

**Bid Package For**  
**Heating, Ventilating and Air Conditioning System**  
**Service, Inspection and Preventive Maintenance**

**55 West Main Street**  
**395 West Main Street**  
**Waterbury, Connecticut**

**Konover Commercial Corporation**  
**as Agent for**  
**the State of Connecticut Department of Administrative**  
**Services**

**October 4, 2016**



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**HVAC System  
Service, Inspection and Preventive Maintenance  
Specifications**

**I. Introduction**

Konover Commercial Corporation (“Agent”) as agent for the State of Connecticut (“Owner”) is currently soliciting proposals for Heating, Ventilating and Air Conditioning System Service, Inspection and Preventive Maintenance at 55 and 395 West Main Street, Waterbury, CT (“Properties”) from qualified HVAC Contractors (“Contractor”). Submission of a proposal must be completed in its entirety. Failure to provide a complete proposal will result in disqualification. Agent reserves the right to enter into a contract for any part or in entirety as it determines in order to provide a comprehensive and cost effective contract.

This document sets forth the general specifications, requirements and responsibilities of an HVAC contractor in providing HVAC system service, inspection and preventive maintenance for the above specified locations. **A mandatory Bidders Meeting will be held at 55 West Main Street in Waterbury, Connecticut on Tuesday, October 18, 2016 at 10:00 am.**

LATE ARRIVALS (15 MINUTES OR MORE) WILL NOT BE GIVEN CREDIT FOR ATTENDANCE OR ALLOWED TO SIGN IN. Only Contractors attending the mandatory walkthrough will be considered for the award.

**A. Independent Contractor**

The Contractor agrees to perform the work described in the bid as an independent contractor and not as a subcontractor, agent, or employee of the Owner or the Agent.

**B. Assignment and Subcontracting**

The contract or any portion of the scope of work shall not be assigned or subcontracted by the Contractor without Owner’s prior written consent, which may be withheld at Owner’s sole discretion.

**C. Proprietary Data and Information**

All information and data, regardless of the form that is received from the Owner, shall be treated as confidential by the Contractor and the Contractor shall take all precautions necessary to prevent disclosure of such information or data verbally or in writing to others except upon the expressed written approval of the Owner or the Agent. Any third party to whom Contractor is authorized to provide such information or data shall be required, as a condition of receiving such information, to execute confidentiality agreements suitable to the Owner. Without the prior written approval of Owner or the Agent, Contractor shall not use for any purpose other than the performance of the work contemplated by the contract any information, design, drawing, specification, or document received from the Owner or the

Agent. Upon Owner's request, contractor will return to Owner all copies of such information, design, drawings, specifications, and documents and shall safeguard against disclosure to others all work papers and other documents in contractor's possession, including such confidential information for a period of three years after the completion of the work described in the contract.

**D. Revisions to Original Contract**

Owner or Agent shall have the right to make any changes in or delete services from the Scope of Work described in the contract and may direct the Contractor to perform extra work and the Contractor shall implement such changes and perform such extra work. Should any such change increase, decrease or affect the amount or character of services required in the contract, the price shall be adjusted accordingly. The amount of increase or decrease, if any, in the price shall be determined by agreement between the Contractor and Owner.

**E. Accounting and Auditing**

Contractor shall maintain during the course of the work complete and accurate records of all Contractor's costs related to the Owner's account. Such records to be maintained and retained by Contractor shall, at a minimum, include but not be limited to:

1. Accounting records, including payroll records, accounting for total time distribution of Contractor's employees working full or part-time on the job (to permit tracing of payrolls and related tax returns and/or union payments, if any).
2. Cancelled payroll checks and/or signed receipts for payroll payments in cash.
3. Invoices for purchases for Contractor's stocks or for other items.
4. Paid invoices and cancelled checks for materials purchased or repaired.
5. Written policies and procedures.
6. Original estimates and estimating worksheets.
7. Correspondence.
8. Change order files (including documentation covering negotiated settlement).

Such "records" shall be open to inspection and subject to audit and/or reproduction, during normal working hours, by Agent or Owner's authorized representative to the extent necessary to adequately permit evaluation and verification of any invoices, payments, or claims submitted by the Contractor or any of his payees pursuant to the execution of the contract. Such records subject to examination shall also include, but not be limited to, those records necessary to evaluate and verify direct and indirect costs (including overhead allocations) as they may apply to costs associated with this contract.

