

**STATE OF CONNECTICUT
DEPARTMENT OF ADMINISTRATIVE SERVICES
REAL ESTATE AND CONSTRUCTION SERVICES**

**Building Design and Construction
450 Columbus Boulevard
Hartford, Connecticut 06103**

**Agency Administered
Projects Manual**

Table of Contents

0500 – Agency Administered Projects Manual

0500 – Agency Administered Projects Manual			
Table of Contents			
Section No.'s	Title	Latest Update	Page #
0	Table of Contents		i-ii
1.0	General Information		1 - 6
1.1	Purpose of this Manual		1
1.2	Department Documents and Forms		2
1.3	Abbreviations		2
1.4	Definitions		2
1.5	Statutory References		5
2.0	Agency Administered Projects		7 - 25
2.1	General Requirements		7
2.2	Capital Expenditures Program Plan		8
2.3	General Letter No. 71		9
2.3.1	Limited Delegation of Direct Purchasing Authority		9
2.3.2	Required Procedures		9
2.3.3	Revocation of Authority		10
2.3.4	Exclusions		10
2.3.5	Additional Resources & Contact Information		10
2.4	Capital Project Initiation Request & Approval Process		10
2.4.1	Emergency Repairs		11
2.4.2	Capital Project Initiation Request – Small Projects		11
2.4.2.1	State Contract for Time and Material Services		
2.4.2.2	Bid		
2.4.2.3	State Employees and Inmates		
2.4.2.4	Approval Process for Capital Project Form Letters		
2.4.2.5	Change Orders for Capital Project Form Letters		
2.4.3	Capital Project Initiation Request – Special Conditions		16
2.4.3.1	Request for Declaration of Emergency		
2.4.3.2	Approval Process for Declaration of Emergency		
2.4.3.3	Request for HazMat Assistance		
2.4.4	Capital Project Initiation Request – Form 1105		18
2.4.4.1	Form 1105 Requirements		
2.4.4.2	Approval Process for Form 1105		
2.5	Project Initiation Phase		20
2.6	Design Phase		21
2.7	Bid/Procurement Phase		22
2.7.1	Pre-Bid		23
2.7.2	Bid		24
2.7.3	Bid Documents		25
2.7.4	Build America, Buy America Act (BABA)		25

Table of Contents

0500 – Agency Administered Projects Manual

Section No.'s	Title	Latest Update	Page #
2.8	Construction Phase		26
2.9	Project Closeout		28
2.10	Suspension/Reactivation/Termination of an On-Call Task Assignment		29
2.10.1	Suspension of an On-Call Task Assignment		29
2.10.2	Reactivation of an On-Call Task Assignment		30
2.10.3	Termination of an On-Call Task Assignment		31
2.11	Reporting Requirements		31
3.0	Reference Documents		32
3.1	Project Manuals & Guidelines (0000 Series)		
3.2	Project Initiation and Consultant Selection (1000 Series)		
3.3	Design Phase Forms (3000 Series)		
3.4	Bid Phase Forms (6000 Series)		
3.5	Construction Phase Forms (7000 Series)		
4.0	Appendices		
Appendix I	Emergency Project Contact Information		
Appendix II	Capital Project Initiation Request Workflows		

Notice of Changes

0500 – Agency Administered Projects Manual

Important Notice of Changes

Agency Administered Projects Manual

(11/24/25)

The DAS|RECS “Agency Administered Projects Manual” dated April 19, 2024 has been revised, updated, and posted in the 0000 Series - Project Manuals and Guidelines section of the DAS|RECS Library. The new “Agency Administered Projects Manual” is dated November 24, 2025. The revisions and updates to this Manual can be summarized as follows:

1. Section 2.1 – General Requirements. Line item 5 – update of evidence of an approved allocation of funding as part of the Capital Project Initiation Request.
2. Section 2.3 – General Letter 71 updated in accordance with technical changes released July 22, 2025.
3. Section 2.4.2.1 – Updated requirements to demonstrate a good faith effort if less than three (3) written quotations were acquired when attempting to solicit quotes from pre-qualified vendors under a State Contract.
4. 2.4.2.5 – Addition of Change Orders for Capital Project Form Letters.
5. Section 2.6 – Updated Agency responsibility for retaining Design Phase Record in accordance with C.G.S. 11-8 and 11-8a.
6. Section 2.7 – Updated Agency responsibility for retaining Bid Phase Record in accordance with C.G.S. 11-8 and 11-8a.
7. Section 2.7.4 – Minority & Small Business Set Aside Program – Removed.
8. Section 2.9 – Updated requirement for Agency to submit Form Certificate of Compliance and any other such documentation as may be required by the OSBI to certify substantial compliance with applicable State statutes, regulations and Life Safety codes where such Project was approved through Form 1107, 1108, 1108A, or 1109.

Please note that in addition to the updates and revisions summarized above, this Manual has been fully edited with minor changes made throughout. Therefore, it is strongly recommended that any prior copies of this manual and the submittal requirements be discarded. All new submittals should be based solely on the current edition of this manual.

General Information

0500 – Agency Administered Projects Manual

1.0 GENERAL INFORMATION

1.1 Purpose of this Manual

This Agency Administered (AA) Projects Manual provides Agencies with guidelines, standards, and procedures to self-administer a capital construction Project.

Manual Update

This Manual will be updated from time to time to reflect changes in statute, regulation, policy and procedures. Updates will be posted semi-annually, if applicable, in a Manual Notice as a preface to the Manual. DAS will notify Agencies, via email, if such Manual Notice is posted. Any questions, comments, or suggestions regarding this Manual should be submitted to DAS Construction Support Services ([CSS](#)).

Introduction to the Department of Administrative Services (DAS)

DAS is responsible for most new building and capital improvements to State property and buildings and provides resources for Agencies to initiate State Building Construction Projects, otherwise known as “Capital Building Construction Projects.” The authority of the DAS is defined under Title 4a and 4b of the Connecticut General Statutes.

Organization of the DAS, Construction Services

The Construction Services section of DAS consists of the following: Construction Support Services, Technical Services, Project Management, Office of Legal Affairs, Policy and Procurement, and the Offices of State Building Inspector and Fire Marshal.

DAS has the primary State responsibility for hiring architects, engineers, and construction administrators (“Consultants”), as well as construction managers, design-builders and general Contractors related to building, site and facility Projects. DAS is also responsible for hiring professional design and construction Consultants, on an on-call basis, to provide a range of services or tasks to support AA Capital Construction Projects.

CSS manages the intake, processing, and tracking of all Capital Building Construction Project requests; requests a Capital Project Number be assigned to the Project by the DAS Financial Unit; administers the process for the selection of an on-call Consultant for said Projects and assists in drafting and executing task letters for services to be provided by said Consultant; manages the intake and processing of Requests for Declaration of Emergency and manages the closeout process for AA Projects.

Project Management & Technical Services are responsible for administering State Capital Building Construction Projects through planning, design and construction for both new and renovation Projects. Project Management includes teams that handle most agencies’ Capital Building Project needs throughout the State. Each team has qualified professional staff to comply with their agencies’ requirements. A team may consist of the following types of staff: Assistant Director of Project Management (ADPM), Project Managers (PMs), Associate Project Manager (Associate PM), Assistant Project Managers (APM), and Administrative support.

The ADPMs manage the Project Teams to assure the agencies’ needs are being met. The PM or Associate PM is directly responsible for the Project and is the main contact with the Agency and the Consultants on a day to day basis. The APMs are the Project support staff that have professional expertise in construction, codes, mechanical, electrical, or other areas that can complement the PM or Associate PM.

Services provided by Project Management include support services for Agency Administered (AA) Projects and consist of the following: scheduling and participating in scope review meetings with the Agency and Consultant to develop a Capital Building Construction Project scope of work; negotiating the fee with the Consultant, on behalf of the Agency, for the proposed scope of work; and preparation of a task letter agreement, by and between the Consultant and DAS, for the Consultant to perform the work for the Agency.

General Information

0500 – Agency Administered Projects Manual

1.2 Department Documents and Forms

Documents and Forms referenced in this Manual are available in the [DAS|RECS Library](https://portal.ct.gov/DAS/Lists/DAS-Construction-Services-Library) (<https://portal.ct.gov/DAS/Lists/DAS-Construction-Services-Library>). To find the proper form, select the appropriate form number series from the series list on the DAS|RECS Library landing page. From there, scroll through the list of forms until you find the one you are looking for. Once you have found the appropriate form, click on the form link to view or download the form. Please note that the forms found in the library may be revised periodically and re-posted to the Library. **Prior to using any previously copied forms, the current version of the form from the Library should be consulted.** DAS will endeavor to update the forms on an annual basis. If, however, circumstances warrant, there may be an interim modification, and notice will be provided to all Agencies of any such change.

