Department of Administrative Services
Construction Services

QBS Submittal Booklet Instructions

Office of Legal Affairs, Policy, & Procurement

450 Columbus Boulevard
Hartford, CT 06103

CT DAS 1212 (Rev. 09.30.2020)

New QBS Submittal Booklet Requirements:

Updated 2020: The **format** and **submission requirements** of the Department of Administrative Services/Construction Services (DAS/CS) Request for Qualifications (RFQ) Quality Based Selection (QBS) Submittal Booklets have ***changed***.

We now require **one (1) Portable Document Format (PDF) QBS Submittal Booklet** to be **uploaded on-line** through the ***new*** **"CTsource" e-Procurement System** *prior* to the due date and time of the QBS Submittal Booklet ("QBS Submittal Deadline"). The submission of a hard copy is no longer required and will ***not*** be accepted by DAS/CS.

Please read all of the instructions in this manual *carefully and completely*. **Important updates will be shown in red text.**

Table of Contents

NOTE: FORMS 1213 QBS – CT330 Part I AND 1214 QBS – CT330 Part II MAY BE USED UNTIL JANUARY 1, 2021

On-Line Submission Requirements:

1.	**New State Contracting Portal:** As of August 3, 2020, the new web-hosted e-Procurement system, "**CTsource**", replaced BizNet as the "State Contracting Portal" for all DAS Construction Services Solicitations and Contracts. CTsource is a secure, web-based statewide e-Procurement system implemented by the State of Connecticut with its partner, Perfect Commerce LLC (a PROACTIS Company), using their WebProcure application to streamline how companies do business with State.
2.	**Register on CTsource:** Although *anyone* can *view* Solicitations and Contracts on CTsource, only *registered* Suppliers* are able to *respond* to a Solicitation. To register your business, go to the Supplier Registration Portal on CTsource at: https://portal.ct.gov/DAS/CTSource/Registration. Detailed registration instructions can be found in the "***Supplier Registration and Portal User Guide***", available for download from the CTsource website. *Examples of Suppliers include vendors, contractors, architects, engineers, consultants, service providers, manufacturers, distributors, and any others who are interested in doing business with the State of Connecticut.
3.	**Respond to a Solicitation on CTsource:** Detailed instructions for responding to a DAS Construction Services Solicitation can be found in **6001 Construction On-Line Bidding Instructions**, available for download from the on-line DAS/CS Library (https://portal.ct.gov/DASCSLibrary) > 6000 Series.
4.	**QBS Submittal Booklet:** Each QBS Submittal Booklet shall contain all of the required information, IN THE SPECIFIED FORMAT, and uploaded to **CTsource** by the QBS Submittal Deadline, or the firm may be deemed **Non-Responsive** for this Contract. **IMPORTANT NOTE:** the **final QBS Submittal Booklet** *shall* be created with **bookmarks** and the **final file size** for the **QBS Submittal Booklet** *shall not* exceed **10mb.**
5.	**Addendums:** Addendums will be posted to the solicitation in **CTsource**. Monitor your email alerts from **WebProcure** for Addendums.
6.	**Due Date and Time:** The Consultant Response Due Date and Time are stated in **CTsource** and in the "QBS Submittal Deadline" section of the RFQ Web Advertisement for the specific Contract.

On-Line Submission Requirements (continued):

7. Download the QBS Submittal Booklet Documents:

- Go to the on-line **DAS/CS Library** (https://portal.ct.gov/DASCSLibrary).
- Click on “1000 Series - Project Initiation and Consultant Selection” > “1200 Series – Consultant Selection Forms”.
- Scroll down and **save** the following documents your computer:
  1212.0 Division 0 - Cover Page and Table of Contents
  1212.1 Division 1 - Letter of Interest and Narrative of Firms Approach to the Work for this Project
  1212.2 Division 2 - Additional Criteria Considerations
  1212.3 Division 3 - SBE-MBE Certification
  1212.4 Division 4 - CT330 Part I
  1212.4 Division 4 - CT330 Part I - Extra Section E
  1212.4 Division 4 - CT330 Part I - Extra Section H
  1212.5 Division 5 - CT330 Part II
  1212.6 Division 6 - Acknowledgments and Duly Authorized Signature
- **CLOSE** each document ***prior*** to beginning to edit.

8. Edit the QBS Submittal Booklet Documents:

- **OPEN** each document from your computer.
- Complete the fillable fields of each document as required. If any *required* information is not submitted, you must insert a brief statement in its place explaining why it was not used in the submittal. Remember to keep saving to your computer. **Note:** For unused fields, remove the “insert here” text by pressing the space bar once.
- Once a document is complete, **convert to PDF** by using the “**Print to PDF**” option. Do *not* “Save as Adobe PDF” or “Export as Adobe PDF”. **The PDF must be created in the native software application and not a scan from a paper document.**
- Detailed instructions for editing and completing each QBS document are provided in this instruction manual.

9. Create the Final QBS Submittal Booklet:

- The final submission booklet shall be assembled into a single pdf file following the published format, optimized for printing at 8.5” x 11”. The booklet must be in **PDF/A format** and presented in PDF 1.7 (or greater) file format, per ISO 32000-1 standard. Image resolution should be no more than 300 pixels per inch, assuming the maximum image size would be 7” x 4.5”. **Any single image should not be any larger than 2100 x 1350 pixels**. If too many large images are embedded within the file it will slow down navigation which is to be avoided if possible.
- **Save** the **PDF QBS Submittal Booklet** to your computer using the following file name format (*italics indicate insertion of contract-specific information*): “*Contract Number – Submitting Firm’s Name* – QBS Submittal Booklet”.
- **Insert consecutive page numbers** on the *bottom center footer* of each page of the booklet, beginning on page 2 (the Table of Contents). *Do not* overwrite or replace existing footers and headers.
- **NOTE: Insert correct page numbers** in the **Table of Contents.** Ensure the booklet page numbers correspond *exactly* to the Table of Contents.
- Ensure the booklet is **searchable** and **insert bookmarks as described below.**
- **Final file size** for the booklet ***shall not*** exceed **10mb.**

On-Line Submission Requirements (continued):

10. **Insert Bookmarks,** named exactly as follows and in the following hierarchy *(italics indicate insertion of firm name)*. Save bookmarks with full page view (they should not be zoomed into a portion of the page when selected).