For the purpose of such audits, inspections, examinations and evaluations, Agent or Owner's authorized representative shall have access to said records from the effective date of the contract, for the duration of the work, and until two years after the date of final payment by Owner to Contractor pursuant to the contract.

Agent or Owner's authorized representative shall have access to the Contractor's facilities and shall be provided adequate and appropriate workspace in order to conduct audits in compliance with this section. Except under unusual circumstances, Agent or Owner's authorized representative shall give Contractor reasonable advance notice of intended audits.

#### **F. Contractor Qualifications**

Contractor will be required to execute a contract with the Owner in strict accordance with the Scope of Work as stated herein.

It is imperative that the Contractor has satisfactorily maintained equipment of the same manufacturer and grade as the equipment listed in Attachment B ("HVAC Equipment") and to the degree in the specifications for a period of at least five (5) years. Bids will be considered only from contractors who are regularly established in the HVAC industry and who, in the sole judgment of the Owner, are financially responsible and able to show evidence of their reliability, ability, experience, equipment, facilities and persons directly employed or supervised by them to render prompt, satisfactory and professional service. The Contractor must be able to demonstrate the ability to provide prompt and reliable service and the ability to provide emergency service at reasonable rates. In-house engineering capabilities, including the ability to produce stamped engineered drawings for future HVAC work is desirable, but not mandatory. **Please indicate such capability in your Bid Response.**

The Contractor shall have state of the art diagnostic tools to evaluate the HVAC Equipment. It is the Contractor's responsibility to review Attachment B and provide the Owner with any corrections, additions or deletions prior to the contract award. Attachment B is provided for informational purposes only.

Contractor must be duly licensed in accordance with all Federal, State, County and local laws governing the performance of service, inspection and preventive maintenance of HVAC systems.

Contractor must show the ability to provide and maintain administrative, operational and logistical support for the Owner.

Contractor is required to complete and submit the State of Connecticut Bidder's Statement of Qualifications (Attachment E) with their response.

## II. Scope of Work

### A. Performance of Work

As requested on Attachment D-2, the Scope of Work shall include the quarterly inspection and preventive maintenance of the HVAC Equipment and Systems at the buildings detailed on Attachment A. All labor, parts and materials needed to perform the Scope of Work shall be included in the cost.

Two alternate Scopes of Work are requested. The first alternate scope of work is a full labor contract that includes all preventive maintenance as described below. The second alternate Scope of Work is a full service contract that includes all labor and preventive maintenance.

The HVAC Equipment shall at all times be maintained to achieve the highest level of efficiency and proper operation as originally designed and installed by the manufacturer(s).

The HVAC Equipment shall be regularly inspected, but no less than four times during each year of the contract. Inspections shall include the testing of all HVAC system components to determine the status of the HVAC Equipment. Repairs or deficiencies that are discovered during the inspection shall be noted and presented to the Owner along with a competitive quote to repair or correct. No repairs or corrections shall be made without the Owner's prior approval. Contractor's personnel shall be in uniform and properly identified at all times while providing services under the contract.

Preventive maintenance shall be performed professionally and in a thorough manner. A checklist for each piece of HVAC Equipment will be presented to the Owner after the Contractor has performed its preventive maintenance tasks. Such tasks will include, but are not limited to:

- Control calibration and adjustment of temperature controls, refrigeration controls, pressure controls, operating controls and safety controls;
- Testing and checking of operating refrigerant pressures, voltages and amperages, belts and belt tension, drive couplings, proper control sequencing, electrical connections, rotation, contactors, and starters;
- Cleaning of condenser coils, evaporator coils, chilled water coils, condensate drains, cooling tower basins, cooling tower nozzles, condensers and cooler tubes;
- Lubrication maintenance, including oiling and/or greasing of motor and fan bearings, changing oil, renewing oil filters, and oiling damper linkages and bearings;
- Adjusting and fine-tuning of superheat settings, capacity control modules, belt tension, oil burners, gas burners, starter transfer times, and compressor cylinder unloaders; and
- Filter replacement of all air filters with the type and quality of filter specified by the Owner.