1.3 Abbreviations

AA	Agency Administered
ADPM	Assistant Director Project Manager
A/E	Architect/Engineer
APM	Assistant Project Manager
ASSOCIATE PM	Associate Project Manager
CA	Construction Administrator
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunities
CSS	Construction Support Services
DAS	Department of Administrative Services
DAS RECS	DAS / Real Estate & Construction Services
DC	Deputy Commissioner
PM	Project Manager

1.4 Definitions for Agency Administered Projects

Acceptance of the Work: The Agency's acknowledgement of the Acceptance of the Work, through the Certificate of Acceptance, that all Work has been completed, with the exception of heating and cooling systems requiring seasonal testing, and approved deferred Functional Performance Testing, to certify Functional Completion of those systems. The Agency's prior written approval shall be required for any and all such exceptions.

Agency: The institution or organization, as defined under the provisions of C.G.S. Section 4b-52, having administrative authority of the facility in which the Work is being performed.

Agency project manager: The individual employed by the Agency to represent the Agency and is certified by the Agency as being qualified to be responsible for the overall management and oversight of the Project.

Architect, Engineer, or Landscape Architect: A sole proprietor, partnership, firm, corporation or other business organization under contract with the DAS, commissioned to prepare Contract Drawings and Specifications for the Agency, to advise the Agency and in certain cases, to perform regular inspections and other services during construction, when authorized as part of its commission. Also referred to as the A/E.

Bidder: A sole proprietor, partnership, firm, corporation, or other business organization submitting a Bid on the Bid Proposal Form for the Work contemplated.

Bidding Documents: Collectively, the bidding requirements and the proposed Contract Documents, including any addenda issued prior to receipt of Bids.

General Information

0500 – Agency Administered Projects Manual

Bid or Bid Proposal Form: A complete and duly signed proposal to perform Work (or a designated portion thereof) for a stipulated sum in accordance with the Bidding Documents.

Capital Expenditures Program Plan is a list of all Capital Construction Projects for which funding authorization is pending, or for which funding has been authorized, and for which the agency will be requesting approval for the allocation of such funds in any given fiscal year.

Certificate of Acceptance: A document issued by the Agency to the Contractor stating that all Work specified in the Certificate of Acceptance has been completed and accepted by the Agency.

Certificate of Compliance: A document certifying that a portion of the Project completed, either the design portion or construction portion, has been performed in substantial compliance with the Connecticut State Building Code and all other applicable codes as required by Chapter 541 of the Connecticut General Statutes (C.G.S). The Certificate of Compliance shall be issued and signed by the Architect or Engineer of Record or qualified Agency Architect/Engineer Representative, the General Contractor, and the Commissioner or Authorized Representative of the Agency.

Certificate of Substantial Completion: Substantial Completion is the stage in the progress of the Work when the Work or designated portion thereof is sufficiently complete in accordance with the Contract Documents. The Certificate of Substantial Completion is a document prepared by the Architect or Engineer and approved by the Agency on the basis of an inspection stating:

- That the Work, or a designated portion thereof, is determined to be Substantially Complete;
- The date of Substantial Completion;
- The responsibilities of the Agency and the Contractor for security, maintenance, heat, utilities, damage to the Work and insurance; and
- The time within which the Contractor shall complete the remaining Work.

Construction Administrator: A sole proprietor, partnership, firm, corporation or other business organization, under contract with DAS to provide the Agency with Project oversight services to ensure fulfillment of all requirements of the Contract Documents.

Construction Documents: Drawings, and Specifications, signed and sealed by the Architect and/or Engineer or qualified Agency Architect/Engineer Representative, that set forth in detail the requirements for the construction of the Project and shall be certified to be in substantial compliance with applicable State of CT building/fire codes and statutes, by the Designer of Record and the Department Head or Authorized Representative of the Agency, and are in conformance with the code requirement provisions of the most current version of the DAS Consultants Procedure Manual.

Contract Documents: The Agreement between Agency and Contractor, Conditions of the Contract (General Conditions, Supplementary Conditions, General Requirements and other Conditions), Drawings, Specifications, and Addenda issued prior to execution of the Contract, other documents listed in the Agreement and Modifications issued after execution of the Contract, all of which shall constitute the Contract Documents.

Contractor or General Contractor: A sole proprietor, partnership, firm or corporation, under direct Contract with the **Agency** responsible for performing the Work under the Contract Documents. Whenever the words "Contractor" or "General Contractor" (GC) are used it shall be understood to mean Contractor.

Department of Administrative Services Project Manager: The individual employed by the Department designated and authorized to: 1) Draft a Consultant Project Initiation Scope Meeting Agenda and then schedule a Scope Meeting with the Agency and Consultant to

General Information

0500 – Agency Administered Projects Manual

review the Project scope of work; 2) Conduct all fee negotiations with the Consultant in consultation with the Agency; and 3) Draft a task letter against the subject On-Call Contract to perform the proposed scope of work.

General Contract: The Agreement between the Agency and Contractor.

Manual: For purposes of this document, the “Manual” is the Agency Administered Projects Manual.

Notice To Proceed: Written notice, issued by the Agency or the Agency’s authorized representative, to the Contractor, authorizing the Contractor to proceed with the Work and establishing the date for commencement of the Contract Time.

On-Call Contract: The Agreement between DAS and Consultant to provide certain on-call services for a not to exceed designated maximum fee.

Project: The total Work authorized to be performed under a specific Capital Project Initiation Request.

Project Manual: The set of documents assembled for the Work which includes, but is not limited to, Contract Documents, Bidding Requirements, Sample Forms, Conditions of the Contract, General Requirements, and the Specifications.

Substantial Completion: The stage in the progress of the Work when the Work or designated portion thereof is sufficiently complete in accordance with the Contract Documents, the determination of which shall be represented by the issuance by the Agency of a Certificate of Substantial Completion.

Supplemental Bid: The monetary value Stated in the Bid to be added to the amount of the Base Bid if the corresponding Work, as described in the Bidding Documents, is accepted. Supplemental Bids must be accepted in the order in which it is listed starting with Supplemental Bid 1, etc.

Task Letter: The Agreement between the Agency and On-Call Consultant to perform services in accordance with the subject On-Call Contract. The Task Letter specifies a specific scope of work, fee, and duration of time for a defined Task.

Work: The Consultant services required by the on-call services contract and/or the construction and services required by the construction contract. The construction contract is inclusive of all labor, materials, equipment and services provided or to be provided by the Contractor to fulfill the Contractor’s obligations. The Work may constitute the whole or a part of the Project whether on or off the site of the Project, and including all labor, materials, equipment and services provided or to be provided by Subcontractors, Sub-subcontractors, material suppliers or any other entity for whom the GC is responsible for under or pursuant to the construction contract.

General Information

0500 – Agency Administered Projects Manual

1.5 Statutory References

Statutory references are cited throughout the Manual, and within other DAS Manuals, Contract Documents, Forms, Checklists, Schedules and Report templates.

This section includes a listing and summary description of the most frequently used statutory and regulatory references regarding Agency Administered Projects. To view the full text of any of the referenced statutes, click on the Connecticut General Assembly ["Browse Statutes"](https://www.cga.ct.gov) hyperlink (<https://www.cga.ct.gov>), search for the relevant Section from the list of "Titles" and click on the appropriate hyperlink.

STATUTORY REFERENCES

C.G.S. Section 1-79. Code of Ethics for Public Officials

C.G.S. Section 4a-100. Prequalification of Contractors and substantial subcontractors. Fees. Application. Regulations. Renewal. Revocation. Notice re State Contractors or substantial Contractors. Appeal. Notice re bond guarantee program.

C.G.S. Section 4a-101. Standard Contractor evaluation form. Public agency to submit completed evaluation form. Contractor response. Definitions. Preliminary evaluation. Exemption from liability. Failure to submit form.

C.G.S. Section 4b-3. State Properties Review Board established. Commissioner of Administrative Services' powers in State realty transactions. Review by board of transactions, contracts and acquisition of development rights. Appeals.

C.G.S. Section 4b-11. Supervision of State property. Trespass upon State property. Penalty.

C.G.S. Section 4b-23. State facility plan. Responsibilities of Secretary of the Office of Policy and Management, Commissioner of Administrative Services and Properties Review Board.

C.G.S. Section 4b-51. Alterations, repairs or additions to real assets. Selection of Consultants for certain Projects.

C.G.S. Section 4b-52. Repairs or changes to State premises. Exception for emergency conditions. Renegotiation of leases.

C.G.S. Section 4b-55. State Construction Services Selection Panel; Connecticut Health and Education Facilities Authority Construction Services Panel. Definitions. .

