaining to the information/documents asked for in the application must be received by 2:00 PM on Wednesday, October 15, 2014. Questions must be in writing. Questions must be emailed to the attention of Mary Kate Sullivan at mary_kate.sullivan@uconn.edu and must reference "RFI for Project 901772" in the subject line. The University of Connecticut shall render any interpretations or clarifications in a form and manner which 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. No phone calls will be accepted.

B. Insert all required information as specified. A firm that does not submit any required information must insert a brief statement in its place in the appropriate Tab of the Application explaining why it was not used in the submittal.

The University of Connecticut expressly reserves the following rights:

C. 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 of Connecticut.

D. 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.

E. 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.

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

G. Reconsideration: In the event that an Applicant is not found to be pre-qualified, it may, within three (3) business 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 three (3) business days) that the University reconsider its

Application. No request 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.

H. 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, 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.

1.02 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:

PREVIOUS EXPERIENCE

A. 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.

B. 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 10-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.

C. 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.

D. 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.

E. The Applicant shall demonstrate that it is prequalified by the Department of Administrative Services (DAS) for the specified classification required in the Invitation to Pre-Qualify.

FINANCIAL ABILITY/BONDING CAPACITY

A. 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.

B. 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. Financial Requirements for Firm's Submitting Applications for Pre-Qualification with The University of Connecticut are as follows:

C1. Projects \geq (Greater Than or Equal To) \$10,000,000: Most recent Audited Financial Statements are required, which must include the Independent Auditors Report; Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Financial Statements. These statements must be within fifteen (15) months as of the October 30, 2014 due date of the application and if they are older than six (6) months of the October 30, 2014 due date of the application you must supply Interim Financial Statements including Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Interim Financial Statements, if any. These statements must be provided for consideration and should be no older than 6 months as of the October 30, 2014 due date of the application.

C2. If Notes to the Financial Statements are not available or inadequate disclosure is provided: When submitting a compilation, if notes are not available, you are required to disclose the following. This detailed documentation, including the amount and description, must be included in your Pre-Qualification Application at the time of submission to the Office of Capital Projects and Contract Administration.

1. Litigation that may result in a material adjustment to the financial statements.
2. Other liabilities or contingencies not recorded in the financial statement.
3. Financial commitments not recorded in the financial statements
4. Related parties including:
 - Activities between a parent and its subsidiaries.
 - Activities between affiliates of the same parent company.
 - Joint ventures.
 - Relationships between the company and its major owners, management, or their immediate families.
 - Company and employee trusts established & managed by the company, such as a profit sharing / pension plan.

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

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

MANAGERIAL ABILITY

A. 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.

B. 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.

C The Contractor shall demonstrate, through the information submitted in its Qualification Statement, that they have a Quality Assurance/Quality Control Plan that possesses the managerial commitment necessary for and satisfactory to the University for the proper performance of the work for which it intends to bid.

D. The Contractor shall demonstrate, through the information submitted , that they have their own Health and Safety Plan that possesses the managerial commitment necessary for and satisfactory to the University for the proper performance of the work for which it intends to bid.

E. If the Contractor's workers compensation experience modification rating is in excess of 1.00, the Contractor shall demonstrate to the satisfaction of the University with their submission, a letter detailing the reasons why your rating is in excess and what managerial commitment your firm is taking to reduce its rating as necessary for and satisfactory to the University for the proper performance of the work for which it intends to bid.

TECHNICAL ABILITY

A. 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.

INTEGRITY

A. 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.

B. 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.

C. 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.

D. The Applicant shall not have appeared on any list published by the Connecticut State Labor Commission 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.

E. 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 Statute's Section 31-53a(a) of persons or firms whom he or she has found to have disregarded their obligations under Connecticut General Statute's Sections. 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.

F. 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 Statute's Sections 31-52 through 31-57i and 31-58 through 31-76m respectively) during the five calendar years immediately preceding this Application.

G. The Applicant shall demonstrate that it has a satisfactory record of compliance with Connecticut General Statute's Sections 1-79 through 1-101, pertaining to Codes of Ethics for Public Officials and Lobbyists, including but not limited to Section 1-84, listing prohibited activities including the giving of "gifts", as defined therein, to public officials and employees during the five years immediately preceding this Application.

H. 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.

I. 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 Statute's Section 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.

CONFLICT OF INTEREST

A. 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.

B. The University also reserves the right to find any Contractor to be non-responsible or non-qualified with respect to a specific project, notwithstanding the fact that it may have previously been selected for previous projects for the University.