- Division 0 - Cover Page and Table of Contents
- Division 1 - Letter of Interest and Narrative
- Division 2 - Additional Criteria Considerations
- Division 3 - SBE / MBE Certification
- Division 4 - CT 330 Part I
  - Division 4 - Section A: Contract Information
  - Division 4 - Section B: Consultant Point of Contact
  - Division 4 - Section C: Proposed Team
  - Division 4 - Section D: Proposed Team's Organizational Chart
  - Division 4 - Section E: Resumes for Key Personnel
    - Division 4 - Section E: Resumes: *Prime Consultant*
    - Division 4 - Section E: Resumes: *Sub-Consultant*
    - *Etc.*
  - Division 4 - Section F: Example Projects
  - Division 4 - Section G: Key Personnel / Project Matrix
  - Division 4 - Section H: Total Volume of Work
  - Division 4 - Section I: Probity Questions
  - Division 4 - Section J: Past Record of Performance
- Division 5 - CT 330 Part II
  - Division 5 - *Prime Consultant*
  - Division 5 - *Sub-Consultant*
  - *Etc.*
- Division 6 - Acknowledgements and Duly Authorized Signature

11. **Upload the Final QBS Submittal Booklet to CTsource:**

Detailed instructions can be found in the **6001 Construction On-Line Bidding Instructions,** available for download from the on-line **DAS/CS Library** (https://portal.ct.gov/DASCSLibrary) > 6000 Series

Affidavits and Certifications Requirements
(to be uploaded prior to the QBS Submittal Deadline):

1. In accordance with the Connecticut General Statutes (CGS) §§ 1-101qq, 4-250, 4-252, 4-252a, 4a-60, 4a-81(a), and 4a-81(b), DAS/CS requires each firm to ***electronically upload*** certain **Affidavits and Certifications** to their **CTsource account** ***prior*** to the QBS Submittal Deadline.

   Failure to **properly complete, sign, date, and upload** all of the required Affidavits and Certifications to your **CTsource** account ***prior*** to the QBS Submittal Deadline ***shall*** result in the firm's submittal being deemed deficient and the firm **will not** be allowed to pursue this specific Contract. Violations of Affidavits and Certifications (including, but not limited to, CGS §9-612(f)(2)(A)), ***may*** result in disqualification from entering into a State of Connecticut contract.
2. Detailed instructions can be found in the **6001 Construction On-Line Bidding Instructions,** available for download from the on-line **DAS/CS Library** (https://portal.ct.gov/DASCSLibrary) > 6000 Series
3. All Affidavits and Certifications must be **completed, signed, and dated**. Those documents requiring it, must be **notarized**. Once uploaded, Affidavits and Certifications shall be updated and submitted as required by law**.**
4. Affidavits and Certifications **may** be scanned to PDF from a paper print.
5. **Applicable Affidavits and Certifications for contracts with a cost or value of less than $50,000:**
   - **Nondiscrimination Certification Form A or B.**
6. **Applicable Affidavits and Certifications for contracts with a cost or value of $50,000 to less than $500,000:**
   - **OPM Form 1 (Gift and Campaign Contribution Certification).**
   - **OPM Form 5 (Consulting Agreement Affidavit): NOTE:** For this form, "Consulting Agreement" means any agreement with third parties for purposes described in CGS § 4a-81(b)(1). If there are no such agreements, the firm only needs to complete the shaded portion and have the affidavit notarized.
   - **Nondiscrimination Certification Form A, C, D, or E.**
7. **Applicable Affidavits and Certifications for contracts with a cost or value of $500,000 or more:**
   - **OPM Form 1 (Gift and Campaign Contribution Certification).**
   - **OPM Form 5 (Consulting Agreement Affidavit): NOTE:** For this form, "Consulting Agreement" means any agreement with third parties for purposes described in CGS § 4a-81(b)(1). If there are no such agreements, the firm only needs to complete the shaded portion and have the affidavit notarized.
   - **OPM Form 6 (Affirmation of Receipt of State Ethics Laws Summary):** When DAS is seeking a contract for a large state construction or procurement contract having a cost of more than five hundred thousand dollars ($500,000), it shall provide all potential consultant and contractor firms with the ***"Guide to the Code of Ethics For Current or Potential State Contractors".*** The "*Guide to the Code of Ethics For Current or Potential State Contractors*" is available for **electronic download** from the Office of State Ethics (OSE) website (www.ct.gov/ethics) under "Publications > State Contractors". Questions concerning the "*Guide to the Code of Ethics For Current or Potential State Contractors*" can be directed to the OSE at 860-263-2400. DAS is required to notify all potential consultant and contractor firms for a large state construction or procurement contract that they must **electronically upload to their BizNet account** an **"*Affirmation of Receipt of State Ethics Laws Summary (Office of Policy and Management [OPM] Ethics Form 6)"*** affirming that their key employees have read and understand the ***"Guide to the Code of Ethics For Current or Potential State Contractors"*** and agree to comply with the provisions of state ethics laws. **IMPORTANT NOTE:** If the firm has any contracts with any subcontractor or subconsultant that also exceeds $500,000.00 for the project, the firm must submit an *"Affirmation of Receipt of State Ethics Laws Summary"* filled out and signed from each such subcontractor or subconsultant.
   - **OPM Form 7 (Iran Certification).**
   - **Nondiscrimination Certification Form A, C, D, or E.**

Professional Documents, Business Credentials, and Insurance Verification Requirements
(to be submitted within 14 days of being Conditionally Selected)

1. In accordance with the requirements of the DAS/CS Office of Legal Affairs, Policy, & Procurement (OLAPP), the selection of a firm is conditional upon completing and submitting, within **fourteen (14)** calendar days of being notified by email, hard copies of certain Professional Documents, Business Credentials, and Insurance Verification directly to OLAPP. All documents must be current (i.e., less than 90 days old). Documents requiring signatures must use exact legal names. Questions concerning these requirements can be directed to OLAPP at **(860) 713-5663.**
2. Failure of a conditionally selected firm to submit all of the required Professional Documents, Business Credentials, and Insurance Verification to OLAPP within the **fourteen (14)** calendar day deadline ***may*** result in the firm's submittal being deemed deficient and DAS/CS ***may*** then initiate negotiations with next highest rated firm.
3. For a summary of all **required** Professional Documents, Business Credentials, and Insurance Verification documents, go to the on-line **DAS/CS Library** (https://portal.ct.gov/DASCSLibrary) > 1000 Series and **download the following forms:**
   - 1150 Credentials and Insurance Requirements
   - 1269.1 DAS-CS Contract Submittal Requirements