C.G.S. Section 4b-56. State construction services selection panels, and Connecticut Health and Education Facilities Authority construction services panels, established. Membership.

C.G.S. Section 4b-57. Consultant services. Invitation of responses. Consideration by selection panel.

C.G.S. 4b-58. Contracting for Consultant services.

C.G.S. Section 4b-61. Contracting for design professional services.

C.G.S. Section 4b-91 thru 4b-102. Process for Bidding for public works contracts. Prequalification requirements. Exceptions.

C.G.S. Section 19a-332 thru 19a-332c. Department of Public Health. Asbestos.

C.G.S. Section 22a-6. Department of Energy and Environmental Protection. Commissioner to establish environmental standards, regulations and fees, to make contracts and studies and to issue permits. Complaints. Hearings. Bonds. Notice of contested cases. Fee waivers. Public notices on department's Internet web site.

General Information

0500 – Agency Administered Projects Manual

C.G.S. Section 22a-449(c). Duties and powers of commissioner resources of potential pollution or damage. Licenses. Regulations. Nonresidential underground storage tank systems.

C.G.S. Section 29-251 thru 29-282. Public Safety and State Police. State Building Code

C.G.S. Section 29-276b. Public Safety and State Police. “Threshold limit” defined. Requirements when structure or addition will exceed threshold limit. Standards for facilities which perform testing of construction materials.

C.G.S. Section 29-291 thru 29-369. Public Safety and State Police. State Fire Prevention Code.

C.G.S. Section 29-292. Public Safety and State Police. Fire Safety Code. Carbon monoxide and smoke detection and warning equipment. Certificate of occupancy. Liability.

C.G.S. Section 29-401 thru 29-415. Public Safety and State Police. State Demolition Code.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.0 AGENCY ADMINISTERED PROJECTS

2.1 General Requirements

Capital Building Construction Projects may be self-administered by an Agency in accordance with Connecticut General Statutes (C.G.S.) 4b-52 (“Agency Administered”) or, if unable to self-administer, then the Project is administered by DAS on behalf of the Agency (“DAS Administered”). The Department of Transportation, University of Connecticut, and Legislative Branch Projects are not subject to the aforementioned provisions to self-administer Capital Construction Projects.

To self-administer repairs, alterations, or additions, an Agency must:

1. Submit a Capital Expenditures Program Plan (CapEx), on or before September 1st of each even numbered calendar year, in accordance with the revised Comprehensive Capital Expenditures Program Plan Policy, dated November 13, 2023.
2. Submit and receive approval from the Commissioner of DAS or designee for a formal Capital Construction Project Initiation Request, unless otherwise noted in Paragraph 3 below.

Meet the threshold amount for repairs, alterations or additions in accordance with C.G.S. 4b-51(as amended under PA 23-205, Sec. 105) and 4b-52 (as amended under PA 23-205, Sec. 106). The threshold amount for repairs, alterations or additions shall include, but is not limited to the cost of demolition, hazardous materials and abatement; the cost to furnish all labor and other means of construction, all specified materials, construction contingency, and all necessary equipment, machinery, and tools; and any and all other cost to be Bid as part of the construction contract.

3. The threshold amount for most agencies to self-administer a Project is \$1,000,000.

The following agencies are not required to obtain DAS approval to self-administer Capital Building Construction Projects at the noted threshold amounts.

Agency	Threshold Amount
Connecticut Judicial Branch	\$0 - \$500,000
State System of Higher Education (CSCU)	\$0 - \$500,000
Department of Energy and Environmental Protection	\$0 - \$1,000,000
Connecticut State Military Department (CTMD)	\$0 - \$3,000,000

DAS approval is required to self-administer Capital Building Construction Projects at the noted threshold amounts.

Agency	Threshold Amount
Connecticut Judicial Branch	\$500,000 - \$3,000,000
State System of Higher Education (CSCU)	\$500,000 - \$3,000,000
Department of Energy and Environmental Protection	\$1,000,000 - \$3,000,000
All Other State Agencies	\$0 - \$1,000,000

4. For any Capital Construction Project with which the applicant agency requires professional Consultant service assistance, the applicant agency will be required to obtain DAS approval to self-administer such Project, regardless of the noted threshold amount for approval. If such Consultant services are required, the applicant agency, with the exception of the Connecticut Military Department, the Department of Energy and Environmental Protection, and the Judicial Branch (when the cost of such consultant services is estimated not-to-exceed three hundred thousand dollars) will be required to utilize the services of a Consultant that has been assigned to them by the DAS from a list of prequalified Consultants, established under the provisions of CGS 4b-51, that have been awarded an “On-Call” contract for the limited purpose of providing Consultant services on

Agency Administered Projects

0500 – Agency Administered Projects Manual

a Capital Construction Project. The specific Consultant services shall be executed pursuant to a task letter detailing said services to be performed under the subject On-Call contract. Conform to all guidelines and procedures established by DAS for Agency Administered (AA) Projects as described in this Manual and Certify that the design and construction of their Project will be in substantial compliance with all other applicable State statutes, regulations and Life Safety codes.

5. Have all funding in place prior to the award of contracts and, at minimum, provide evidence of an approved allocation for DAS/CS Fees and any applicable Predesign studies, and Preconstruction Architect/Engineer (A/E) and Construction Administration Design Service Fees as part of the Capital Project Initiation Request.
6. Certify that it will remain within its statutory budget limits to self-administer a Capital Project in accordance with State statute.
7. Certify that it will be compliant with applicable State Building, Fire, and Life Safety codes and statutes.
8. Conform to all guidelines and procedures established in this Manual, and as applicable, conform with the Department of Administrative Services (DAS) Consultants Procedure Manual, and the 0450 - DAS Capital Projects High Performance Buildings Guidelines.
9. Depending upon the Project type, have the capability to assume all of the following responsibilities:
 - a. Project Initiation – See [Section 2.5](#) of this Manual for detailed requirements.
 - b. Design Phase – See [Section 2.6](#) of this Manual for detailed requirements.
 - c. Bid Phase – See [Section 2.7](#) of this Manual for detailed requirements.
 - d. Construction Phase – See [Section 2.8](#) of this Manual for detailed requirements.
 - e. Project Closeout – See [Section 2.9](#) of this Manual for detailed requirements.
10. If the Agency requests design assistance as part of a Capital Project Initiation Request, then the Agency must administer the Project employing Project management software as determined by DAS. The Project management software shall be utilized for recording Project specific documentation as directed by the DAS and/or as otherwise defined in this Manual. Training for the employed Project management software will be provided to the Agency pm and their Project team upon request to CSS.

DAS|RECS reserves the right to audit any Project it has authorized to be self-administered to ensure Agency compliance with the standards set forth in this Manual. Failure to comply with such standards may negatively affect the Agency's ability to self-administer Projects.

2.2 Capital Expenditures Program Planning

To ensure investments in capital improvements are proactively planned and deployed as effectively as possible in the building and maintenance of State facilities, all Agencies, with the exception of the Department of Transportation, University of Connecticut, and Legislative Branch are required to prepare for submission a Capital Expenditures Program Plan (CapEx), outlining their capital construction facility needs.

Each agency's CapEx shall consist of a list of all Capital Construction Projects for which funding authorization is pending, or for which funding has been authorized, and for which the agency will be requesting approval for the allocation of such funds. Each agency's Capital Expenditures Program Plan shall cover a period of at least five years, shall be updated on a biennial basis, and is subject to review and approval by the Commissioner of DAS or designee and the Secretary of OPM. Each Agency shall prepare and submit a draft version of the Capital Expenditure Program Plan, outlining their capital construction facility needs, to the DAS|RECS, on or before September 30th of each even numbered calendar year; and a final

Agency Administered Projects

0500 – Agency Administered Projects Manual

version of the same shall be submitted, to the DAS|RECS, on or before November 15th of each even numbered calendar year.

Only Projects that are included as part of the Comprehensive Statewide Capital Expenditures Program Plan within the current budget cycle can be subject to approval of a Capital Construction Project Initiation Request (Form 1105), Emergency Projects or critical Projects not included in this plan, but desired by the administration, may be the exception to this rule.