INSTRUCTIONS FOR CONSTRUCTION MANAGER'S APPLICATION AND STATEMENT OF QUALIFICATION:

Insert all required information as specified for the cover page and each Tab for each of the six (6) CMR Prequalification Applications. Address each Tab by number. A firm that does not submit any required information must insert a brief statement in its place in the appropriate Tab of the Application explaining why it was not used.

If the Applicant is a Joint Venture identify the nature and percentage of the work of this project for which each joint venture partner will be primarily responsible. All information asked for must be responded to by each firm represented in the joint venture.

Your CMR Prequalification Application should be arranged in the following order:

Cover Page:

Provide a cover page reflecting the project name and project number for which you are applying. Also identify the name of the firm(s) submitting the application.

Tab 1 - Table of Contents:

Insert one (1) copy of your Table of Contents containing the eleven (11) Tabs in the specified order behind this Tab 1 for each of the six (6) CMR Prequalification Applications.

Tab 2 – Letter of Interest

Provide a Letter of Interest explaining how your Firm and Proposed Team possess the CMR qualifications and past performance to be selected for this specific project. If you are submitting as a Joint Venture, the letter should be authored by both parties and signed by authorized agents of the two parties.

Tab 3 – Construction Manager at Risk Prequalification Screening Questionnaire (Use Attachment A) No substitution of format is allowed.

Tab 4 – Project Relevant Qualifications of the Proposed Team and Firm (Use Attachment B) No substitution of format is allowed.

Tab 5 – Litigation/Arbitration Record: Identify 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. Describe 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. Also provide all details explaining the subject matter of any “yes” responses to any of the questions referenced under Section 3 “Claims & Suits and Compliance Record.”

Tab 6 – OSHA: Identify any OSHA citations within the past five (5) years under present business name or any past business name. Additionally list any criminal convictions related to the injury or death of any employee. (Connecticut General Statute 31-57b)

Tab 7 – QA / QC: A copy of your firm’s 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. If the document is more than 25 pages, provide a copy of the cover sheet and table of contents within the application and also provide the full document on electronic media.

Tab 8 – Health and Safety Plans: A copy of your firm’s Health and Safety Plan which demonstrates your managerial commitment to the performance of the contract. If the document is more than 25 pages, provide a copy of the cover sheet and table of contents within the application and also provide the full document on electronic media.

Tab 9 – Miscellaneous: Provide a copy of the following documents:

1. A recent letter from the Connecticut Department of Revenue Services that your firm is currently in good standing as a corporation if applicable. This letter must be dated within the past three (3) months.
2. Copy of your firm’s current Prequalification Certificate for the Classification of Construction Manager at Risk Classification Group “C” issued by the State of Connecticut Department of Administration Services.
3. Copies of your company’s licenses, registrations, and/or certifications from the State of Connecticut.

4. Attach a sample copy of your Connecticut Workers Compensation Insurance Certificate. Also please provide your National Council on Compensation Insurance (NCCI) Experience Modification Sheet. If the Contractor's workers compensation experience modification rating is in excess of 1.00, the Contractor shall demonstrate to the satisfaction of the University with their submission, a letter detailing the reasons why your rating is in excess and what managerial commitment your firm is taking to reduce its rating as necessary for and satisfactory to the University for the proper performance of the work for which it intends to bid.
5. Potential Conflicts of Interests.
6. The Applicant shall read the attached University Code of Conduct, understand, and attest to operating and maintaining business commitments to this Code of Conduct. This Code of Conduct is part of the prequalification documents and as a part of the prequalification, the Applicant will return the signed form as acknowledgement.

Tab 10- Financials: Provide a copy of the following documents:

1. Include two (2) copies of your firm's audited financial statement along with any applicable interim financial statement under Tab 10 with your marked "original" application only. These statements cannot be older than 15 months as of the October 30, 2014 due date of the application. In addition you must supply Interim Financial Statements including Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Interim Financial Statements, if any. These statements must be provided for consideration and should be no older than 6 months as of the October 30, 2014 due date of the application.
2. Provide a listing of all commitments under contract. Provide the name of the project, owner name, point of contact name and phone number, original contract value, current contract value, is the contract under P&P bonds, percentage complete on the project, contract role (DB, CMR, CMA, GC) your anticipated completion of current bonded work to indicate when additional capacity will be available.
3. Provide a letter from your Bonding Company or its representative confirming bonding limits and if they ever had to complete or finance work on your behalf.
4. Where applicable, detail 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 with the Construction Manager or other construction businesses. If there are none, please provide a statement to that effect.
5. Where applicable, if company listed on the financial statement provided is not the applicant, provide statement from the company providing the financial statement that they will be the guarantor of the contract.
6. Where applicable, provide a copy of the executed Joint Venture Agreement specific to this project and application.