**B. Responsibilities of Work**

Contractor will be responsible for the following at each location where its employees are utilized by the Owner:

1. Maintain discipline, excellent appearance, professional demeanor, integrity and attention to duty among contractor's personnel.
2. Require contractor personnel to enforce Owner's and contractor's policies and procedures.
3. Furnish Owner with names and phone numbers of contractor supervisory personnel who can be contacted at any time to respond to Owner's needs.
4. Furnish trained and qualified HVAC personnel in sufficient number to provide service as required under the contract or in addition to the contract scope. This service will be continuous regardless of weather, disaster, strikes, or threatened strikes and shall include:
  - a. Identify and report safety violations.
  - b. Maintain files for HVAC related documents.
  - c. Assist Owner in emergency situations.
  - d. Ensure that prompt action is taken to prevent or minimize losses, accidents, fires, property damage, and safety hazards.
  - e. Complete accurate and detailed reports for each site visit, repair or preventive maintenance.

Contractor's personnel may be exposed to various weather conditions and other hazards inherent in HVAC work, and the Contractor shall ensure that its personnel are prepared for such conditions.

**C. Contractor's Personnel**

The Contractor shall immediately remove from the work, whenever required to do so by the Owner, any person considered by the Owner to be incompetent or disposed to be disorderly, or for any other reason unsatisfactory or undesirable to the Owner, and such person shall not again be employed on any Owner's site without the consent of the Owner.

### **III. Standards of Work**

#### **A. General Standards**

All services shall be performed to the highest standard of HVAC service, as typified by the standards customary to first class office buildings and in accordance with all Federal, State and local laws. The Contractor will be responsible for ensuring that its staff is familiar with and accomplishes the functions and tasks as outlined in the Scope of Work for each property, and does so in a manner consistent with the behavior expected of all contractors and vendors of Owner or Agent.

#### **B. Contractor Informed as to Conditions**

It is agreed that the Contractor is familiar with all physical and other conditions existing at the site of the work and all other matters in connection with the work to be performed under this contract.

#### **C. Storage and Security of Equipment and Supplies**

The Contractor shall have full responsibility for storing equipment and supplies used in connection with the work. Storage space will be provided by the Owner as available.

#### **D. Inspection**

The Owner contemplates and the Contractor hereby agrees to a thorough inspection by Owner's Agent of all work and equipment furnished under this contract.

#### **E. Removal of Debris**

The Contractor shall leave the area of work clean and free from all rubbish resulting from its performance under this contract.

#### **F. Health and Safety**

The Contractor shall observe all Federal, State, and local laws and regulations pertaining to health and safety.

The Contractor shall take all precautions necessary and shall be responsible for the safety of all work to be performed by contractor's employees. The Contractor performing any part of the work shall not require any person employed in the performance of the Contractor to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to their health or safety as determined under safety and health standards promulgated by the U.S. Secretary of Labor.

The importance of safety of all workers shall be recognized and accident prevention shall be an integral part of the Contractor's operations. The Contractor shall conduct the work in a safe

and practical manner, in conformance with the safety and health standards made applicable to the work by the Federal Occupational Safety and Health Act.

Contractor will be required to complete Certificate of Compliance with Connecticut General Statute Section 31-57b (Attachment G).

**IV. Management Support**

Incumbent upon the Contractor will be to provide a salaried, management level employee who will have accountability and responsibility for the Owner's portfolio. Additional responsibilities of this contact shall be training and development with an emphasis on fire/life safety, maintaining current written procedural documents, budget and quality control, and after-hour emergency response.

**V. Training**

The Contractor will be solely responsible for ensuring that its employees are trained and competent in the performance of their duties as outlined in the Scope of Work.

**VI. Hours of Service**

All work under the Scope of Work shall be performed during the hours of 7:00 a.m. and 5:00 p.m., Monday through Friday. All inspection and preventive maintenance shall be scheduled in advance with the Agent. Contractor must be able to provide service and support beyond the hours of service, specifically in the event of an emergency. The Owner will be afforded priority status with Contractor for after-hours or emergency service requests. **Please indicate the minimum response time (in hours) for such requests in your Bid Response.**

**Contractor shall specify as part of the Bid Response any mark-up on parts or supplies, excluding sales tax.**

**VII. Holiday Schedule, After-hours Rates; Mileage or Trip Charges**

The tentative holiday schedule for 2016-2017 is as follows:

- New Year's Day (January 1)
- Memorial Day
- Independence Day (July 4)
- Labor Day
- Thanksgiving Day
- Christmas (December 25)

It is the intention of the contract to establish after-hours and/or emergency rates prior to contract award. **Please indicate such after-hours or emergency rates on the Bid Response Form.**

Any mileage required to perform the Scope of Work shall be included in Contractor's price. **Please indicate on the Bid Response Form any instance when contractor would charge either mileage or a trip charge and the associated amount.**

**VIII. After Hours Supervision**

The Contractor must provide at least one management level personnel (in addition to the account manager) for after-hours contact in an emergency. The pager, home telephone, and cellular phone numbers of these individuals will be required.

