

INVITATION TO GENERAL CONTRACTORS TO PRE-QUALIFY TO OFFER PROPOSALS

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

UCFM Code Remediation Mansfield Apartments Project #201471 University Of Connecticut Storrs, Connecticut

Completed Applications will be accepted until 2:00 p.m., Tuesday, April 5, 2016. Applications received after the time and date specified shall be returned unopened.

Qualifications shall be submitted on forms and in the manner specified. Forms are located on the Capital Projects and Contract Administration website. www.cpcu.uconn.edu This project is listed under Current Construction Related Opportunities. Click on the project number for the forms. A requirement to prequalify is that all Applicants shall provide a copy of their Department of Administrative Services (DAS) certification that they are an already approved General Contractor (Group B or Group C). This certificate must be included in your submission **as of the proposal due date of April 5, 2016.**

Only Contractors pre-qualified by both the DAS, for the Classification of General Contractor (Group B or Group C), 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.

The Project:

This project consists of the removal and replacement of all existing boilers and water heaters at the Mansfield Apartments. These buildings are located on the Storrs Campus of the University of Connecticut, Storrs, Connecticut.

Scope of Work:

Work will include but is not limited to the following:

- Boiler replacement to take place in thirty-five mechanical rooms
- A total of seventy (70) new boiler units are to be purchased by the Contractor and installed
- Contractor shall coordinate all hot water shutdowns with the University Residential Life Department
- There will be a partial occupancy of the apartments during the duration of this contract
- Removal of all debris caused by this contract

Project Duration:

The construction is planned to start June 15, 2016 and the project duration is one hundred and twenty (120) days. It shall remain the responsibility of the General Contractor to perform the Scope of Work as it is defined in the Contract Documents.

Contractor Qualifications:

The General Contractor must demonstrate the financial ability and bonding capacity to complete a renovation/repair construction project valued at \$1,100,000.00 dollars.

The General Contractors that are requesting to be University pre-qualified to submit bids on this project must demonstrate, through past experience, the highest degree of ability to successfully complete projects of a **similar size, scope, nature, value, and duration as the project listed**. This project relevant experience should be in a similar environment and setting as this work will be performed in a busy and active campus. Proven project relevant experience in managing subcontractors must also be demonstrated.

Project relevant experience demonstrating these requirements must be submitted on the Attachment A form provided with the Prequalification Documents and as noted, substitution of this form is not allowed. A minimum of three (3) examples must be submitted that are in progress (75% or more in completion) or preferably completed within the past five (5) years. Include a detailed description on Line Item #21 of this Attachment A form that shows a direct comparison of the work performed on the project submitted on how it relates in comparison to the work that is to be executed on our project as noted in the Scope of Work bullet points above. Each Attachment A submittal must be completed with all of the requested information on the form filled in.

For an Attachment A to be considered as a representative project, the value of the projects that you submit must have a minimum value of \$750,000. Each Attachment A submittal must be completed with all of the requested information on this form filled in.

References, digital photographs, value of construction, dates of start and completion of construction, and reference phone numbers shall be provided with each project provided for evaluation.

In the bidding of most deferred maintenance, major renovation, and new construction projects, contractors are advised that they must award a minimum of thirty percent (30%) of the value of their awarded contracts to Connecticut-certified SBE's; and of that amount, a minimum of 10% of the total award must be to SBE'S who are also MBE's (which includes ethnic minorities, WBE's and DisBE's). The contractor is responsible for ensuring that they and the S/MBE firms they have selected are eligible contractors and that they meet State of Connecticut S/MBE requirements.

The ability of the General Contractor to staff the project with experienced personnel in construction will be required. A full time, dedicated Project Superintendent and Project Manager is mandatory. The contractor must demonstrate adequate levels of staffing to oversee the project through completion. It is required that you submit the name of the Superintendent and Project Manager that will be assigned to this project and submit a resume for each that demonstrates that they have worked on similar projects in comparison to the Scope of Work bullet points noted above. If prequalified, it is a bidding requirement that the General Contractor must self-perform a minimum of ten percent (10%) of their submitted bid amount.

The General Contractor shall also demonstrate the ability to work safely and harmoniously with the owner and its agents in order to successfully complete this project. Additionally, if requested by the University, the contractor must be able to show past compliance with the State of Connecticut CHRO and Department of Labor requirements and regulations.