Tab 11 –Compliance Record:

1. Identify any instances in which the Connecticut Commission of Human Rights and Opportunities ("CHRO"), pursuant to C.G.S. Section 46a-56 or any regulation, or a comparable agency of any other state pursuant to a statute or regulation of that state, has issued to the Applicant any order as a result of non-compliance with statutory affirmative action or non-discrimination requirements. Identify any instances in which the Applicant has been listed in any listing compiled by the CHRO or any other state's commission, agency or department, of contractors found not to be in compliance with affirmative action or non-discrimination statutes. Identify all currently unabated or unexpired Notices of Non-Compliance issued by the CHRO or any similar commission, agency or department of another state. Provide a detailed description of the circumstances, status and disposition of each instance identified in response to the above.
2. Identify any instances within the previous five years in which the Applicant or any entity in which

the Applicant has an interest, has appeared on a list published by the State of Connecticut Labor Department of persons or firms which the Labor Department has found to have disregarded or violated its 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 the Applicant has been barred from Federal government contracts in accordance with the provisions of the Davis Bacon Act, 40 U.S.C. 276a-2.

3. Identify any instances 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 the Applicant of any provision of Part III of Chapter 557 (CT General Statutes Sections 31-52 through 31-57i, prevailing wage and other requirements) and Chapter 558 (Connecticut General Statutes Sections 31-58 through 31-76m, minimum wage, overtime and other requirements) during the past five calendar years.

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. Describe the policies and procedures that the Applicant would implement on this project to ensure that it and its subcontractors will remain in compliance with the statutory requirements for wage rates and payment of wages as noted above.

4. 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.

TAB 3: Attachment A

Construction Manager at Risk Prequalification Screening Questionnaire

Project Name: Main Building Renovation Project 2

Project Number: 901772

Submit two Attachment A's, one for each firm, if you are submitting as a Joint Venture

General Information

Application Submitted By: _____

Name of Company: _____

Street Address: _____

City/State/Zip: _____

Headquarters

Branch Office

Corporation

Partnership

Sole Proprietorship

LLC

Joint Venture

Phone: _____

Email of Contact Person: _____

Section 1. Company Information

1.1 Name of President/General Partners/Owner:

1.1.1 List of Corporate Officers, Partners, Proprietors, & Members of your Organization:

1.2 Parent Company:

1.3 Year Current Company Name was Started: _____

1.3.1 State of Incorporation: _____ Date of Incorporation: _____

1.4 Other names your Company has operated under:

1.5 List any Subsidiaries and Affiliates of your Company:

1.6 Contractor's Licensing: 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. If more than a few, provide complete list in Tab 9.

License Number: _____ State: _____ Expiration Date: _____

License Number: _____ State: _____ Expiration Date: _____

License Number: _____ State: _____ Expiration Date: _____

Section 2. Litigation/Arbitration/ Record

If the answer is “yes” to any of the following questions, on a separate sheet, state the details and outcome of the claim, conviction, plea, citation, protest, decision or record and provide in Tab 5.

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:

2.1 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? **YES / NO**

2.2 State whether within the past 5 years you have been defaulted, terminated, or have had any liquidated damages or other contractual penalties for failures to timely or properly perform a contract assessed against you and indicate the current status of any litigation involving those transactions. **YES / NO**

2.3 State whether within the past 5 years you have been declared to be a non-responsible bidder or proposer on any public work project? **YES / NO**

2.4 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? (Connecticut General Statute 31-57c) **YES / NO**

2.5 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? (Connecticut General Statute 31-57c) **YES / NO**

2.6 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? (Connecticut General Statute 31-57c) **YES / NO**

2.7 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**

2.8 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**

2.9 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**

2.10 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? (Connecticut General Statute 31-57a) **YES / NO**

If the answer to the preceding question is "yes" state the date of publication of such list by the Connecticut State Labor Department.

2.11 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? **YES / NO**

2.12 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? **YES / NO**

2.13 Has your firm engaged in any bid or proposal protests over the past five years? **YES / NO**

2.14 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 during the past 5 years? **YES / NO**

Section 3. Disclosure

3.1 Disclose and identify any relationship and/or potential conflicts of interest which the Applicant may have with Purchasing, Planning 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. **If Applicable Provide Information in Tab 9**

Section 4. Signature

We have attempted to answer all questions in a full and complete manner to assure that our answers are not in any respect misleading either by expressing ourselves in a misleading or ambiguous manner or omitting information. We recognize that the University will be relying on the accuracy of the information and our responses in this questionnaire in deciding whether to permit us to bid and in awarding work to our Company.