2.3. General Letter No. 71

Pursuant to Title 4a, Chapter 58 of the Connecticut General Statutes, as amended from time to time, DAS delegates to Agencies the authority to purchase and/or rent goods and/or services, directly, \$100,000 or less, subject to the following purchasing limitations:

2.3.1 Limited Delegation of Direct Purchasing Authority to Executive Branch Agencies

- a. Purchases of \$25,000 or less when performance is to be completed within 1 year:
 - i. Minor nonrecurring or emergency purchases of \$25,000 or less may be made directly between an executive branch agency and provider without obtaining quotations or bids and, if consistent with the Agency's internal processes, without a written contract. A "minor nonrecurring purchase" is a single purchase of \$25,000 or less when the performance is to be completed within 1 year. In accordance with regulations enacted pursuant to Title 4a, Chapter 58, an "emergency" exists when there is "a threat to public health, welfare, safety, or a critical governmental service, such as may arise by reason of floods, epidemics, riots, equipment failures, or similar extraordinary conditions or contingencies that cannot reasonably be foreseen and guarded against. The existence of such a condition creates an immediate and serious need for supplies, materials, equipment or contractual services that cannot be met through normal procurement methods and the lack of which would seriously threaten [the functioning of state government; the preservation or protection of property; or the health or safety of any person]."
 - ii. Recurring purchases of \$25,000 or less when performance is to be completed within 1 year: Where possible and practical, purchases of \$25,000 or less (not including purchases made pursuant to paragraph a.i., above) must be made pursuant to a competitive solicitation as provided for in CGS section 4a-57 and based upon at least 3 written quotations or bids from responsible, qualified providers. If consistent with the Agency's internal processes, no written contract is required for purchases of \$25,000 or less when performance is to be completed within 1 year.

- b. Purchases over \$25,000 or any purchases, regardless of amount, when performance exceeds 1 year:

Where possible and practical, purchases of \$100,000 or less (not including purchases made pursuant to paragraph a.i. and a.ii. above) must be made pursuant to a competitive solicitation as provided for in C.G.S section 4a-57 and based upon at least three (3) written quotations or bids from responsible, qualified providers. When entering into a contract with a provider, the executive branch agency must utilize the appropriate agency contract found here: [Agency Contract](#).

2.3.2 Required Procedures

- a. **Authorized Personnel:** Agencies shall allow purchasing under [GL71](#) only by staff holding the appropriate Core-CT financial permissions.
- b. **Competitive Solicitation:** When issuing requests for quotations or invitations to bid, Agencies must obtain at least 3 written quotations or bids from responsible and

Agency Administered Projects

0500 – Agency Administered Projects Manual

qualified providers, where possible and practical. Bids must be posted on the State Contracting Portal in accordance with C.G.S sections 4a-57 and 4e-13(c).

- c. **Contract:** All direct purchases completed under GL71 3. b must utilize the appropriate agency contract found here: [Agency Contract](#).
- d. **IT Purchases:** Agency IT purchases require prior BITS approval. [Purchasing 101](#)
- e. **Posting Contracts:** Agencies shall post executed contracts on the state contracting portal in accordance with CGS sections 4a-57 and 4e-13(c).
- f. **Record Retention:** Agencies must retain copies of requests for quotations or invitations to bid, purchase orders, specifications, proposals, and corresponding documentation for the appropriate retention period or as otherwise provided for in CGS sections 11-8 and 11-8a.

2.3.3 Revocation of Authority

DAS' limited delegation of authority for direct purchasing under this GL71 is permissive and may be revoked at any time. DAS may review any Agency purchase(s) for GL71 compliance.

2.3.4 Exclusions

- a. **Existing DAS Contracts:** Prior to exercising the authority delegated in this GL71, all executive branch agencies must confirm that there is not an existing DAS contract for the Agency's desired goods and/or services. See: [Guide for locating/searching CTsource for DAS contract portfolio](#).
- b. *If there is an existing DAS contract for the agency's desired goods and/or service, the Agency must purchase under the existing DAS contract.* See: [Guide for purchasing under a DAS contract](#).
- c. **PSA/POS Service Agreements:** Purchases under Personal Service Agreements (PSA) and Purchase of Service Agreements (POS) are excluded. Contact the Office of Policy and Management (OPM) for PSA/POS procedures. See: [OPM POS/PSA procedures](#).
- d. **Real Property:** Real property purchases and leases are not authorized under GL71. See DAS [State Leasing and Property Transfer](#) for guidance.
- e. **Interagency Transfers:** Interagency transfers are not authorized under GL71.
- f. **Public Utilities:** Purchasing public utility services are not authorized under GL71. For direct purchasing of public utility services, see CGS 4a-57(e)(1).

2.3.5 Additional Resources & Contact Information

For further guidance, call DAS Procurement 860-713-5095, email:

DAS.Procurement@ct.gov

Reference Materials:

- [Purchasing 101](#)
- [Agency Contract](#)
- [State Contracting Portal Posting Guidelines](#)

2.4 Capital Project Initiation Request and Approval Process

This section provides a detailed description of the submission and approval process for an Agency to self-administer a Capital Project.

Capital Project Initiation Request Letters, referenced in this section, for small Projects and emergency Projects (1107, 1108, 1108A, 1109), can be found in the 1000 Series - Project Initiation and Construction Selection section of the [DAS|RECS Library](#). Form 1105 - Capital Project Initiation Request and Form 1165 - Hazardous Materials Assistance Request can be

Agency Administered Projects

0500 – Agency Administered Projects Manual

found in Trimble Unity Construct ([TUC](#)), the current Project management software system utilized by DAS|RECS to manage State Construction Projects. Failure to complete any of these forms in their entirety and/or provide the required supporting documentation may impact Project approval.

See [Appendix II](#) of this Manual for detailed workflows of the approval process for each type of small Project Capital Project Initiation Request. Please refer to 0175 TUC Guidance Manual, located in the 1000 Series - Project Initiation and Construction Selection section of the [DAS|RECS Library](#), for a detailed description of the workflow process for Form 1105 - Capital Project Initiation Request and Form 1165 - Hazardous Materials Assistance Request.

2.4.1 EMERGENCY REPAIRS (<\$25,000)

An Agency's Authorized Representative is permitted by DAS to perform emergency building repairs consisting of imminent life safety issues and continuity of operations (i.e. repair steam line, roof leak), or routine maintenance Projects (e.g., annual start-up of boilers), for up to \$25,000 dollars without DAS's approval. A Project is not considered to be an emergency repair if such Project constitutes an alteration or addition to a facility.

The Agency shall maintain a log of all such Projects and include the following information as part of the record log:

- Project Number,
- Project Name and Location,
- Consultant/Contractor/Supplier Name,
- Contract or Purchase Order (PO) Number,
- Percent of Project Completion,
- Final Project Cost, and
- Final Payment Date.

The Agency shall maintain a copy of the Emergency Repairs Project Log at their facilities office location for future review by the State Auditors or DAS.

2.4.2 Capital Project Initiation Request – Small Projects

An Agency may use either **Form 1105 – Capital Construction Project Request** (see [Section 2.4.4](#) below), **Form 1107 – Request to Utilize a State Contract for Time and Material Services**, **Form 1108 – Request for Bid** or **Form 1108A – Post Bid Request** to be considered for approval to self-administer a Capital Project.

2.4.2.1 State Contract for Time and Material Services (Form 1107)

Form 1107 may be used to request approval to solicit pre-qualified vendors from a State Contract to perform routine maintenance work, repair work or emergency maintenance and repair work where total Construction costs are greater than \$25,000 but less than \$700,000. For Projects with total costs greater than or equal to \$100,000, the Agency will be expected to meet Prevailing Wage Requirements (C.G.S. Sec. 31-53) and Performance and Payment Bond Requirements (C.G.S. Sec. 49-41).

The most commonly used State Contract to perform Work on an agency administered Project is the State Trade Labor Services Contract.

Agency Administered Projects

0500 – Agency Administered Projects Manual

The Trade Labor Contract (TLC) consists of small scope trade work, including all labor, equipment and materials to complete licensed, registered, and/or non-licensed services not otherwise covered under separate contracts.

Services provided under the TLC Contract include the following trades:

- Dispersing and spraying appliances for agriculture
- Water sprinklers
- Structures and Building and Construction and Manufacturing Components and Supplies
- Drywall
- Doors and windows and glass
- Manufacturing Components and Supplies
- Chain links
- Building and Facility Construction, Maintenance and Repair Services
- Locksmith services
- Residential building construction services
- Multiple unit dwelling construction services
- General residential construction Contractor service
- Specialized trade construction and maintenance services
- Plumbing construction services
- Fire sprinkler system installation service
- Irrigation sprinkler system installation service
- HVAC construction, installation and maintenance services
- HVAC mechanical, process piping, solar energy, ventilation and duct work, refrigeration, and heating system construction service
- Electrical inspection service
- Masonry and stonework services
- Mortar tuckpointing or restoration service
- Plastering and drywall services
- Drywall installation and repair service
- Exterior insulation and finishing service
- Building insulation service
- Terrazzo tile and marble and mosaic services
- Roofing and siding and sheet metal services
- Roofing service
- Architectural sheet metal service
- Glass and glazing services
- Coating and caulking and weather water and fireproofing services
- Insulation of pipes and boilers service
- Specialty building and trades services
- On site welding service
- Motive and electrical power generation equipment maintenance and repair services
- Painters services

Please refer to the [CTsource Contract Board](#) and type “Trade Labor Services” in the search bar to find a copy of the most current version of the Trade Labor Contract and to find a complete listing of all Trade Service Contractors.