**IX. Examination of Equipment, System and Location of Work**

Before submitting a bid, each contractor shall carefully examine the HVAC Equipment and System at each property location. Each contractor shall fully inform himself prior to the bidding as to all existing conditions and limitations under which the Scope of Work is to be performed, and he shall include in his bid a sum to cover all items necessary to perform the Scope of Work. For the contractor's convenience only, Attachment B is a listing of HVAC Equipment by property location. The Owner makes no representations that Attachment B is complete or accurate, but is provided only for reference. Each contractor shall be responsible for verifying the accuracy of each Attachment B. Upon award, Attachment B shall become part of the contract. No allowance will be made to any contractor because of lack of such examination or knowledge. The submission of a bid will be construed as conclusive evidence that the contractor has made such examination. These are mandatory prebid site visits for all interested contractors as detailed on Attachment C.

Owner-furnished equipment, material, and supplies shall remain the property of the Owner and will not be used for any purpose other than in the performance of the Scope of Work. When required, the Contractor shall maintain current records and provide an accounting of all equipment, material, and supplies furnished by Owner for use by the Contractor.

Any and all equipment and supplies furnished by the Contractor (other than equipment and supplies purchased by the Owner from the contractor pursuant to a separate agreement) and placed at the site shall remain the property of the Contractor and the Contractor shall at all times during and after the term have the right to install, maintain, replace, and remove said equipment and supplies.

Contractor shall provide all vehicles needed for contractor to perform the Scope of Work or any additional work at each property.

**X. Spare Parts**

Contractor must own or have access to a sufficient supply of spare parts for each piece of HVAC Equipment. Materials or parts to be used are to be genuine original manufacturer's parts or equal. Contractor shall maintain an up-to-date inventory of all spare parts by part number. If the Owner requests, a list of replacement parts in stock shall be furnished by the contractor prior to the award of the contract.

**XI. Records**

A complete, orderly and chronological file including drawings, parts lists, specifications and copies of all reports as required by the Scope of Work shall be maintained by the Contractor. This file will be available for the Owner's inspections and a copy shall be forwarded to the Owner immediately upon request. A preventive maintenance checklist shall be provided to the Owner upon completion of each quarterly preventive maintenance inspection.

**XII. References**

Each Bid Response shall include at least two client references whose facilities are comparable in size, profile and services to the properties described herein. The information that is to be included for each reference is: the site description and address, the Contractor's length of service at the location, the scope of service and a contact name with job title and telephone number. Please include one former account together with contact name and telephone number.

**XIII. Insurance and Indemnity**

Contractor shall provide the following types of insurance coverage in the following amounts:

- Comprehensive General Liability                      \$3,000,000.00 Combined Single Limit
- Comprehensive Automobile Liability                \$1,000,000.00 Combined Single Limit
- Workers Compensation in an amount at least equal to any and all statutory requirements.
- Employer's Liability                                        \$500,000.00

Contractor will be responsible for the payment of any and all deductible amounts required under the foregoing insurance coverage. Contractor will not alter or terminate the foregoing insurance coverage without obtaining the Owner's written consent at least thirty (30) days prior to such alteration or termination.

Contractor shall repair or replace at its own cost and expense any damage caused by its workmen, agents, or employees.

All certificates to be furnished by Contractor shall name Agent and Owner as additional insured and shall provide that the insuring carrier will furnish Agent with at least thirty (30) days' prior written notice of any change in or cancellation of insurance.

**XIV. Contract Provisions**

It is the intention of the Owner to execute a 2-year and 1-month contract. Such contract shall be on the standard service contract form of Agent and contains a termination clause of 30 days prior written notice. Owner may terminate Contractor with 48 hours notice if Contractor fails or refuses to perform services as described in the Bid Package.

When awarded the contract, the standard service contract will be presented to Contractor for review and execution. There will be a separate contract for each building.

The desired contract commencement date is Tuesday, December 1, 2016.

**XV. Minimum Bid Response**

By 12:00 noon on Thursday, November 3, 2016, the contractor shall remit two (2) originals of its Bid Response to:

Kathleen Gioffi  
Property Manager  
Konover Commercial Corporation  
55 West Main Street  
Waterbury, CT 06702

No fax copies or emails will be accepted.