Dated at _____ this _____ day of Two Thousand and _____ (_____)

Name of Company: _____

Completed by: _____
(Must be an Officer of the Company)

Title: _____

Signature: _____

Print Name _____

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

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

Notary Public: _____

My Commission Expires: _____

D. RESUMES OF KEY PERSONNEL PROPOSED FOR THIS PROJECT

(Complete one Section D for each key personnel.)

11. NAME OF PERSON: _____

12. STAFF POSITION FOR THIS PROJECT: _____

13. YEARS EXPERIENCE: TOTAL YEARS: _____ YEARS WITH CURRENT FIRM: _____

14. EDUCATION (<i>DEGREE AND SPECIALIZATION</i>)	15. CURRENT PROFESSIONAL REGISTRATION (<i>STATE AND DISCIPLINE</i>)
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16. OTHER PROFESSIONAL QUALIFICATIONS (*Organizations, Training, Awards, etc.*)

17. PROJECT RELEVANT EXPERIENCE

(1) PROJECT NAME, LOCATION (<i>City and State</i>) and Project Owner	(2) CONTRACT DURATION	
	DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
(3) BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE PERFORMED WITH CURRENT FIRM: Yes / No		
(1) PROJECT NAME, LOCATION (<i>City and State</i>) and Project Owner	(2) CONTRACT DURATION	
	DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
(3) BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE PERFORMED WITH CURRENT FIRM: Yes / No		
(1) PROJECT NAME, LOCATION (<i>City and State</i>) and Project Owner	(2) CONTRACT DURATION	
	DATE OF NOTICE TO PROCEED	DATE OF SUBSTANTIAL COMPLETION
(3) BRIEF DESCRIPTION (<i>Brief scope, size, cost, etc.</i>) AND SPECIFIC ROLE PERFORMED WITH CURRENT FIRM: Yes / No		

E. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROJECT RELEVANT EXPERIENCE OF THE PROPOSED

The Proposed Firm must ideally demonstrate experience acting as a Construction Manager at Risk on at least 3 recent comparable projects in progress (must be 75% or more complete) or completed preferably within the past 7 years.

(Complete one Section E for each Project.)

1. Project Name:
2. Project Location:
3. Project Owner:
4. Project Architect:
5. Project Engineer(s):
Civil
Structural
Mechanical
Electrical
6. Contracted Role: <input type="checkbox"/> CMA <input type="checkbox"/> CMR <input type="checkbox"/> GC <input type="checkbox"/> Subcontractor <input type="checkbox"/> Trade Contractor <input type="checkbox"/> Prime Contractor
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:
If the "Final Contract Time" stated above is in excess of 45 days of the "Original Contract Time", please provide a brief explanation.
10. Contract Cost: Original Contract Cost: \$
Final Contract Cost: \$
If the "Final Contract Cost" exceeds the "Original Contract Cost" By more than 3%, please provide a brief explanation.
11. Owner Reference:
Name:
Telephone:
12. Architect Reference:
Name:
Telephone:
13. Engineer References:
Civil:
Name:
Telephone:
Structural:

VENDOR CODE OF CONDUCT:

The University of Connecticut (“UConn”) has a longstanding commitment to the protection and advancement of socially responsible practices that reflect respect for fundamental human rights and the dignity of all people. UConn strives to promote basic human rights and appropriate labor standards for all people throughout its supply chain. Promoting these values in concrete practice is the central charge of the President’s Committee on Corporate Social Responsibility (<http://csr.uconn.edu/>).

UConn is also committed to building a safe, healthy and sustainable environment through the conservation of natural resources, increasing its use of environmentally responsible products, materials and services (including renewable resources), and preventing pollution and minimizing waste through reduction, reuse and recycling. UConn is proactive about purchasing products that have these environmental attributes or meet recognized environmental standards, when practicable, and buying from entities committed to the support of campus sustainability goals. The University seeks to partner and contract with vendors that demonstrate a similar commitment to these values. Selected vendors may be required to provide a comprehensive summary report of their corporate social and environmental practices.

Principal Expectations. The principal expectations set forth below reflect the minimal standards UConn's vendors are required to meet.

Nondiscrimination. It is expected that vendors will not discriminate in hiring, employment, salary, benefits, advancement, discipline, termination or retirement on the basis of race, color, religion, gender, nationality, ethnicity, alienage, age, disability or marital status, and will comply with all federal nondiscrimination laws and state nondiscrimination laws¹, including Chapter 814c of the Connecticut General Statutes (Human Rights and Opportunities), as applicable, and further will provide equal employment opportunity irrespective of such characteristics, including complying, if applicable, with Federal Executive Order 1124b, and the Rehabilitation Act of 1973.