Agency Administered Projects

0500 – Agency Administered Projects Manual

There are a number of other State Contracts that an Agency can utilize to perform agency administered Project work. For more information on these contracts, please refer to [CTsource Contract Board](#) and use the search bar to enter a contract number, key word, or vendor name to find the specific contract information you are looking for.

To request approval to self-administer a routine maintenance or repair Project utilizing a State Contract for time and material services, an Agency shall complete and submit Form 1107, inclusive of the following information and supporting documentation:

- a. Project Name and Location.
- b. Project Scope / Statement of Work.
- c. Estimated Project Cost.
- d. Name of State Contract Vendor.
- e. State Contract #.
- f. Project funding sources.
- g. Agency pm and contact information.
- h. Unless otherwise specified in the subject Contract, three (3) written quotations, when possible, from pre-qualified State Contractors, when total Construction costs are in excess of \$25,000.

In the event the Agency receives less than three (3) written quotations, the Agency shall demonstrate that a good faith effort was made to contact all applicable qualified vendors from the subject Contract in an attempt to solicit the required number of quotes. To demonstrate a good faith effort, the Agency shall provide the following documentation:

- a. A listing of the vendors contacted that includes the name of the vendor, the applicable service/contractor type, the vendor email and/or phone, and the date the vendor was contacted; and/or
- b. A written response from the vendor solicited stating the reason a quote could not be provided.

Emergency Work and Emergency Repair Work under the Trade Labor Contract are to be utilized for a single emergency, equipment repair or an inspection of the Agency's facility and the equipment. An "emergency" exists where the normal operation of an agency (or portions thereof), the health or safety of any person, or the preservation of property would be seriously impaired, threatened or jeopardized if immediate action were not taken to correct the situation. A Project is not considered to be an emergency repair if such Project constitutes an alteration or addition to the facility. If an emergency condition exists that requires an alteration or addition to the facility, then the Agency should submit Form 1109 – Request for Declaration of Emergency to be considered for approval. Examples of emergency repairs would include repair to a steam line, water heater, water line, boiler, fence, door control, elevator door, or switchgear.

To request approval to self-administer an emergency maintenance or repair utilizing the State Trade Labor Contract for time and material services, the Agency shall complete and submit Form 1107, inclusive of the following information and supporting documentation:

- a. Project Name and Location.

Agency Administered Projects

0500 – Agency Administered Projects Manual

- b. Project Scope / Statement of Work.
- c. Estimated Project Cost.
- d. Name of State Contract Vendor.
- e. State Contract #.
- f. Project funding sources.
- g. Agency pm and contact information.
- h. Statement of Adverse Effect on Public Safety and/or Proper Conduct of Essential State Government Operations.
- i. One (1) written quotation from the Contractor selected to perform the services at the pricing set forth in the Price Schedule of the subject Contract.

The Agency must select the vendor with the lowest hourly rate (assuming availability) for time and material work.

Agencies shall use discretion to ensure that no “one” vendor is continually awarded Purchase Orders from a State Contract for time and material services. All efforts shall be made by the agency’s facility managers to identify and notify qualified Contractors and sub-Contractors, for performing agency administered Projects. An Agency may not divide a Project into multiple parts to avoid the provisions of this Manual or the Connecticut General Statutes.

2.4.2.2 Bid Contract (1108, 1108A)

Form 1108 (pre-Bid) and Form 1108A (post-Bid) may be used if an Agency is seeking approval for routine maintenance or repair work where there is no prequalified vendor under State Contract to perform the Work; total construction costs are greater than \$25,000, but less than \$700,000; no design and/or construction administration service assistance is required to self-administer the Project; and for which the Agency will need to solicit Bids or quotations for the work to be performed,

If total construction costs are under \$25,000, the Agency should utilize the authority granted under GL71 to purchase goods and services when there are no prequalified vendors under State Contract. If the proposed scope of work goes beyond routine maintenance or repair, Form 1105 should be used when seeking approval for such a Project.

If Form 1108 or 1108A is used, the Agency will be expected to meet Prevailing Wage Requirements (C.G.S. Sec. 31-53), Performance and Payment Bond Requirements (C.G.S. Sec. 49-41), and the Agency will be required to publish their request for quotation or Bid notice on the State Contracting Portal if total construction costs are greater than or equal to \$100,000.

Form 1108 should be used to request approval to solicit quotes or Bids prior to making the solicitation. Form 1108A should be used to request approval to solicit quotes or Bids after the solicitation has already been made. If requesting approval to solicit quotes or Bids, the preferred method is to use Form 1108 as there is less chance for user error and a greater chance of approval if the request for approval is made prior to solicitation.

The submission of either Form 1108 (pre-Bid) or Form 1108A (post-Bid), shall include the following information:

- a. Project Name and Location
- b. Project Scope / Statement of Work

Agency Administered Projects

0500 – Agency Administered Projects Manual

- c. Estimated Project Cost
- d. Project funding sources
- e. Agency pm and contact information
- f. Purchase Requisition (post-Bid).
- g. Invitation to Bid (post-Bid).
- h. Bid Specifications (post-Bid).

When submitting Form 1108 or Form 1108A, the Authorized Agency Representative is certifying that the Work will be, or was, publicly Bid; and that the contract will be, or was, awarded to the firm submitting the lowest responsible qualified quote or Bid.

The Agency shall be required to maintain on file a copy of the written quotes, or the Bid results and supporting Bid documents, for future review by the State Auditors or DAS.

Agencies shall use discretion to ensure that no “one” vendor is continually awarded Purchase Orders through a Bidding process. All efforts shall be made by the agency’s facility managers to identify and notify qualified Contractors and sub-Contractors, for performing agency administered Projects. An Agency may not divide a Project into multiple parts to avoid the provisions of this Manual or the Connecticut General Statutes.

2.4.2.3 State Employees and Inmates

State employees and inmates of State institutions may be employed and purchase or furnish the necessary materials for the construction, erection, alteration, repair or enlargement of any State building without the necessity of Bids in accordance with C.G.S. Section 4b-52.

2.4.2.4 Approval Process for Capital Construction Project Form Letters

1. The Agency completes and submits the appropriate Capital Construction Project Request Form Letter (**Form 1107, Form 1108, or Form 1108A**), in Word format, and submits the required supporting documentation, via email, to the Director of [CSS](#) using the most current template version of the Form.
2. CSS will forward the request to the Agency’s assigned ADPM for review to approve or reject the request.
3. The ADPM will approve or reject the request and return the reviewed request to CSS for distribution to the Agency.
4. CSS will distribute the approved/rejected request to the Agency.

2.4.2.5 Change Orders on Capital Construction Project Form Letters

An Agency may not exceed the authorized project cost identified on a **Routine Maintenance / Minor Construction – Capital Project Initiation Request (Form 1107, 1108, or 1108A)**, nor may it exceed its threshold limit to self-administer a Capital Construction Project (refer to [Section 2.1](#), line item 3 of this Manual) without prior approval from DAS.

Such approval must be obtained through **Form 7340A – Change Order Proposal – Routine Maintenance / Minor Construction (1107/1108)**, which must be marked as *approved* and signed by the appropriate authorized DAS|RECS representative. The completed Form 7340A, along with a copy of the Contractor’s Proposal, shall be submitted via email to the **Director of [CSS](#)** for DAS|RECS review. Upon completion of the review, the form will be returned to the Agency with a formal determination.

The Agency is responsible for ensuring that all change requests are consistent with the Contract Documents and comply with the general conditions and provisions of the Contract.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.4.3 SPECIAL CONDITIONS PROJECTS

2.4.3.1 Request for Declaration of Emergency

An Agency may use **Form 1109 – Request for Declaration of Emergency** to request that a condition at a State facility or site be declared an emergency condition. Within the request, the agency may seek approval to self-administer the Project should an emergency condition be declared. An emergency condition is a sudden, unexpected occurrence that poses a clear and imminent harm, requiring immediate action to prevent or mitigate the loss or impairment of life, health, or property; or is a condition that adversely impacts the operations of essential government services.

Under the provisions of C.G.S. 4b-52, subsection (c), the Commissioner of Administrative Services has the authority to declare that an emergency condition exists at any State facility or at the request of an Agency, declare that an emergency condition exists at any State facility, so that the Commissioner or the Agency, with the approval of the Commissioner, may restore facilities without inviting Bids as required in subsection (b) of C.G.S. 4b-52.