The contractor's Bid Response must include Attachment D-1, D-2, E, F, G, H and I. Bidders may choose to bid on both or either of the properties. **Please note any Portfolio discount in the event that both properties are awarded to the same contractor.**

## ATTACHMENT A

### Property Locations

<b>Property:</b>	<b>Location:</b>	<b>Ownership:</b>	<b>Property Manager:</b>
The Rowland Government Center	55 West Main Street Waterbury, CT 06702	The State of Connecticut	Kathleen Cioffi (203) 756-5553
Department of Children and Families	395 West Main Street Waterbury, CT 06702	The State of Connecticut	Kathleen Cioffi (203) 756-5553

**ATTACHMENT B**

**HVAC EQUIPMENT BY PROPERTY LOCATION  
(Preliminary List)**

**PROPERTY LOCATION:** 55 West Main Street  
Waterbury, CT 06702

QUANTITY	MANUFACTURER/COMPONENT	MODEL	LOCATION
2	HB Smith 28A-5 Gas Fired Boilers	C1-GO-12	1st floor – Boiler Room
2	Taco Heating & Specialty Pumps	1919	1st floor – Boiler Room
4	Trane Intellipake Air Handling Units	SXHF	Roof
1	Mitsubishi Split System	PUY-A42nh4a	Loading Dock
1	Mitsubishi Split System	PU18EK	1st Floor - Mail Room
1	Sanyo Split System	KS1872	Elevator Room
124	VAV's 1x per year		Floors 1 - 5
4	2 intake fans and 2 exhaust fans		Lower Level Garage
5	Unit Heaters - Electric		2 in Stairways, 1 in Pump Room, 1 by Rear Entrance to the Building, 1 in Maintenance Shop
1	Unit Heater - Gas		Boiler Room
1	Modine Hydronic Unit Heater	HC-47SB01SA	Loading Dock

**ATTACHMENT B**

**HVAC EQUIPMENT BY PROPERTY LOCATION  
(Preliminary List)**

**PROPERTY LOCATION:** 395 West Main Street  
Waterbury, CT 06702

<b>QUANTITY</b>	<b>MANUFACTURER/COMPONENT</b>	<b>MODEL</b>	<b>LOCATION</b>
1	Lennox Air Handling Unit	LGH360H4	Roof
1	Trane Air Handling Unit	YCD241C3HACA	Roof
1	Trane Air Handling Unit	YHC063A#RMAOHFA	Roof
1	Trane Air Handling Unit	YHC120A3RHA27G	Roof
1	Carrier Split System	40QNB0243GO	Server Room

**ATTACHMENT C**  
**BIDDERS MEETING AND**  
**TOUR SCHEDULE**

**Mandatory Bidders Meeting:**

Tuesday, October 18, 2016 at 10:00 am.

**Location:**

55 West Main Street  
Waterbury, CT 06702  
1<sup>st</sup> Floor Conference Room

**TOUR OF:**

<u>Property Location</u>	<u>Date</u>	<u>Time</u>
55 West Main Street Waterbury, CT 06702	10/18/16	10:15 am
395 West Main Street Waterbury, CT 06702	10/18/16	11:00 am

ATTACHMENT D - 1

BID RESPONSE FORM

Due Date: Thursday, November 3, 2016

Bid From \_\_\_\_\_ (“Contractor”)

To: Konover Commercial Corporation as agent for The State of Connecticut  
55 West Main Street  
Waterbury, CT 06702  
Attention: Kathleen Cioffi

For: ***HVAC SERVICE, INSPECTION AND PREVENTIVE MAINTENANCE***

In submitting this Bid, the undersigned agrees:

1. The Owner reserves the right to reject this proposal.
2. This proposal shall remain open for a period of sixty days from the date prescribed for its opening.
3. To enter into and execute a contract on the prescribed form, if awarded on the basis of this proposal, and/or any mutually acceptable modifications thereto.
4. To furnish Certificates of Insurance for the prescribed amounts.
5. To commence and complete the Scope of Work described in the Bid Package in a timely manner.