Freedom of Association and Collective Bargaining. It is expected that vendors will respect their employees’ rights of free association and collective bargaining, including, if applicable, complying with the National Labor Relations Act, and, if applicable, Chapters 561 and 562 of the Connecticut General Statutes (Labor Relations Act, Labor Disputes) and Chapters 67 and 68 of the Connecticut General Statutes (State Personnel Act, Collective Bargaining for State Employees).

Labor Standard Regarding Wages, Hours, Leaves and Child Labor. It is expected that vendors will respect their employees’ rights regarding minimum and prevailing wages, payment of wages, maximum hours and overtime, legally mandated family, child birth and medical leaves, and return to work thereafter, and limitations on child labor, including, if applicable, the

¹ *Wherever this code refers to compliance with federal or state laws, that term includes compliance with any regulations duly promulgated pursuant to such laws.*

rights set forth in the Federal Fair Labor Standards Act, the Federal Family and Medical Leave Act, the Federal Davis-Bacon Act and Chapters 557 and 558 of the Connecticut General Statutes (Employment Regulation, Wages).

Health and Safety. It is expected that vendors will provide safe and healthful working and training environments in order to prevent accidents and injury to health, including reproductive health, arising out of or related to or occurring during the course of the work vendors perform or resulting from the

operation of vendors' facilities. Accordingly, it is expected that vendors and their subcontractors will perform work pursuant to UConn contracts in compliance with, as applicable, the Federal Occupational Safety and Health Act and Chapter 571 of the Connecticut General Statutes (Occupational Safety and Health Act).

Forced Labor. It is expected that vendors will not use or purchase supplies or materials that are produced using any illegal form of forced labor.

Harassment or Abuse. It is expected that vendors will treat all employees with dignity and respect, and that no employee will be subjected to any physical, sexual, psychological or verbal abuse or harassment. It is further expected that vendors will not use or tolerate the use of any form of corporal punishment.

Environmental Compliance. It is expected that vendors will comply with all applicable federal and state environmental laws and Executive Orders, including but not limited to Titles 22a and 25 of the Connecticut General Statutes (Environmental Protection and Water Resources protection) and Executive Order 14 (concerning safe cleaning products and services). UConn expects vendors will employ environmentally responsible practices in the provision of their products and services.

Preferential Standards. The preferential standards set forth below reflect UConn's core values. UConn will seek to uphold these values by considering them as relevant factors in selecting vendors.

Living Wages. UConn recognizes and affirms that reasonable living wages are vital to ensuring that the essential needs of employees and their families can be met, and that such needs include basic food, shelter, clothing, health care, education and transportation. UConn seeks to do business with vendors that provide living wages so as to meet these basic needs, and further recognizes that compensation may need to be periodically adjusted to ensure maintenance of such living wages. Vendors are encouraged to demonstrate that they pay such living wages.

International Human Rights. For UConn, respect for human rights is a core value. UConn seeks to do business with vendors who do not contribute to or benefit from systemic violations of recognized international human rights and labor standards, as exemplified by the Universal Declaration of Human Rights.

Foreign Law. UConn encourages vendors and vendors' suppliers operating under foreign law to comply with those foreign laws that address the subject matters of this code, provided such foreign laws are consistent with this code. Vendors and their suppliers operating under foreign law are similarly encouraged to comply with the provisions of this code to the extent they can do so without violating the foreign law(s) they operate under.

Environmental Sustainability. UConn will prefer products and services that conserve resources, save energy and use safer chemicals, such as recycled, recyclable, reusable, energy efficient, carbon-neutral, organic, biodegradable or plant-based, in addition to products that are durable and easily repairable, and that meet relevant certification standards above and beyond those required by law. While UConn is not legally bound to comply with Connecticut General Statutes 4a-67a through 4a-67h concerning environmental sustainability standards in purchasing, it will nevertheless consider vendors' ability to meet those standards in rendering its purchasing decisions. Vendors are encouraged to demonstrate their commitment to environmental sustainability.

Compliance Procedures. Anyone who believes a vendor doing business with UConn has not complied or is not complying with this code may report such concerns to UConn's Office of Audit, Compliance and Ethics (OACE) at 1-888-685-2637 or <https://www.compliance-helpline.com>.

OACE has the authority to investigate such matters, and if warranted, recommend remedial action to the UConn administration.

Please review the material listed and per the signature of the authorized Company Official, all Expectations, Standards, and Procedures listed above will be in compliance in regards to this Contract.

Name of Company

Signature of Authorized Company Official

Date