In the event of an emergency, an Agency shall notify the DAS DC and/or the ADPM assigned to the Agency of the emergency condition (see [Appendix I](#) for Emergency Project Contact Information), via phone and email, and then complete and submit Form 1109 – Request for Declaration of Emergency Status.

If the emergency condition requires immediate action (within a twenty-four hour period) to prevent or mitigate the loss or impairment of life, health, or property; and the Agency has made a due diligent effort to notify the DAS DC and/or the ADPM assigned to the Agency with no reply, the Agency may take the appropriate action necessary to prevent or mitigate the emergency condition without prior approval by the DAS. However, the Agency shall be responsible for maintaining documentation, justifying the work as an emergency and is required to submit such documentation with Form 1109 – Request for Declaration of Emergency Status within forty-eight hours of notifying the DAS of such condition.

Form 1109 must include the following information and supporting documentation:

- a. Agency Assigned Project Number (if applicable), Project Name, and Location.
- b. Statement of Emergency Condition.
- c. Project Scope.
- d. Estimated Project Cost.
- e. Project funding sources.
- f. Statement of Adverse Effect on Public Safety and/or Proper Conduct of Essential State Government Operations.
- g. Three (3) written quotations, when possible, from responsible qualified Contractors for the work to be performed;
- h. Photo documentation of the emergency condition; and
- i. Any other pertinent documentation to support the need for the exception to invite Bids.

2.4.3.2 Approval Process for Request for Declaration of Emergency

1. Agency submits, via email, a Request for Declaration of Emergency Status (**Form 1109**) to the DAS DC (with copy to ADPM assigned to the Agency and [CSS](#)).

Agency Administered Projects

0500 – Agency Administered Projects Manual

2. The ADPM assigned to the Agency will review the request and determine if the evidence provided is sufficient to justify emergency status.
 - a. If the evidence provided is insufficient to justify emergency status or requires clarification, the ADPM will coordinate with the Agency to resolve.
 - b. If the evidence provided is sufficient, the ADPM will make a recommendation to the Director of CSS for a Declaration of Emergency Status.
3. The Director of CSS or the Director of Legal Services will provide the Commissioner or his/her designee with a copy of the Form 1109 and supporting documentation submitted by the Agency and prepare a draft Declaration of Emergency for the Commissioner's or his/her designee's review and consideration. If total Project cost for the emergency Project are in excess of \$1.5 million, the Governor will need to consent to a waiver of the Bid requirements and sign off on a Certification to Exception for Declared Emergency.
 - a. If the evidence submitted is determined sufficient to justify emergency status, the Commissioner, his/her designee, or if applicable, the Governor, will sign the Declaration or Certification and return to CSS for distribution to the Agency.
 - b. If the evidence submitted is determined insufficient to justify emergency status, a letter of denial will be drafted to the agency explaining the reason for denial with options on how to proceed with the Project as a non-emergency.

Please note that if a Declaration of Emergency is approved, follow up repairs are excluded from the Declaration unless the repair is required to resolve the original emergency condition.

2.4.3.3 Request for Hazardous Materials Assistance

DAS|RECS Technical Services manages the Statewide Hazardous Materials Abatement Program. Funds are made available through this program to support Agencies in need of Hazardous Materials Assistance for ongoing renovation and repair Projects. In addition, DAS|RECS Technical Services provides Agencies access to its pre-qualified Environmental Consultants, Abatement Contractors, and assigned Hazardous Materials staff to assist in managing the Hazardous Materials Abatement Process.

Funding for this program is limited, and certain restrictions apply. Funding shall be provided for most routine maintenance Projects for which hazardous materials are suspected or discovered and for which abatement may be required. In such circumstances, an Agency need only submit Form 1165 - **Hazardous Materials Assistance Request**, through [TUC](#) (please refer to 0175 TUC Guidance Manual, which is in the 1000 Series - Project Initiation and Construction Selection section of the [DAS|RECS Library](#), for a detailed description of the workflow process for Form 1165 - Hazardous Materials Assistance Request), to initiate the process.

Funding for abatement on larger Capital Projects which require a current hazardous materials inspection report and inventory will only be considered if the situation is determined to be an emergency condition. In most circumstances, the Agency will be responsible for funding the abatement and will need to submit **Form 1105 – Capital Project Initiation Request** (see [Section 2.4.4 – Capital Project Initiation Request](#)) and include hazardous materials as part of the overall Project scope and the cost for abatement in the Project Budget Detail.

For more information on the application and approval process for Hazardous Materials Assistance, contact Matthew Pafford, DAS|RECS Technical Services Environmental Analyst, via email, at matthew.pafford@ct.gov.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.4.4 CAPITAL PROJECT INITIATION REQUEST (FORM 1105)

If total Construction costs are less than \$700,000, an Agency has the option of submitting a Capital Project Initiation Request Form Letter (see [Section 2.4.2 – Capital Project Initiation Request – Small Projects](#)) or submitting a formal Capital Project Initiation Request application (**Form 1105**) to self-administer a Capital Project through Trimble Unity Construct (TUC). Form 1105 may be used to request approval to self-administer a Capital Construction Project that requires routine maintenance or repair where total construction costs are greater than twenty five thousand dollars (\$25,000) but less than an Agency's threshold limit to self-administer a Capital Construction Project. If an Agency is only seeking the services of a State Contractor to perform the Work and total Project cost are less than \$700,000, Form 1107 should be used.

Form 1105 is required (unless an Agency is otherwise listed in [Section 2.1](#), line item 3 of this Manual, or unless an Agency is otherwise utilizing a State Contract for Time and Material Services in accordance with [Section 2.4.2.1](#) of this Manual) if an Agency is seeking approval to self-administer a Capital Construction Project that requires a remodeling, alteration, repair, construction or enlargement of any real asset where total construction costs are greater than twenty five thousand dollars (\$25,000) but less than an Agency's authorized threshold limit to self-administer a Capital Construction Project as defined by State Statute (see [Section 2.1](#), line item 3 for Agency threshold limits), or if an Agency requires design and/or construction administration service assistance to self-administer the Project, regardless of the total cost of construction.

To be considered for approval to self-administer a Capital Project using Form 1105, an Agency must:

1. Submit and have had the proposed Project approved as part of the Comprehensive Statewide Capital Expenditures Program Plan;
2. Demonstrate that it has the capability to assume responsibility for all phases of design and construction;
3. Certify that it will be compliant with applicable State Building, Fire, and Life Safety codes and statutes;
4. Certify that funds are in place to finance the Project prior to the award of contracts; and
5. Certify that it will remain within its statutory budget limits to self-administer a Capital Project in accordance with State statute.

2.4.4.1 Form 1105 Requirements

In addition, an Agency must provide the following information as part of the Form 1105 – Capital Project Initiation Request submission to be considered for approval:

1. **Administrative Information.** General Project information; assistance requested from DAS|RECS; agency staff contact information; Project description and special requirements.
 - a. General Project information includes the Agency name, Agency Head name and title, Project title and Project description.
 - b. An Agency may seek approval to self-administer a Project with or without assistance from DAS|RECS. DAS|RECS offers the following services, for a fee, to assist Agency's in administering Capital Projects:
 - The selection of a professional Consultant for design and/or construction administration services.

Agency Administered Projects

0500 – Agency Administered Projects Manual

- Project Management assistance during the Pre-Construction and Construction Phase of a Project.

The amount of fee charged for such services is based on the services requested, Project size and Project scope. The minimum fee charged for any DAS|RECS assistance is five thousand dollars (\$5,000.00).

- c. **Agency Staff Contacts.** Included among these contacts are the **Agency pm** assigned to oversee the Project and the **Code Official** assigned to certify that the Project is compliant with applicable State Building, Fire, and Life Safety codes and statutes.

If the Agency is not requesting DAS PM services and/or DAS Code Plan Review and Code Inspection Services, then it must identify its own qualified PM and/or Code Official to provide such services. Failure to provide this information will result in the rejection of the Capital Project Initiation Request.

- d. A narrative of the Project objectives, a description of the Project scope, and other administrative data.

2. **Project Justification of Need.** Response to a series of questions put forward to show Agency preparedness in planning a Capital Construction Project; the critical nature of the Project; and the cost benefit and/or stakeholder benefit to completing the Project. Only Projects that are included and approved as part of the Statewide Capital Expenditures Program Plan can be subject to approval of a Capital Construction Project Initiation Request unless such Project is otherwise specifically designated as an emergency or a priority Project by DAS and OPM.

3. **Financial Information.** Description of available Project funding sources, Project Budget Detail and funding requirements during design and construction. Agency is responsible for the Project funds if the designated funding source defined is no longer available, i.e. grant funds.