Division 0 Instructions:
Cover Page and Table of Contents

1. **Cover Page:** In the spaces provided:
   - Insert an image of your firm's Logo.
   - Insert your firm's precise Legal Name, Street Address, City/Town, State, and Zip Code.
   - Insert your firm's legal entity (e.g., Limited Liability Corporation, Limited Partnership, Sole Proprietor, etc.).
   - Insert your firm's **first and second Contact Names, Phone Numbers,** and **Email Addresses**.
     All responses and addendum to the QBS process for a specific contract shall be sent by the DAS Policy & Procurement Unit to the ***first*** Contact's email address. The Contact's email address should be **continuously monitored** by the Contact to ensure timely receipt of all communications from the DAS Policy & Procurement Unit.
   - Insert the Selection Type, Type of Consultant Services, Contract No., Project Title and Location, and QBS Submittal Deadline Due Date and Time (***see the RFQ Web Advertisement for this information***).
2. **Print to PDF:**
   - Print the Division 0 page to PDF and save as "Division 0".

Division 1 Instructions:
Letter of Interest and Narrative of Firm's Approach to the Work for this Project

1. As the Prime Professional Services Consultant Firm, write a **Letter of Interest and Narrative of Firm's Approach to the Work for this Project** that includes the following:
   - a synopsis of the services that your firm routinely provides;
   - your firm's approach to the specific work required for this Project;
   - a description of why your firm and proposed team are well qualified to provide the scope of services as described in the RFQ Web Advertisement for this Project; and
   - a description of why your firm and proposed team have the past experience that is relative to this Project.
2. Ensure that the letter is capable of being substantiated by the detailed back-up information your firm provides in "Division 4 - CT330 Part I" and "Division 5 - CT330 Part II".
3. **Address the letter to:** Department of Administrative Services, Construction Services
   Policy & Procurement Unit
   450 Columbus Boulevard, Suite 1302
   Hartford, CT 06103
   RE: Contract No.: *Insert Contract Number*
   Project Title: *Insert Project Title*
4. **Print the Letter** from the native software to **PDF** once complete. Do *not* scan to PDF from a paper print.
5. **Print** the **"Division 1" title** page to **PDF.**
6. Attach the **PDF Letter of Interest and Narrative** behind the **PDF Division 1 page** and save as "Division 1".

Division 2 Instructions: Additional Criteria Considerations

1. In accordance with CGS §§ 4a-59(c), 4b-57(b), and 4b-57(c), and the Regulations of the Connecticut State Agencies 4-134e-8(d), DAS/CS requires **"additional criteria to be considered"** by the QBS Selection Panels in the evaluation of the most qualified Consultant for the advertised Contract.
2. Firms *may* receive additional rating points or consideration for **Additional Criteria Considerations**.
3. **If applicable,** prepare the following document(s) and attach behind the Division 2 page:

.1 Architectural & Engineering (A/E) Consultant Selections, Design-Build Criteria Architect (DBCA) Selections, and Construction Administrator (CA) Selections:

- **All Firms:** Not applicable; no attachments required.

.2 On-Call Consultant Selections:

- **Micro Business Firms**: If you wish to be considered a Micro Business and receive an additional ten (10) "Micro Business" points that shall be applied toward your firm's "Total Selection Grade Points", attach one copy of your firm's Federal Internal Revenue Service Tax Return behind the Division 2 page for the *most recent* fiscal year to establish the firm as a "Micro Business". ***(Important Note:** Prospective Consultants may redact information on the Federal Tax Return such as PIN numbers, Social Security Numbers, EIN Numbers, etc., as well as deduction details.)*

  A "Micro Business" is defined as a "business with gross revenues not exceeding three million dollars in the most recently completed fiscal year".

  For firms who have not yet filed their tax return for the most recent fiscal year, in lieu of a tax return, a letter from a Certified Public Accountant attesting to the firm's gross revenues for the most recently completed fiscal year will be accepted.
- **Architectural or Engineering Firms:** Attach a brief narrative that explains your firm's knowledge of the Connecticut building and fire codes.
- ***NEW:* All Firms:** Complete the appropriate **On-Call Contract - Labor Rate Table** by indicating a single Per Hour rate for each of the specified Labor Categories.

.3 Design-Build Team Selections:

- **All Firms:** Attach a copy of your firm's DAS **Prequalification Certificate** for the DAS Contractor Prequalification Classification "*General Building Construction (Group C)*" and a copy of your firm's **Update (Bid) Statement**.

  For more information about the DAS Prequalification Certificate and Update (Bid) Statement, click https://portal.ct.gov/DAS/Procurement/PreQual/DAS-Construction-Contractor-Prequalification-Program.

.4 Construction Manager at Risk (CMR) Selections:

- **All Firms:** Attach a copy of your firm's **Major Contractor's License** from the Connecticut Department of Consumer Protection (DCP) **.

  ** DAS/CS Policy requires that all CMR firms have a DCP Major Contractor's License, regardless of the DAS Contractor Prequalification Classification Group for CMR firms.

  For more information about the Connecticut Major Contractor's License, click https://portal.ct.gov/DCP/License-Services-Division/All-License-Applications/Major-Contractor-Registration-Application.
- **All Firms:** Attach a copy of your firm's Connecticut DAS **Prequalification Certificate** for the DAS Contractor Prequalification Classification "*Construction Manager at Risk (Group A, B, or C *)*" ***and*** a copy of your firm's **Update (Bid) Statement**. * See the *RFQ Web Advertisement* for this Project to determine the applicable CMR Group (A, B, or C).