Legal Name \_\_\_\_\_

Type of Organization: Corporation: \_\_\_\_\_ Partnership: \_\_\_\_\_

Sole  
Proprietor: \_\_\_\_\_ Other: \_\_\_\_\_

Legal Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone No: \_\_\_\_\_ Fax: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

OTHER REQUIRED INFORMATION:

1. Does the contractor have in-house engineering capabilities? \_\_\_\_\_  
Please describe: \_\_\_\_\_  
\_\_\_\_\_
2. Define contractor's minimum response time: \_\_\_\_\_  
(in hours from receipt of call)
3. Is there any mark-up on parts or supplies? \_\_\_\_\_  
If so, please describe (excluding sales tax): \_\_\_\_\_  
\_\_\_\_\_
4. Under which circumstances, if any, does the contractor plan to charge mileage  
or a trip charge? \_\_\_\_\_  
  
Please provide details (costs) \_\_\_\_\_
5. If applicable, detail after-hours and/or emergency service hourly rates: \_\_\_\_\_  
\_\_\_\_\_
6. Attach checklist of inspection and preventive maintenance tasks and frequency of such  
inspections and tasks.
7. Attach list of excluded equipment for full service contract.
8. Include at least two current client references and one former account.

ATTACHMENT D - 2  
BID RESPONSE FORM

**Due Date:** Thursday, November 3, 2016

**Property:** \_\_\_\_\_

Bid From \_\_\_\_\_ (“Contractor”)

For: *HVAC SERVICE, INSPECTION AND PREVENTIVE MAINTENANCE*

The contractor, having become thoroughly familiar with the terms and conditions of the Scope of Work and with local conditions affecting performance and costs, hereby proposes and agrees to fully perform and complete the Scope of Work in strict accordance with the Bid Package for the following sum(s) of money, including all labor, parts and materials needed to perform the Scope of Work, excluding any applicable sales tax:

**Bid for performing all work under the Scope of Work (Full Service) for the annual sum of:**

\$ \_\_\_\_\_

\_\_\_\_\_  
(Amount in Words)

Proposed Annual Increase: \_\_\_\_\_

**As an alternate**, the Owner has requested a bid for the following service:

Full labor contract **including** preventive maintenance and excluding parts:

\$ \_\_\_\_\_ per year.

Proposed Annual Increase: \_\_\_\_\_

The undersigned shall provide a written description of any special conditions:

\_\_\_\_\_  
\_\_\_\_\_

ATTACHMENT E

BIDDER QUALIFICATIONS  
SP-14 Rev. 11/07  
Prev. Rev. NEW 6/98

**STATE OF CONNECTICUT**  
**BIDDER'S STATEMENT OF QUALIFICATIONS**

**Bid Number:**

Page 1 of 2

THIS FORM WILL BE USED IN ASSESSING A BIDDER'S QUALIFICATIONS AND TO DETERMINE IF THE BID SUBMITTED IS FROM A RESPONSIBLE BIDDER. STATE LAW DESIGNATES THAT CONTRACTS BE AWARDED TO THE MOST ADVANTAGEOUS BIDDER TO THE STATE. FACTORS SUCH AS PAST PERFORMANCE, INTEGRITY OF THE PROPOSER, CONFORMITY TO THE SPECIFICATIONS, ETC. WILL BE USED IN EVALUATING BIDS. ATTACH ADDITIONAL SHEETS IF NECESSARY

COMPANY NAME: \_\_\_\_\_  
&  
ADDRESS: \_\_\_\_\_

NUMBER OF YEARS COMPANY HAS BEEN ENGAGED IN BUSINESS UNDER THIS NAME: \_\_\_\_\_ YEARS

LIST ANY CONTRACT AWARDS TO YOUR COMPANY BY THE STATE OF CONNECTICUT WITHIN THE LAST THREE (3) YEARS, **THAT YOU ACTUALLY PERFORMED SERVICE AGAINST**. INDICATE WHICH STATE AGENCY, AND PROVIDE CONTRACT NAME AND NUMBER, AND THE NAME AND TELEPHONE NUMBER OF THE PURCHASING AGENT ADMINISTERING THE CONTRACT.

<u>CONTRACT NO.</u>	<u>CONTRACT NAME</u>	<u>STATE AGENCY</u>	<u>PURCHASING AGENT</u>	<u>TEL. NO.</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

LIST ANY CONTRACT AWARDS TO YOUR COMPANY BY THE STATE OF CONNECTICUT WITHIN THE LAST THREE (3) YEARS. INDICATE WHICH STATE AGENCY, AND PROVIDE CONTRACT NAME AND NUMBER, AND THE NAME AND TELEPHONE NUMBER OF THE PURCHASING AGENT ADMINISTERING THE CONTRACT.