2.4.4.2 Approval Process for Capital Project Initiation Request, Form 1105

Please refer to 0175 TUC Guidance Manual, which is in the 1000 Series - Project Initiation and Construction Selection section of the [DAS|RECS Library](#), for a detailed description of the review and approval workflow process for Form 1105 – Capital Project Initiation Request.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.5 Project Initiation Phase

If the Agency requests design assistance as part of the Capital Project Initiation Request, and if the Agency is approved to self-administer such Project, then DAS|RECS will: 1) Request a Capital Project Number be assigned to the Project by the DAS Financial Unit; and 2) Initiate the Project in TUC. If the Agency requires DAS|RECS assistance in acquiring the services of a Consultant, DAS|RECS will: 1) Request the Selection of an On-Call Consultant, to implement the Project scope of work.

In addition, the following services will be provided by the assigned DAS PM for a fee:

1. The DAS PM will meet with the Agency to draft a Consultant Project Initiation Scope Meeting Agenda for use in the Scope Meeting with the Consultant.
2. The DAS PM will then schedule a Scope Meeting with the Agency and Consultant to review the Project scope of work.
3. The DAS PM and/or APM, with Associate PM support, will conduct all fee negotiations with the Consultant in consultation with the Agency.
4. After the scope of work has been finalized, an agreement has been reached on the fees, and the proposal submitted by the Consultant has been accepted, the DAS PM will draft a task letter against the subject On-Call Contract for processing.
 - If the value of the task assignment is less than \$300,000, or if the cumulative total of all task letters with a Consultant for the same Project is less than \$300,000, the DAS PM will submit, after agency review and agency funding confirmation, the draft task letter and supporting documentation to CSS for review. If the task letter is acceptable and the appropriate back up included, the task letter will be forwarded to the Director of Legal Services for signature. Once signed by the Director of Legal Services, the letter will be forwarded to the Consultant for signature. Once signed by the Consultant, the letter will be stamped "Commission" and returned to the Consultant with copy to the DAS ADPM and PM assigned to the Project, as well as the Agency pm assigned to the Project. The "Commission" letter serves as the Consultant's contract for the scope of work and the Notice to Proceed on the assignment.

If the value of the task assignment is greater than or equal to \$300,000, or if the cumulative total of all task letters with a Consultant for the same Project is greater than or equal to \$300,000, the DAS PM will submit the draft task letter and supporting documentation to the DAS|RECS Legal Unit for review. If the task letter is acceptable and the appropriate back up included, the task letter will be submitted to the State Properties Review Board (SPRB), in accordance with C.G.S Section 4b-23(i), for review and approval. If approved by SPRB, the letter is forwarded to the Commissioner or his/her designee for signature. Once signed by the Commissioner or his/her designee, the letter will be forwarded to the Consultant for signature. Once signed by the Consultant, the letter will be stamped "Commission" and returned to the Consultant with copy to the DAS ADPM and PM assigned to the Project, as well as the Agency pm assigned to the Project. The "Commission" letter serves as the Consultant's contract for the scope of work and the notice to proceed on the assignment.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.6 Design Phase

If the Agency requests design assistance as part of the Capital Project Initiation Request, and if the Agency is approved to self-administer such Project, then the Agency shall administer the Design Phase of the Consultant's contract in accordance with the applicable requirements of the most current version of the DAS Consultants Procedure Manual (Section 3.5.1 thru 3.5.3 – SD, DD, CD Phase). The Agency shall be responsible for maintaining all Design Phase Records and for retaining such records for the appropriate retention period or as otherwise provided for in C.G.S. sections 11-8 and 11-8a.

Design Phase responsibilities include but are not limited to the following:

1. **Design Phase Meetings:** The Agency shall coordinate with the Consultant and be responsible for scheduling and coordination of all design phase meetings (after the Task Letter is written) and for the facilitation of the meetings with the Consultant and the Consultant's staff.
2. **Design Phase Submittal Reviews:** The Agency is responsible for the review, verification and approval of all of the Consultant's submittals and deliverables to determine that they are in accordance with Consultant's contract and all of the applicable requirements of the DAS Consultants Procedure Manual.
3. **Drawing Information:** The Agency is responsible for the collection and review of all Design Phase drawings and ensuring each submission phase conforms to the standards set forth in Section 5.2 of the DAS Consultant Procedures Manual.
4. **Code Plan Review and Inspections:** The Agency must have a CT Building Code Official (or have an alternate plan agreed to by DAS, such as the use of a CT licensed Code Consultant) to review all design phase Project plans and specifications and to inspect the construction to determine that the construction will be in substantial compliance with applicable State of CT building/fire codes and statutes, and in conformance with the code requirement provisions of the DAS Consultants Procedure Manual. The Agency will be further required to submit Form 3150A – Certificate of Compliance Part I – Preconstruction Phase, signed by the Agency's Commissioner or other Delegated Authority, certifying that the Project has been designed in substantial compliance with requirements of the Connecticut State Building Code and all other applicable codes as required by Chapter 541, Connecticut General Statutes.

If the Agency does not have access to a current CT Building Code Official or a CT licensed Code Consultant to conduct the review of all design phase Project plans and specifications and to perform construction inspections, then they must request DAS Code Plan Review and Code Inspection services as part of their Capital Project Initiation Request (Form 1105, Part I, Section 1.13.4).

5. **Equipment and System Standards:** If the Agency has equipment and system standards, they must formally transmit these standards to the Consultant and list in the Project Description section of Form 1105.
6. **Single Source Specifications:** If the Agency requests a single manufacturer, it shall provide a written request, no later than the end of Design Development, to the DAS|RECS Single Source Committee. For additional information on Single Source

Agency Administered Projects

0500 – Agency Administered Projects Manual

Specification Requirements, refer to the DAS Consultants Procedure Manual (Section 5.4, Single Source Specification).

7. **Construction Budget Review and Approval:** The Agency must review and approve the Consultant's construction estimate for compliance with the Project's construction budget at end of each phase and/or prior to the beginning of the next Project phase. If the cost estimate exceeds the budget the scope should be reduced and or a revised 1105 and bond commission request. If needed, this shall be completed by the Agency with a copy to DAS|RECS PM and ADPM. The Project shall not to proceed to the next phase until the funding is in place by the Agency.
8. **General Requirements:** The Agency shall meet with the Consultant to coordinate the editing of the General Requirements for but not limited to the following:
 - a. Construction Staging Areas;
 - b. Project Phasing;
 - c. Site Access and Storage;
 - d. Construction Utility Access;
 - e. Identification of work done by other Contractors;
 - f. Security; and
 - g. Starting of Systems and System Commissioning.
9. **Consultants Project Progress Compliance:** The Agency shall monitor the Consultant's Project progress for compliance with the requirements of the Consultants Task Letter or Contract.
10. **Consultant Invoice Payments Approvals:** The Agency shall directly pay all invoices for Consultant services.

2.7 Bid Phase

If the Agency requests design assistance as part of the Capital Project Initiation Request, and if the Agency is approved to self-administer such Project, then the Agency shall administer the Bid Phase of the Consultant's contract in accordance with the applicable provisions of C.G.S., Section 4b-52, 4b-91 through 4b-102, as amended, or if utilizing a State Contract for Time and Material Services, the applicable provisions of said Contract and the applicable requirements of the most current version of the DAS Consultants Procedure Manual (Section 3.5.4, Bidding Phase). The Agency shall be responsible for maintaining all Bid Phase Records and for retaining such records for the appropriate retention period or as otherwise provided for in CGS sections 11-8 and 11-8a.