  For more information about the DAS Prequalification Certificate and Update (Bid) Statement, click https://portal.ct.gov/DAS/Procurement/PreQual/DAS-Construction-Contractor-Prequalification-Program.
- **All Firms: See Division 2 for additional attachments, the CMR Questionnaire, and the CMR Signature and Notary Statement.**

4. **Print** the **Additional Criteria Considerations** from the native software to **PDF** once complete. Do *not* scan to PDF from a paper print.
5. **Check the correct box** on the Division 2 page.
6. **Print** the **Division 2** page(s) to **PDF.**
7. Attach the **PDF Additional Criteria Considerations** behind the **PDF Division 2 page** and save as "Division 2".

Division 3 Instructions: SBE and/or MBE Certification:

1. If your firm is a **Small Business Enterprise (SBE) and/or Minority Business Enterprise (MBE)** registered with the State of Connecticut DAS Supplier Diversity Program, follow the instructions below.
2. **On-Call Consultant Selections Only:** DAS/CS intends to select at least **one (1) MBE Consultant** out of the total number of On-Call Consultants designated for the specific On-Call Consultant Contract. DAS/CS will follow the selection procedures referenced in the RFQ Web Advertisement to evaluate the QBS Submittals. If no MBE firms are within the initial list of firms recommended for selection, DAS/CS will select the highest scoring MBE firm as long as such firm is qualified to perform the required services and can meet all required contract terms and conditions.
3. For information regarding SBE and/or MBE Certification, or to download a copy of your firm's SBE and/or MBE Certification, click on the following link and follow the instructions: https://portal.ct.gov/DAS/Procurement/Supplier-Diversity/SBE-MBE-Program-Certification-Application-Small-or-Minority-Business-Enterprise
4. **If necessary, print** your firm's **SBE/MBE Certification** to **PDF**. Do *not* scan to PDF from a paper print.
5. **Check the correct box** on the Division 3 page.
6. **Print** the **Division 3** page to **PDF.**
7. If applicable, attach the **PDF SBE/MBE Certification** behind the **PDF Division 3 page** and save as "Division 3".

Division 4 Instructions: CT 330 – Consultant Qualifications
Part I – Contract-Specific Qualifications

IMPORTANT NOTE REGARDING PROPOSED TEAM MEMBERS AND SELECTION INTERVIEWS: Any addition, substitution and/or subtraction of **ANY** team member from the "Original" submission booklet ***MUST*** be submitted NO later than **24 hours** before the scheduled Selection Interview date. (Any sub-consultants and outside associates or consultants required by the Prime Firm and covered by the contract will be limited to individuals or firms with the services that were specifically identified in the original submission booklet).

1. **Read** the instructions on the following pages and complete Division 4.
2. **Division 4 - CT 330 Part I** contains the contract-specific qualification requirements of the proposed team for this specific Contract. Respondents are ***required*** to insert the completed **Division 4** in the QBS Submittal Booklet.
3. **DO NOT** utilize a third party software such as GSA SF 330 Part I. **No other CT 330 format type shall be acceptable.**
4. Once Division 4 is complete, **print** the Division to **PDF**. Do *not* scan to PDF from a paper print. Save as "Division 4".
5. Additional Section E, Section H, and/or Attachment A pages should be printed to PDF and inserted in Division 4 at the appropriate location(s).
6. **Definitions (applicable to Division 4 and Division 5):**

   .1 **Architecture / Engineer Services:** As defined in the DAS/CS Selection and Bidding Manual, means:
   - Professional services of an architectural or engineering nature, as defined by State law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide those services;
   - Professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
   - Those other professional services of an architectural or engineering nature, or incidental services, that members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

   .2 **Branch Office:** Means a geographically distinct place of business or subsidiary office of a firm that has a key role on the team.

   .3 **Discipline:** Means primary technical capabilities of key personnel, as evidenced by academic degree, professional registration, certification, and/or extensive experience.

   .4 **Firm:** As defined in the DAS/CS Selection and Bidding Manual: In conjunction with architect/engineer services, means any individual, partnership, corporation, association, or other legal entity permitted by Title 20 of the C.G.S. and the State of Connecticut Department of Consumer Protection to practice the professions of architecture or engineering.

   .5 **Key Personnel:** Means individuals who will have major contract responsibilities and/or provide unusual or unique expertise.

Division 4 Instructions (continued)

CT 330 – Consultant Qualifications
Part I – Contract-Specific Qualifications

Section A: Contract Information		
Provide the following information as described in the Request for Qualifications Web Advertisement.		
1.1	**Web Advertisement Date:**	Insert RFQ Web Advertisement Date.
1.2	**Web Advertisement Number:**	Insert RFQ Web Advertisement Number.
1.3	**Contract Number:**	Insert Contract Number from RFQ Web Advertisement.
1.4	**Project Title:**	Insert Project Title from RFQ Web Advertisement.
1.5	**Project Location:**	Insert Project Location from RFQ Web Advertisement.

Section B: Consultant Point of Contact		
Provide the following information for a representative of the prime firm or joint venture that the Department can contact for additional information.		
2.1	**Name of Prime Firm:**	Insert name of prime firm.
2.2	**Point of Contact Name:**	Insert name of prime firm's representative.
2.3	**Point of Contact Title:**	Insert title of prime firm's representative.
2.4	**Phone Number:**	Insert phone number of prime firm's representative.
2.5	**Email Address:**	Insert email address of prime firm's representative.
2.6	**Fax Number:**	Insert fax (facsimile) number of prime firm's representative.

Section C: Proposed Team						
Provide the name, full mailing address, contractual relationship (check ONE box), and a brief description of the role of each firm that will be involved in performance of this contract. List the prime firm or joint venture partners first. If a firm has branch offices, indicate each individual branch office that will have a key role on the team. Identify all sub-consultants and outside associates that shall provide services to the prime firm for this contract. **Attach additional Section C sheets as necessary.** ***Important Note:*** *Any addition, substitution and or subtraction of* ***ANY*** *team member from the "Original" submission booklet MUST be submitted NO later than* ***24 hours*** *before the scheduled Selection date. (Any sub-consultants and outside associates or consultants required by the prime firm and covered by the contract will be limited to individuals or firms with the services that were specifically identified in the original submission booklet).*						
Definitions: PF = Prime Firm; JV = Joint Venture Partner; SC = Subconsultant; B/O = Branch Office of Named Firm						
3.1	**Firm Name:**	Insert name of applicable firm.				
3.2	**Firm Address:**	Insert the address of applicable firm.				
3.3	**Contractual Relationship:**	Check ONE box:	☐ **PF**	☐ **JV**	☐ **SC**	☐ **B/O**
		Check only *one* box for each firm Name. See the definitions above.				
3.4	**Role in this Contract:**	Name the services provided for this contract.				