Walt Dalia
Purchasing Agent II
Capital Projects and Contract Administration

STATEMENT OF QUALIFICATIONS/ PREQUALIFICATION TO BID

Prospective bidders shall submit to the University of Connecticut a "Contractors Application and Statement of Qualifications to Bid" which shall be used to evaluate the qualifications of Applicant Contractors. Only Contractors pre-qualified by the Department of Administrative Services (DAS) and this prequalification for the University of Connecticut shall be permitted to bid on this project. Applicants must be prequalified in the specified classification of this project (**General Contractor Group B or Group C**) as of the due date of the application. **Please submit a copy of your DAS Certificate.**

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

The Applicant must provide to the satisfaction of the University of Connecticut responses to the questions and questionnaires contained within the following documents: The Contractors Qualification Statement Form and all required Hard Copy Documentation requested.

PREQUALIFICATION PROCEDURES AND REQUIREMENTS

Submit one (1) original and five (5) copies of the completed and signed Application to the University of Connecticut. The original submittal must be marked "Original". All elements in the original application must be contained in the copies. Please include two (2) copies of your firm's financial statement under separate cover 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. These are to be delivered to:

Capital Project & Contract Administration
Attn: Walt Dalia
University of Connecticut
3 Discovery Drive Unit 6076
Storrs, Connecticut 06269

Applications received after the due date and time shall not receive consideration and shall be returned to sender unopened. Application Due Date is 4/5/16, received in Capital Projects & Contract Administration by 2:00 p.m.

All questions pertaining to the information/documents asked for in the application must be received by April 7, 2016, 2:00 p.m. Questions must be in writing. 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. Clarifications will be posted at www.cpcu.uconn.edu

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Form of Application shall be submitted on forms identical to the "Contractors Application and Statement of Qualifications to Bid" forms included in the Prequalification Documents. Your submittal must include and be arranged as follows:

- Contractor's Statement of Qualifications (as has been provided)
- Contractor's Required Hard Copy Documentation
- Signed Checklist of Required Hard Copy Documentation

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

The University of Connecticut expressly reserves the following rights:

- 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.
- 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;
- 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.
- 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.

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. 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.

The making of any false, deceptive, fraudulent, or intentionally misleading or inaccurate statements or representations in the Application shall constitute grounds for a refusal to pre-qualify the Applicant and/or grounds for the revocation of any pre-qualification.

In this application whenever the words "you", "your firm", "your organization", etc. appear, if the entity is a joint venture, the responses to any such question shall include responses on behalf of each joint

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venture partner. Each such response shall identify, by initials or otherwise, the joint venture partner to whom it pertains.

Evaluation: Applicants and their Applications will be evaluated in conjunction with the objective criteria referred to herein, on the basis of the information provided in the individual Applications, as well as any information obtained in follow up to same from references, persons or other sources identified in the Application, or otherwise obtained by or known to the University.

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

Reconsideration: In the event that an Applicant is not found to be pre-qualified, it may, within 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.

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.

PREVIOUS EXPERIENCE

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, duration, scope, and comparable dollar value to that of the subject work/projects.

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

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explaining and exonerating the Applicant shall also be provided. The Applicant shall be able to provide these references and project relevant experience in the various types of major trades or work required in comparison to the UCONN project and items listed in the Scope of Work. A minimum of **three (3)** project relevant experience examples within the past five (5) years must be provided. Please utilize Attachment A to show these reference/project relevant experiences. Please fill out completely.

The Applicant shall demonstrate to the satisfaction of the University that it currently has in place the capability to implement, manage, and utilize, a **Quality Assurance/Quality Control/Code Compliance Program** including a set of procedures appropriate for the work/project or projects for which this Application is submitted. A copy of the program must be included in the original proposal and all copies provided. (Total of 6)

The Applicant shall demonstrate, through the information submitted in its Qualification Statement, 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. A copy of the Health and Safety Plan must be included in the original proposal and all copies provided. (Total of 6)

FINANCIAL ABILITY/BONDING CAPACITY

The Applicant shall demonstrate that it has sufficient bonding capacity to perform the work in question, is bonded through a surety or sureties possessing a history of responsibility, financial stability and resources satisfactory to the University, and is able to post surety bonds which may be required by any contract for which it intends to submit a bid. **Please provide a letter from your Bonding Company that details your bonding capacity.**

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.

Please provide only two (2) copies of your firms Financial Statement. Follow instructions on what is to be submitted including Interim Financials is applicable. Include these in the Original submission.

MANAGERIAL ABILITY

The Applicant shall have on its payroll, or must be able to prove that it customarily employs managerial and supervisory personnel of the type qualified to perform the kind of work which may be called for on any project for which it intends to submit a bid.