<u>CONTRACT NO.</u>	<u>CONTRACT NAME</u>	<u>STATE AGENCY</u>	<u>PURCHASING AGENT</u>	<u>TEL. NO.</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

LIST OTHER NAMES YOUR COMPANY GOES BY: \_\_\_\_\_

LIST PREVIOUS COMPANY NAME (S) \_\_\_\_\_

LIST AT LEAST THREE COMPLETED PROJECTS SIMILAR IN NATURE TO THIS BID WHICH DEMONSTRATES YOUR COMPANY'S ABILITY TO PERFORM THE REQUIRED SERVICES.

	<u>Company Name and Address</u>	<u>Telephone No.:</u>	<u>Dollar Value:</u>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

# STATE OF CONNECTICUT

## BIDDER'S STATEMENT OF QUALIFICATIONS

Bid Number:  
---------------------

Page 2 of 2

COMPANY NAME: \_\_\_\_\_

SIZE OF COMPANY OR CORPORATION: NUMBER OF EMPLOYEES: FULL TIME \_\_\_\_\_ PART TIME \_\_\_\_\_

COMPANY VALUE: EQUIPMENT ASSETS \_\_\_\_\_ TOTAL ASSETS \_\_\_\_\_

IS YOUR COMPANY REGISTERED WITH THE OFFICE OF THE CONNECTICUT SECRETARY OF STATE?  YES  NO

REGISTRATION DATE, IF AVAILABLE: \_\_\_\_\_

IF REQUESTED, WOULD YOUR COMPANY PROVIDE A "GOOD STANDING" CERTIFICATE ISSUED BY THE CONNECTICUT SECRETARY OF STATE'S OFFICE?  YES  NO

LIST OF EQUIPMENT TO BE USED FOR THIS SERVICE (INCLUDE MODEL, YEAR & MANUFACTURER):

MODEL	YEAR	MANUFACTURER
_____	_____	_____
_____	_____	_____
_____	_____	_____

(Attach additional sheets if necessary)

LIST ANY RELEVANT CERTIFICATIONS, LICENSES, REGISTRATIONS, ETC. WHICH QUALIFY YOUR COMPANY TO MEET THE REQUIREMENTS OF THIS BID.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(Attach additional sheets if necessary)

LIST ANY CRIMINAL CONVICTIONS, GUILTY PLEAS OR NOLO CONTENDERES AGAINST YOUR COMPANY AND ANY OF YOUR COMPANY'S OFFICERS, PRINCIPAL SHAREHOLDERS, DIRECTORS, PARTNERS, LLC MEMBERS AND LLC MANAGERS.

(Attach additional sheets if necessary)

LIST ANY ADMINISTRATIVE ACTIONS EITHER PENDING REVIEW BY THE STATE OR DETERMINATIONS THAT THE STATE HAS MADE REGARDING YOUR COMPANY OR ANY OF YOUR COMPANY'S OFFICERS, PRINCIPAL SHAREHOLDERS, DIRECTORS, PARTNERS, LLC MEMBERS OR LLC MANAGERS. THIS WOULD INCLUDE COURT JUDGEMENTS, ACTIONS, SUITS, CLAIMS, DEMANDS, INVESTIGATIONS AND LEGAL, ADMINISTRATIVE OR ARBITRATION PROCEEDINGS PENDING IN ANY FORUM. INCLUDE A LISTING OF OSHA VIOLATIONS AND ANY ACTIONS OR ORDERS PENDING OR RESOLVED WITH ANY STATE AGENCY SUCH AS THE DEPARTMENT OF CONSUMER PROTECTION, THE DEPARTMENT OF ENVIRONMENTAL PROTECTION, ETC. DETAIL THIS INFORMATION ON A SEPARATE SHEET OF PAPER. SUCH INFORMATION SHOULD BE FOR THE LAST THREE (3) YEARS.

(Attach additional sheets if necessary)

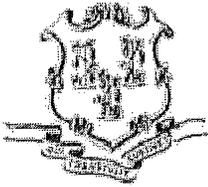
I HEREBY CERTIFY UNDER PENALTY OF FALSE STATEMENT THAT ALL THE INFORMATION SUPPLIED IS COMPLETE AND TRUE.