Division 4 Instructions (continued)

Section D: Proposed Team's Organizational Chart

4.1	**ALL SELECTION TYPES:** At this location in Division 4, insert an organizational chart of the proposed team showing the names and roles of all key personnel listed in **Section E - Resumes for Key Personnel Proposed for the Contract** and the firm(s) they are associated with as listed in **Section C - Proposed Team.**	
4.2	**CMR SELECTIONS ONLY:** (Download the **0370 CMR GMP Best Value Selection Procedure Manual** from the **DAS/CS Library** (https://portal.ct.gov/DASCSLibrary) > 0000 Series.)	
	4.2.1	**CMR Preconstruction Phase Organizational Chart:** At this location in Division 4, insert the proposed team's **Preconstruction Phase Organizational Chart,** indicating the names and roles of key personnel listed in **Section E** that shall provide **Preconstruction Phase Scope of Services** as described in Subsection 2.1 of the **0370 CMR GMP Best Value Selection Procedure Manual.**
	4.2.2	**CMR Construction Phase Organizational Chart:** At this location in Division 4, insert the proposed team's **Construction Phase Organizational Chart,** indicating the names and roles of key personnel listed in **Section E** that shall provide **Construction Phase Scope of Services** as described in Subsection 2.2 of the **0370 CMR GMP Best Value Selection Procedure Manual.**

Section E: Resumes for Key Personnel Proposed for the Contract

ALL SELECTION TYPES:

Complete this section for each key person who will participate in this contract. **Make as many copies of Section E as applicable.** Group by firm, with personnel of the prime firm or joint venture partner firms first. The firms must correspond with those listed in Section C. The following sections ***must*** be completed for each resume.

CMR SELECTIONS ONLY:

CMR Preconstruction Phase Key Personnel Resumes: Attach resumes that include the following information for all CMR Key Personnel shown in the **CMR Preconstruction Phase Organizational Chart** in **Section D**.

CMR Construction Phase Key Personnel Resumes: Attach resumes that include the following information for all CMR Key Personnel shown in the **CMR Construction Phase Organizational Chart** in **Section D**.

5.1	**Key Person Name:**	Self-Explanatory.			
5.2	**Role In This Contract:**	Briefly describe this person's role in this Contract.			
5.3	**Years Of *Relevant* Experience:**	**Total:**	Total ***years*** of relevant experience.	**With Current Firm:**	Total years employed by current firm.
5.4	**Firm Name and Location** *(City, State)*:	Name, city and state of the firm where the person currently works, which must correspond with one of the firm's (or branch office of a firm, if appropriate) listed in Section C.			
5.5	**Education:**	Provide information on the highest relevant academic degree(s) received. Indicate the area(s) of specialization for each degree.			
5.6	**Professional Registration:**	Provide information on current relevant professional registration(s) in a State or possession of the United States, Puerto Rico or the District of Columbia according to applicable licensing laws.			
5.7	**Other Professional Qualification):**	Provide information on any other professional qualifications, relating to this contract, such as education, professional registration, publications, organizational memberships certifications, training, awards, and foreign language capabilities.			
5.8	**Five (5) Relevant Projects:**				
	Provide information on up to **five (5) Relevant Projects [do *not* submit more than 5 projects]** in which the person had a significant role that demonstrates the person's capability relevant to her/his proposed role in this contract. These projects **do not** necessarily have to be any of the projects presented in **Section F** for the project team if the person was not involved in any of those projects or the person worked on other projects that were more relevant than the team projects in Section F. If any of the Professional Services or Construction projects are not complete, insert "N/A" in "Year Completed" and indicate the status in Section 5.8.4 "Brief Description".				

Division 4 Instructions (continued)

Section E: Resumes for Key Personnel Proposed for the Contract (continued)

.1	**Project Title & Location:**	Insert Relevant Project title and location (city and state).				
.2	**Year Completed:**	**Professional Services:**		**Construction** *(If Applicable):*		
	Enter the year completed of the professional services~~,~~ (such as planning, engineering study, design, or surveying), and/or the year completed of construction, if applicable. If any of the professional services or the construction projects are ***not*** complete, insert "N/A" in "Year Completed" and indicate the status in Section 5.8.4 "Brief Description".					
.3	**Project with Current Firm:**	**YES:**	☐	**NO:**	☐	
		Check only *one* box, indicating if the project was performed with the current firm.				
.4	**Brief Description** (Brief Scope, Size, Cost, and Specific Role)**:**					
	Insert brief description of Relevant Project, including Scope, Size, Cost, and Specific Role.					

Section F: Example Projects
Which Best Illustrate Proposed Team's Qualifications For This "Project"

Select **five (5) "Example" Projects [do not submit more than 5 Example Projects]** where multiple team members worked together, if possible, that demonstrate the team's capability to perform work similar to that required for this contract.

If any of the Professional Services or Construction projects are not complete, insert "N/A" in "Year Completed" and indicate the status in "Brief Description & Relevance to this Contract".

Complete **one (1) copy** of **Section F** for **each** of the **five (5)** Example Projects.

Limit **one (1)** Example Project per page.

6.1	**Example Project Key Number: 1**				
6.2	**Example Project Title & Location :**	Insert Example Project title and location (city and state).			
6.3	**Year Completed:**	**Professional Services:**		**Construction** (If Applicable)**:**	
	Enter the year completed of the professional services~~,~~ (such as planning, engineering study, design, or surveying), and/or the year completed of construction, if applicable. If any of the professional services or the construction projects are ***not*** complete, insert "N/A" in "Year Completed" and indicate the status in Section 6.7 "Brief Project Description".				
6.4	**Project Owner:**	Project owner or user, such as a government agency or installation, an institution, a corporation or private individual.			
6.5	**Point of Contact Name:**	Provide name of a person associated with the project owner or the organization which contracted for the professional services, who is very familiar with the project and the firm's (or firms') performance.			
6.6	**Point of Contact Phone Number:**	Self-Explanatory.			
6.7	**Brief Project Description (Scope, Size, Cost, and Relevance to this Contract):**				
	Insert a brief description of the project including scope, size, cost, relevance to this contract, and special features of the project. Be certain to discuss the relevance of the example project to this contract.				
6.8	**Project Image:**				
	Copy and paste an image of the project.				
6.9	**Firms From Section C (Proposed Team) Involved With This Project:**				
	.1 **Firm Name:**	Insert firm name (or branch office, if appropriate) on the project team that was involved in the relevant project.			
	.2 **Firm Location** *(City, State)*:	Insert city and state of firm.			
	.3 **Role:**	Briefly describe the role of firm on this project.			