The Applicant shall have on its payroll, or must be able to prove that it customarily employs managerial and supervisory personnel of the type qualified to perform the kind of work which may be called for on any project for which it intends to submit a bid. **The Applicant shall supply with the application, resumes**

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of proposed team (Superintendent & Project Manager) for the project including their proposed role, years with company and project relevant experience for which it intends to submit a bid.

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

TECHNICAL ABILITY

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

INTEGRITY

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.

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 31-57e and 31-58 through 31-76l respectively) during the five calendar years immediately preceding this Application.

The Applicant shall demonstrate that it has a satisfactory record of compliance with Connecticut General 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.

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.

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.

CONFLICT OF INTEREST

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.

PREQUALIFIED BIDDERS LIST

Contractors who are prequalified 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.

Recognizing conditions change over the course of a year, each prequalified 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.

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SUBMITTED TO: **UNIVERSITY OF CONNECTICUT
OFFICE OF CAPITAL PROJECT & CONTRACT ADMINISTRATION
3 DISCOVERY DRIVE UNIT 6076
STORRS, CONNECTICUT 06269**

SUBMITTED BY: _____

COMPANY NAME: _____

THE FIRM IS A: CORPORATION PARTNERSHIP INDIVIDUAL JOINT VENTURE OTHER

INDICATE IF YOU ARE CERTIFIED AS ONE OF THE FOLLOWING: MBW WBE DBW SET ASIDE

PRESIDENT'S NAME: _____

COMPANY ADDRESS: _____ PRINCIPLE OFFICE BRANCH OFFICE

PHONE: _____ EMAIL: _____

EMAIL of Contact Person: _____

IF COMPANY ADDRESS IS BRANCH, WHAT IS PRINCIPAL OFFICE ADDRESS: _____

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I. ORGANIZATION

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.

How many years has your organization been in business as a major Contractor: _____?

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

Under what other or former names has your organization operated: _____?

II. 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.

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

III. EXPERIENCE

List the categories of work that your organization normally performs with its own forces.

List all labor organizations with which you have agreements; a negative response will not be reason for disqualification. _____

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

IV. CLAIMS & SUITS

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:

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- A. Failed to complete any work awarded to it? ____yes ____no
- B. 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? ____yes ____no
- C. Within the past 5 years ever been barred, suspended, disqualified or otherwise precluded from bidding or offering a proposal on contracts by any municipality or any agency of the State of Connecticut, other states, or the Federal Government? ____yes ____no
- D. Within the past 5 years 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? ____yes ____no
- E. Within the past 5 years been declared to be a non-responsible bidder or proposer on any public work project? ____yes ____no
- F. 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
- G. 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
- H. 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?
 - a. ____yes ____no
- I. 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
- J. 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
- K. Had any civil or criminal judgments, claims, arbitration proceedings or suits pending or outstanding against your organization or its officers? ____yes ____no
- L. Have been on any list published by the Connecticut State Labor Department of persons or firms that have been found by the National Labor Relations Board and by a final decision rendered by a Federal Court to have been in violation of the National Labor Relations Act, 29USC 151 et. seq. or to have been found in contempt of court by a final decision of a Federal Court for failure to correct a violation of the National Labor Relations Act on three or more occasions involving different violations? ____yes ____no
- M. Have had any instances within the previous five years in which you or any entity in which you have an interest, appeared on a list published by the State of Connecticut Labor Department of persons

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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? ____ yes ____ no 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. 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.

- N. 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
- O. Within the last five years been an officer or principal of another organization when it failed to complete a construction contract? ____ yes ____ no

Where applicable, list all litigation or arbitration proceedings including out of court settlements initiated by or against you within the past one (1) year 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.

List any OSHA citations within the past three (3) 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.

V. REFERENCES & RELEVANT PROJECT EXPERIENCE

Applicant must provide a letter from the Connecticut Department of Revenue Services that your firm is currently in good standing as a corporation if applicable. Letter must be within the past three (3) months. Applicant must provide three (3) project examples similar nature, size, duration, scope and comparable dollar value to that of the subject project. See Attachment A.