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
TITLE

ATTACHMENT F



STATE OF CONNECTICUT

NONDISCRIMINATION CERTIFICATION – Representation by Entity

For Contracts Valued at Less than \$50,000

*Written representation that complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended.*

**INSTRUCTIONS:**

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut, valued at less than \$50,000 for each year of contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

**REPRESENTATION OF ENTITY:**

I, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, of \_\_\_\_\_  
(Authorized Signatory) (Title) (Name of Entity)

an entity duly formed and existing under the laws of \_\_\_\_\_  
(Name of State or Commonwealth)

represent that I am authorized to execute and deliver this representation on behalf of \_\_\_\_\_  
(Name of Entity) and that \_\_\_\_\_  
(Name of Entity)

agrees to comply with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended.

\_\_\_\_\_  
(Authorized Signatory) (Date)

\_\_\_\_\_  
(Printed Name)

ATTACHMENT G

OSHA COMPLIANCE  
SP-12 NEW 6/98

**STATE OF CONNECTICUT**  
**Certificate of Compliance with**  
**Connecticut General Statute Section 31 - 57b**

Bid Number:  
\_\_\_\_\_

I hereby certify that all of the statements herein contained below have been examined by me, and to the best of my knowledge and belief are true and correct.

The \_\_\_\_\_ **HAS / HAS NOT**  
*Company Name* (Cross out Non-applicable)

been cited for three (3) or more willful or serious or serious violations of any Occupational Safety and Health Act (OSHA) or of any standard, order or regulation promulgated pursuant to such act, during the three year period preceding the bid, provided such violations were cited in accordance with the provisions of any State Occupational Safety and Health Act of 1970, and not abated within the time fixed by the citation and such citation has not been set aside following appeal to the appropriate agency of court having jurisdiction or **HAS / HAS NOT** (Cross out Non-applicable) received one or more criminal convictions related to the injury or death of any employee in the three-year period preceding the bid.

The list of violations (if applicable) is attached.

\_\_\_\_\_  
*(Name of Firm, Organization or Corporation)*

Signed:

\_\_\_\_\_  
*Written Signature:*

\_\_\_\_\_  
*Name Typed: (Corporation Seal)*

Title:

\_\_\_\_\_  
*(Title of Above Person, typed)*

Dated:

\_\_\_\_\_

State of \_\_\_\_\_ )

County of \_\_\_\_\_ )

ss:

A.D., 20 \_\_\_\_\_

Sworn to and personally appeared before me for the above, \_\_\_\_\_,  
*(Name of Firm, Organization, Corporation)*

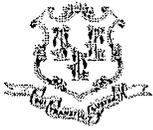
Signer and Sealer of the foregoing instrument of and acknowledged the same to be the free act and deed of

\_\_\_\_\_, and his/her free act and deed as  
*(Name of Person appearing in front of Notary or Clerk)*

\_\_\_\_\_  
*(Title of Person appearing in front of Notary or Clerk)*

My Commission Expires:

\_\_\_\_\_  
*(Notary Public) (Seal)*



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: \_\_\_\_\_]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Form with fields for Consultant's Name and Title, Name of Firm (if applicable), Start Date, End Date, Cost, and Description of Services Provided.

Is the consultant a former State employee or former public official? [ ] YES [ ] NO

If YES: Name of Former State Agency Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Form with fields for Printed Name of Bidder or Contractor, Signature of Principal or Key Personnel, Date, Printed Name (of above), and Awarding State Agency.

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Commissioner of the Superior Court or Notary Public

My Commission Expires

# ATTACHMENT I

OPM Ethics Form 1

Rev. 5-26-15  
Page 1 of 2



## STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Written or electronic certification to accompany a State contract with a value of \$50,000 or more, pursuant to C.G.S. §§ 4-250, 4-252(c) and 9-612(f)(2) and Governor Dannel P. Malloy's Executive Order 49.*

### INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

- CHECK ONE:**  Initial Certification  12 Month Anniversary Update (Multi-year contracts only.)  
 Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

### GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding Gifts by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a Gift to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

**CAMPAIGN CONTRIBUTION CERTIFICATION:**

I further certify that, on or after January 1, 2011, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(f)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(f)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after January 1, 2011 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(f)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

**Lawful Campaign Contributions to Candidates for Statewide Public Office:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

**Lawful Campaign Contributions to Candidates for the General Assembly:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
Printed Contractor Name

\_\_\_\_\_  
Printed Name of Authorized Official

\_\_\_\_\_  
Signature of Authorized Official

Subscribed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Commissioner of the Superior Court (or Notary Public)

\_\_\_\_\_  
My Commission Expires