Division 4 Instructions (continued)

Section G: Key Personnel / Project Matrix

The following tables and matrix are intended to graphically depict which **Key Personnel** identified in Section E worked on the **Example Projects** listed in Section F.

7.1	**Example Project Titles From Section F:**	
	List the **Example Project Titles** next to the Example Project Key Numbers, in the same order as they appear in Section F. See the examples provided below.	
	1	S. King Mental Health Center, Bangor, ME
	2	H. Clinton Federal Building, NY, NY
	3	R. Baron Museum, Newport, RI
	4	R. Sox World Headquarters, Boston, MA
	5	Oregon State Hospital, Salem, OR

7.2 Names Of Key Personnel:	**7.3 Role In This Contract:**	**7.4 $ Hourly Rates** **NOT APPLICABLE FOR CMR SELECTIONS** (all hourly rates are subject to negotiation between the Consultant and DAS)	**7.5 Example Projects From Section F**				
List the names of the key personnel proposed in this contract in the same order as they appear in Section E. See the examples provided below.	List the proposed roles of the key personnel in this contract in the same order as they appear in Section E. See the examples provided below.	Provide the $ Hourly Rates for the key personnel in the same order as they appear in Section E. See the examples provided below.	In the column under each Example Project Key number (see Section 7.1) and for each key person, place an "X" under the Example Project Key number for participation in the same or similar role.				
			1	**2**	**3**	**4**	**5**
Maximilian Kontrolle	Chief Architect	$ 190	☒	☐	☒	☐	☐
Gus Eiffel	Structural Engineer	$ 170	☒	☒	☒	☒	☐
Sandy Terra	Civil Engineer	$ 180	☐	☐	☒	☐	☒
Randle P. (Mac) McMurphy	Electrical Engineer	$ 150	☐	☐	☐	☐	☒
			☐	☐	☐	☐	☐
			☐	☐	☐	☐	☐

Division 4 Instructions (continued)

UPDATED 2020: Section H: Total Volume of Work Awarded to the Firm by DAS/CS
[NOT APPLICABLE FOR CMR OR DESIGN-BUILD SELECTIONS]

Read the following questions *carefully*. In accordance with RSCA Section 4-134e-4 & Section 4-134e-8, **Section H** must be completed in its entirety for all DAS/CS contracts that your firm has been awarded or conditionally selected (including those awarded under any name other that the one appearing in the response). Begin with the most recent contract. Then, moving chronologically backwards, enter the next most recent contract ***within the last five years only***. If your Firm has not received a contract (either signed or conditionally selected) from DAS/CS within the last five years, enter "None Within Five Years".

8.1	**Most Recent Contract Signing Date:**		
	Enter the date (month / day / year) from Section 8.5.4 "Contract Signing Date of Most Recently Signed Contract" below. **NOTE:** If your Firm has ***never*** received a signed contract from DAS/CS, enter "NONE" and go to **Section I, Probity Questions**.		
8.2	**Total Number of Contracts:**		
	Enter the total number of "Contracts" that are listed below.		
8.3	**Total Volume of Work ($):**		
	Enter the total "Volume of Work ($)" from all Contracts listed below. **Note:** • **For On-Call Contracts,** the "Total Volume of Work" represents the Total Fees ***earned*** by your Firm for all Task Assignments within the past five (5) years; ***not*** the total value of the On-Call Contract. • **For A/E, CA, and DBCA Contracts,** the "Total Volume of Work" represents the Contract Fee Amounts ***earned*** by your Firm within the past five (5) years; ***not*** the total Project Costs.		
8.4	**Has Your Firm Performed Services Under Any Other Name?**		
	Provide a clarification statement if your Firm has performed services under any name other than the one appearing in this response.		
8.5	**CONTRACT #1 - MOST RECENTLY SIGNED CONTRACT:**		
	Enter the required information for your Firm's ***most recent*** contract with DAS/CS.		
	.1	**DAS/CS Contract Number:**	For **On-Call Contracts**, enter the **On-Call Contract Number** (for example, "OC-DCS-CA-0001"); do NOT enter individual Task assignments. For **A/E, CA, & DBCA Contracts**, enter the original RFQ Web Advertisement **Contract Number** (for example, CF-RC-403-ARC).
	.2	**DAS/CS Contract Title:**	For **On-Call Contracts**, enter the **On-Call Contract Title** (for example, "On-Call Construction Administration Consultant Services"); do ***NOT*** enter individual Task assignments. For **A/E, CA, & DBCA Contracts**, enter the original RFQ Web Advertisement **Project Title** (for example, "Memorial Hall Renovations at CCSU").
	.3	**Contract Type:**	Select your **Contract Type** (On-Call Contract; Architectural or Engineering (A/E) Contract; Construction Administration (CA) Contract; or Design-Build Criteria Architect (DBCA) Contract).
	.4	**Contract Signing Date of Most Recently Signed Contract:**	Enter the date (month / day / year) of the contract signing (or conditional selection, if not yet signed) for your Firm's ***most recent*** contract with DAS/CS.
	.5	**Contract Status:**	Select your current **Contract Status** (Conditionally Selected; Active; Complete*; On Hold; or Cancelled). ***NOTE:** "Complete" is determined by: **On-Call Contracts:** Expired; **A/E, CA, & DBCA Contracts:** Work is Substantially Complete.
	.6	**Contract Completion Date**:**	Enter the date (month / day / year) of the expected contract completion. ****NOTE:** "Contract Completion Date" is defined as follows: **On-Call Contracts:** Expiration Date of On-Call Contract; **A/E, CA, & DBCA Contracts:** Date of Substantial Completion for the Work.
	.7	**Volume of Work ($):**	For **On-Call Contracts**, enter **Total Fees Earned** for all ***Task Assignments***; do ***NOT*** enter the value of the On-Call Contract. For **A/E, CA, & DBCA Contracts**, enter the **Contract Fee Amounts Earned by the Firm; do NOT enter the total Project Cost.**