VI. FINANCING/FINANCIAL STATEMENT

Financial requirements for Contractor's submitting for pre-qualification with the University of Connecticut are as follows:

1. **General Contractor Projects < (Less Than) \$10,000,000:** Most recent Audited Financial Statements are preferred, which must include the Independent Auditors Report; Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Financial Statements. These statements cannot be older than 15 months as of the 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 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 not available see #3 below.)
2. **General Contractor Projects >= (Greater Than or Equal To) \$10,000,000:** Most recent Audited Financial Statements are required, which must include the Independent Auditors Report; Balance Sheets; Income Statements; Cash Flow Statements; and Notes to the Financial Statements. These statements cannot be older than 15 months as of the 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, by an outside CPA. These statements must be provided for consideration and should be no older than 6 months as of the date of application.
3. **If Notes to the Financial Statements are not available or inadequate disclosure is provided:** When submitting a compilation, if notes are not available, you are required to disclose the following. This detailed documentation, including the amount and description, must be included in your 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.

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- 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.

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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.

If the applicant is a Joint Venture, attach the required financial statement for each Joint Venture Partner.

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

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

_____ yes _____ no

- If not, explain the relationship and financial responsibility of the organization whose financial statement is provided (e.g., parent-subsidary).parent-subsidary.)

Will the organization whose financial statement is attached act as guarantor of the contract for construction? _____ yes _____ no If No, please explain.

VII. CONFLICT OF INTEREST

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.

_____ 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.

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VIII. CHECKLIST DOCUMENTATION REQUIRED:

- Copy of Health and Safety Plan for each submission (Total 6 – Can be submitted on disk)
- Copy of QA/QC/CC Program for each submission (Total 6 – Can be submitted on disk)
- Copy of your General Liability Certificate
- Copy of your Automobile Liability Certificate
- Company Financial Statement (See Pages 10 -12 for Financial Requirements): **2 Copies Only - Be sure to include Interim Financials if applicable per the requirements**
- Name the Proposed Project Team that will be assigned to this project with resumes that demonstrates project relevant experience to this project. You must name the proposed Superintendent & Project Manager who will be assigned to this project.
- List of Previous Relevant Experience (Minimum of **3** samples) **Attachment A filled out completely**
- Letter from Bonding Company listing Bonding capacity
- A Current Prequalification Certificate from the Connecticut Department of Administrative Services (DAS).
- A Current Status Letter from the State of Connecticut Department of Revenue Services.
- Attach Explanations for any “Claims or Suits” questions answered “Yes”. Identify each response with the corresponding letter assigned to the question being explained.

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IX. SIGNATURE

The undersigned hereby applies and consents to the terms and conditions for the prequalification to bid. 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. The completed and signed Prequalification Application and Qualification Form with all required hard documentation and checklists are attached hereto.

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

Name of Company:

Completed by: _____

(Must be an Officer of the Company)

Title: _____

Signature: _____

Print: _____

_____ 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 _____, 20 _____

Notary Public: _____ My Commission Expires: _____

CODE OF CONDUCT FOR UNIVERSITY OF CONNECTICUT VENDORS

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

ATTACHMENT A

Projects Best Portraying your Qualifications for this Application's Project

Project Information Sheet

1. Project Name: _____
2. Project Location: _____
3. Project Owner: _____
4. Contracted Role: CMA CMR GC Subcontractor Trade Contractor Prime Contractor
5. Percentage of Self Performed Work: _____
6. Contracted Cost: _____
7. Final Cost: _____
8. If the Final Cost stated above is in excess of 5% of Contracted Cost, please provide and explanation: _____

9. Initial Contract/Notice to Proceed Start Date: _____
10. Initial Contracted Substantial Completion Date: _____
11. Final Substantial Completion Date: _____
12. If the Final Substantial Completion Date stated above is in excess of thirty (30) days of the Initial Contracted Substantial Completion Date please provide a detailed explanation: _____

13. Owner Reference: (Firm/Agency Name): _____
14. Primary Contact Name and Phone Number: _____
15. Primary Architect Reference: (Firm Name): _____
16. Primary Contact Name and Phone Number: _____
17. Primary Engineer Reference (Firm Name): _____
18. Primary Contact Name and Phone Number: _____

19. Major Supplier Reference: _____

20. Name, Address, Telephone, Contact Person, Estimated Annual Expenditures:

21. Describe the project and relevance to the UCONN project including the items listed in Scope of Work for which this application is submitted. Photos and additional information can be attached if necessary.

22. List the key personnel in your firm who were assigned to the project who had direct responsibility for the day-to-day management for this project and state whether or not each of these people are still employed by your firm.

Project Manager: _____

Assistant Engineer/Project Manager: _____

Superintendent: _____

Safety Engineer: _____

LEED: _____

Project Executive: _____

23. Were you required to furnish a Labor and Material Payment Bond for this project?

Yes _____ No _____ If No, what form of security was provided? _____

Were you required to furnish a Performance Bond for this project?

Yes _____ No _____ If No, what form of security was provided? _____