Division 4 Instructions (continued)

Section H (continued)			
8.6	**CONTRACT #2, #3, #4, etc. (next contracts within the last five years AND in chronological order):**		
	Enter the required information for contracts signed or conditionally selected with DAS/CS ***within the last five years*** (beginning with most recently signed and keeping in chronological order). NOTE: If your Firm has not received a signed Contract from DAS/CS ***within the last five years***, enter "None".		
	.1	**DAS/CS Contract Number:**	For **On-Call Contracts**, enter the **On-Call Contract Number** (for example, "OC-DCS-CA-0001"); do NOT enter individual Task assignments. For **A/E, CA, & DBCA Contracts**, enter the original RFQ Web Advertisement **Contract Number** (for example, CF-RC-403-ARC).
	.2	**DAS/CS Contract Title:**	For **On-Call Contracts**, enter the **On-Call Contract Title** (for example, "On-Call Construction Administration Consultant Services"); do ***NOT*** enter individual Task assignments. For **A/E, CA, & DBCA Contracts**, enter the original RFQ Web Advertisement **Project Title** (for example, "Memorial Hall Renovations at CCSU").
	.3	**Contract Type:**	Select your Contract Type (On-Call Contract; Architectural or Engineering (A/E) Contract; Construction Administration (CA) Contract; or Design-Build Criteria Architect (DBCA) Contract).
	.4	**Contract Signing Date:**	For contracts signed with DAS/CS ***within the last five years***, enter the date (month / day / year) of the contract signing (or conditional selection, if not yet signed).
	.5	**Contract Status:**	Select your current **Contract Status** (Conditionally Selected; Active; Complete*; On Hold; or Cancelled). ***NOTE:** "Complete" is determined as follows: **On-Call Contracts:** Expired; **A/E, CA, & DBCA Contracts:** Work is Substantially Complete.
	.6	**Contract Completion Date**:**	Enter the date (month / day / year) of the expected contract completion. ****NOTE:** "Contract Completion Date" is defined as follows: **On-Call Contracts:** Expiration Date of On-Call Contract; **A/E, CA, & DBCA Contracts:** Date of Substantial Completion for the Work.
	.7	**Volume of Work ($):**	For **On-Call Contracts**, enter **Total Fees Earned** for all ***Task Assignments***; do ***NOT*** enter the value of the On-Call Contract. For **A/E, CA, & DBCA Contracts**, enter the **Contract Fee Amounts Earned by the Firm; do NOT enter the total Project Cost.**

Division 4 Instructions (continued)

Section I: Probity Questions

9.1	Has the firm's contract ever been terminated for any project in the previous **ten (10)** years**?**
	If yes, identify the project, the party with whom your firm contracted for the work and reasons why the project was not completed in "Section 9.6 Probity Questions Remarks" below.
9.2	Has the firm had any projects involved in any litigation in the previous **ten (10)** years?
	If yes, explain the nature and current status of each action in "Section 9.6 Probity Questions Remarks" below.
9.3	Has the firm been assessed damages or penalties for any project in the previous **ten (10)** years?
	If yes, identify the project, the amount and type of damages and reasons for the assessment in "Section 9.6 Probity Questions Remarks" below.
9.4	Has the firm or any officers, principals or partners been indicted or convicted in any jurisdiction for a felony?
	If yes, explain in "Section 9.6 Probity Questions Remarks" below.
9.5	Has the firm had any applications for minority certification rejected or revoked in the previous **ten (10)** years?
	If yes, explain in "Section 9.6 Probity Questions Remarks" below.
9.6	Probity Questions Remarks and/or Additional Attachment(s): Use this section if further explanation is required.
	Self-Explanatory.

Section J: Past Record of Performance on Contracts with the State & Other Clients

Provide a **chronological list** (descending order) of the **ten (10)** most recent contracts completed by your organization, **including both public sector and private sector work, and all DAS/CS and/or DPW Work including On-Call Task Letter Assignments** with the following Information:

10.1	**Project 1:**		
	.1	**Name(s) of Firm:**	Self-Explanatory. Note: Provide clarification if the firm performed these services under any name other than the one appearing in this RFQ Response.
	.2	**Brief Project Description:**	
		Include scope, building use group classification, gross sq. ft., no. of stories above grade, etc.	
	.3	**Project Name/Location** *(City, State)*:	Self-Explanatory.
	.4	**Pre-Bid Cost Budget:**	Self-Explanatory.
	.5	**Public Bid Cost:**	Self-Explanatory.
	.6	**Final Construction Cost:**	Provide the final construction cost including all change orders.
	.7	**Date Completed:**	Date of Substantial Completion for the Work..
	.8	**Percentage of Owner Change Orders:**	Provide percentage of Owner change orders as represented by the cost of owner change orders divided by the final construction cost minus original bid proposal cost.
	.9	**Original Construction Schedule (Months):**	Provide the construction contract time to the Substantial Completion Date as specified in the original construction contract.
	.10	**Final Construction Schedule (Months):**	Provide the construction contract time to the actual substantial completion date.
	.11	**Total Number of Construction Claims:**	Provide the total number of construction claims.
10.2	**Remarks and/or Additional Attachment(s):**		
	Use this section when further explanation is required.		

Division 5 Instructions: CT 330 – Consultant Qualifications Part II – General Qualifications:	
IMPORTANT NOTE REGARDING PROPOSED TEAM MEMBERS AND SELECTION INTERVIEWS: Any addition, substitution and/or subtraction of **ANY** team member from the "Original" submission booklet ***MUST*** be submitted NO later than **24 hours** before the scheduled Selection Interview date. (Any sub-consultants and outside associates or consultants required by the Prime Firm and covered by the contract will be limited to individuals or firms with the services that were specifically identified in the original submission booklet).	
1.	**Read** the instructions below and complete Division 5.
2.	Prepare a *separate*, completed **Division 5 - CT 330 Part II** for ***each*** firm that has a key role on the team. If a firm has branch offices, a *separate* **Part II** must be submitted for ***each*** branch office that will be involved in this Contract. **Part II** contains the general qualifications of each firm.
3.	**DO NOT** utilize a third party software such as GSA SF 330 Part II. **No other CT 330 format type shall be acceptable.**
4.	Once Division 5 is complete, **print** the Division to **PDF**. Do *not* scan to PDF from a paper print. Save as "Division 5".
5.	**If you have more than one Division 5 document,** combine the individual PDF documents into a *single* PDF document (with the Prime Firm's Division 5 document as the first document).

CT 330 – Consultant Qualifications - Part II – General Qualifications
Insert name of firm

Section A: Contract Information		
1.1	**Web Advertisement Date:**	Insert RFQ Web Advertisement Date.
1.2	**Web Advertisement Number:**	Insert RFQ Web Advertisement Number.
1.3	**Contract Number:**	Insert Contract Number from RFQ Web Advertisement.

Section B: Consultant Firm Information		
2.1	**Firm Name:**	Insert name of firm.
2.2	**Firm Street:**	Self-Explanatory.
2.3	**Firm City:**	Self-Explanatory.
2.4	**Firm State:**	Self-Explanatory.
2.5	**Zip Code:**	Self-Explanatory.
2.6	**Ownership Type:**	Insert the type of ownership or legal structure of the firm (sole proprietor, partnership, corporation, joint venture, etc.).
2.7	**SBE / MBE Certification Status:** *(For informational Purposes only)*	See the DAS Website: https://portal.ct.gov/DAS/Procurement/Supplier-Diversity/SBE-MBE-Program-Certification-Application-Small-or-Minority-Business-Enterprise
2.8	**Name of Branch Office:** *(If applicable)*	Insert name of the firm if Part II is prepared for a branch office.
2.9	**Former Firm Name:**	Indicate any other previous names for the firm (or branch office) during the last five (5) years.
2.10	**Former Firm Year Established:**	Insert the year that this corporate name change was effective.

Section C: Consultant Point of Contact		
3.1	**Point of Contact Name:**	Insert name of a firm representative that DAS/CS can contact for additional information. The representative must be empowered to speak on contractual and policy matters.
3.2	**Point of Contact Title:**	Insert title of firm representative listed above.
3.3	**Phone Number:**	Insert phone number of firm representative listed above.
3.4	**Email Address:**	Insert email address of firm representative listed above.

Division 5 Instructions (continued)

Section D: Employees by Discipline

Complete this section for the employees of the firm or branch office for which this CT 330 Part II is prepared. Each person can be counted only once according to his/her primary function.

4.1 Function Code	4.2 Discipline	4.3 Number of Employees	
		4.3.1 Firm	4.3.2 Branch
See Appendix 1 at the end of **CT 330 Part II** for a list of Function Codes.	See Appendix 1 at the end of **CT 330 Part II** for a list of Disciplines. Enter the relevant Disciplines which most accurately reflect the employee's capabilities. List in the same numerical order and do not list more than 20 Disciplines. After the listed Disciplines, write in any unlisted relevant Discipline categories and leave the function codes blank.	If **CT 330 Part II** is prepared for a firm (including all branch offices), enter the number of employees by Discipline.	If **CT 330 Part II** is prepared for a branch office, enter the number of employees by Discipline for the branch in Section 4.3.2 and for the firm in Section 4.3.1.
	4.4 Total Number of Employees:	Self-Explanatory.	Self-Explanatory.

Section E: Profile of Firm's Experience and Annual Average Revenue for Last Five (5) Years:

Complete this section for the firm or branch office for which this Part II is prepared. A particular project may be one experience category or it may be broken into components, as best reflects the capabilities and types of work performed by the firm. However, do not double count the revenues received on a particular project.

5.1 Profile Code	5.2 Experience Category	5.3 Revenue Index Number (See Revenue Index Number Table below)
See Appendix 2 at the end of **CT 330 Part II** for a list of Profile Codes.	See Appendix 2 at the end of **CT 330 Part II** for a list of Experience Categories. Enter the Experience Categories which most accurately reflect the firm's technical capabilities and project experience. List in the same numerical order. After the listed Experience Categories, write in any unlisted relevant project Experience Categories and leave the profile codes blank.	For each type of experience, enter the appropriate revenue index number to reflect the professional services revenues received annually (averaged over the last 5 years) by the firm or branch office for performing that type of work. See the "Revenue Index Number Table" below.
	5.4 Total Work:	Self-Explanatory.

Section F: Annual Average Revenues Of Firm for last Five (5) Years

See the Revenue Index Number Table. Complete this section for the Prime Firm or branch office for which this CT 330 Part II is prepared. Enter the appropriate revenue index numbers to reflect the professional services revenues received annually (averaged over the last five (5) years by the firm or branch office for performing that type of work. A particular project may be identified with one experience category or it may be broken into components, as best reflects the capabilities and types of work performed by the firm. However, do not double count the revenues received on a particular project. . **Indicate State of Connecticut Work, State of Connecticut Local Municipality Work, Federal Work, and Private Sector Work (performed either as the prime firm or subconsultant), and the total.**

Note: If the firm has been in existence for less than **five (5) years**, see definition for "Annual Receipts" under Federal Acquisition Regulation 19.101.

Entity	Index Number
6.1 State of Connecticut Work	Self-Explanatory.
6.2 Connecticut Local Municipality Work	Self-Explanatory.
6.3 Federal Work	Self-Explanatory.
6.4 Private Sector Work	Self-Explanatory.
6.5 Total Work	Self-Explanatory.

Division 6 Instructions: Acknowledgements and Duly Authorized Signature

Acknowledgements:

- Read the Acknowledgements.

Duly Authorized Signature:

- **IMPORTANT:** The individual submitting this form must be authorized to sign contracts on behalf of the company, and must be listed as such in the company's corporate resolution/vendor authorization documents. Please keep in mind that the person listed as "authorized" must be the same person submitting their electronic signature when completing their company's submittal.
- Enter information and sign where indicated. Signatures are permitted to be image files and do not need to be digitally signed.