The DAS Bid Documents referenced throughout this section and more specifically outlined in Section 2.7.3 of this Manual can be obtained by contacting the DAS Office of Legal Affairs, Policy and Procurement.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.7.1 PRE-BID

The Agency is responsible for all Bid Phase responsibilities, including but not limited to the following pre-Bid responsibilities:

1. **Certifications and Representations.** General Contractors are required to agree to Certifications and Representations provided in the Contract (see Section 00 52 03 Contract for an example) and described in Section 00 21 13 Instructions to Bidders.
2. **Construction Cost Estimate/Contingency.** The Agency must receive a signed Consultant Bid Data Statement (Form 6005) that verifies the Construction Cost Estimate. The Agency must confirm that the total Project cost does not exceed the statutory limitations for Agency Administered Projects.
3. **Supplemental Bids.** DAS prohibits Agency Administered Bids from including any Supplemental Bids without prior approval, in writing, from DAS as to format, content and sequencing.
4. **Pre-Qualification Process.** As applicable, the Agency must integrate the requirements of the [DAS Construction Contractor Pre-Qualification Program](https://portal.ct.gov/DAS/Procurement/PreQual/DAS-Construction-Contractor-Prequalification-Program) (<https://portal.ct.gov/DAS/Procurement/PreQual/DAS-Construction-Contractor-Prequalification-Program>) into the Bidding Documents.
5. **Funds.** DAS prohibits the advertisement of Agency Administered Bids until all necessary Project funds have been obtained. Source of funds must be identified and verified to DAS at the time of Bidding. Adhere to the funding source requirements.
6. **Building and Fire Code Inspections.** See Section [2.6](#) of this Manual, line item 4 – Code Plan Review and Inspections by Authority Having Jurisdiction (AHJ).
7. **Bid Process Administration.** The Agency must Bid the Project in accordance with its own procurement rules and be responsible for all of the Bid Phase administration costs and responsibilities including but not limited to the following:
 - a. **Pre-Bid Conference.** The Agency must coordinate and facilitate a Pre-Bid Conference(s);
 - b. **Advertisements and Document Printing.** The Agency is responsible for all Bid costs such as Advertisement and Document Printing.
 - c. **Bid Proposal Reviews.** The Agency is responsible for the review of Bid Proposals, for conformance with all Bid requirements such as Contractor/Subcontractor Qualifications, Certifications/Representations, Named Subcontractor Agreements, CHRO Regulations, Bonds, Insurance, etc.
 - d. **Contract Signing.** The Agency is responsible for preparation and execution of the contract with the Contractor and ensuring that the Contract Documents address all statutory and Office of Attorney General requirements.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.7.2 BID

During the Bid Phase, the Agency shall:

1. **Agency Bid Forms.** Agencies must use the Bidding Documents as provided by the DAS Office of Legal Affairs, Policy & Procurement.
2. **Bid Information.** Review Bid Documents to be sure all Bidders are receiving the same Bidding information and that all Bidders are being treated fairly and in an ethical manner.
3. **Invitation to Bid.** Specify the date and time of the Pre-Bid Conference and of the Bid Opening in the Invitation to Bid.
4. **Public Opening.** Open all Bids in a public setting with at least one witness present.
5. **Contract Award Delay.** Insure and confirm that the Invitation to Bid states that the Contractor is required to hold their Bid price for ninety (90) days.
6. **Bid Extension.** In the event that the contract award is delayed beyond the ninety (90) days, then the Agency must obtain written confirmation from the Contractor agreeing to extend their Bid without change of terms or conditions.
7. **Contractor Pre-Qualification Criteria.** Use the [DAS Construction Contractor Pre-Qualification Program](#) for Projects with total costs greater than One Million Dollars (\$1,000,000). The Contractor must be pre-qualified in the classification of the work the Bid requires. The [classification](#) must be included in the Invitation to Bid.
8. **Commission on Human Rights and Opportunities (CHRO) Contract Monitoring and Reporting:** In order to monitor the implementation of these plans CHRO requires that the following contract monitoring reports be compiled and submitted (available for download from the CHRO website (<https://portal.ct.gov/CHRO> > Forms > Contract Compliance Forms and Reports):
 - Form 257: Monthly Employment Utilization Report
 - Form 257a: Monthly Employment Utilization Report
 - Form 257b: Cumulative Employment Utilization Report
 - Revised Forms 257 & 257b: Punch List Items or Other Events
 - Form 258a: Monthly Payment Status Report
9. **General Conditions.** See the [DAS|RECS Library](#), 5000 Series – General Conditions and General Requirements.
10. **Certificate of Insurance.** A Certificate of Insurance is required for all Projects involving labor and material prior to the commencement of work, and shall cover Public Liability and Workers' Compensation, and include Surety Bonds to cover performance, labor and materials. The Agency administering the Project is responsible for keeping a record of the bonds and for obtaining a Consent of Surety to release the bonds upon 100% completion of the Project.
11. **Standard Bid Bond.** A Standard Bid Bond is required for Projects with total cost in excess of \$100,000 dollars.
12. **Prevailing Wage Rates. Prevailing Wage Certifications** C.G.S., Section 31-53(g) requires Contractors to pay prevailing wages as published by the State Labor Commissioner for new construction of a public works Project with Construction costs greater than \$1,000,000 and for renovation of a public works Project with Construction costs greater than \$100,000.
13. **Formal Advertisement of Bid Notices.** All Bids, regardless of size, must be advertised on [CTsource](#), the State Contracting Portal. The goal is to obtain a minimum of three (3) competitive Bids; therefore as many potential Bidders as possible should be notified of the Bidding of a Project.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.7.3 BID DOCUMENTS

The following DAS Bid Documents are required for all Bid packages and are to be utilized as applicable for the specific Bid. Contact the DAS Office of Legal Affairs, Policy and Procurement for access to the documents.

NO.	SECTION TITLE
00 01 01	Title Page
00 01 02	Notice Form
00 01 07	Seals Page
00 01 10	Table Of Contents
00 01 15	List Of Drawing Sheets
00 11 16	Invitation to Bid
00 21 13	Instructions to Bidders
00 25 13	Pre-Bid Meeting Agenda
00 30 00	General Statements for Available Information
00 40 14	Certificate of Authority
00 40 15	DAS Contractor Prequalification Certificate Requirements
00 40 16	DAS Update Statement Requirements
00 41 00	Bid Proposal Form
00 41 10	Bid Package Submittal Requirements
00 43 16	Standard Bid Bond Form
00 45 14	General Contractor Bidder's Qualification Statement
00 45 15	Objective Criteria Established for Evaluating Qualifications of Bidders
00 45 17	Named Subcontractor Bidder's Qualification Statement
00 52 03	Contract Form
00 52 73	Subcontract Agreement Form
00 62 16	Certificate of Insurance Form
00 62 39	DAS SBE/MBE Set-Aside Certificate Requirements
00 72 13	General Conditions of the Contract for Construction
00 72 13.1	Supplementary Conditions of the Contract for Construction
00 73 27	SBE/MBE Set-Aside Contractor Schedule
00 73 38	CHRO/Contract Compliance Regulations
00 73 40	CHRO Bidder Contract Compliance Monitoring Report Requirements
00 73 44	Prevailing Wage Rates/Contractor's Wage Certification/Payroll Certification
00 73 63	CT DOC Security Requirements
00 92 10	Additional Forms
00 92 30	Procedures Regarding Taxation For Nonresident General / Prime Contractor and Subcontractors
50 00 00	Project Specific Available Information

2.7.5 Build America, Buy America Act (BABA)

Projects With Federal Financial Assistance: The Federal Government's "**Build America, Buy America Act (BABA)**", enacted as part of the Infrastructure Investment and Jobs Act on November 15, 2021, established a domestic content procurement preference for all Federal Financial Assistance obligated for infrastructure Projects, effective October 23, 2023 (except as provided in Title 2 of the Code of Federal Regulations ("CFR"), Part 184.2(c)).

Agency Administered Projects

0500 – Agency Administered Projects Manual

In accordance with BABA, all non-federal entities who receive **Federal Financial Assistance** obligated on or after the effective date of October 23, 2023, for an infrastructure Project, are subject to the provisions of BABA. The “**Buy America Preference**” provisions of BABA dictate that, absent a waiver, none of the funds made available for a Federal Award for an infrastructure Project may be obligated unless **all of the iron, steel, manufactured products, and construction materials incorporated into the Project are produced in the United States.**

2.8 Construction Phase

If the Agency requests design assistance as part of the Capital Project Initiation Request, and if the Agency is approved to self-administer such Project, then the Agency shall administer the Construction Phase of the Consultant's contract in accordance with the applicable requirements of the most current version of the DAS Consultants Procedure Manual (Section 3.5.5 - Construction Phase), which can be found in the 0000 Series – Project Manuals and Guidelines section of the [DAS|RECS Library](#). The Agency shall be responsible for maintaining complete, clear and accurate records relating to the performance of the Work, including but not limited to 1) Contract Documents and records relative to changes in the Work; 2) a record of Project files and progress reports required to track, monitor, and administer the Contract Documents; and 3) a record of the Constructor's applications for payment.

Construction Phase responsibilities, include but are not limited to the following:

1. **Attendance at Job Meetings.** The PM assigned by the Agency to oversee an Agency Administered Project and, if applicable, the Construction Administrator assigned to the Project shall coordinate and attend job meetings to assess the progress of the Work and to make certain the Work is performed in accordance with the Task Letter and Contract Documents.
2. **Review and Approval of Submittals.** Submittals consist of all drawings, diagrams, illustrations, schedules, cost estimates, catalog cuts; product data, warranties and samples; and other data or information which are specifically prepared by or for the Contractor and submitted by the Contractor to illustrate some portion of the Work. The PM assigned by the Agency to oversee the Project shall coordinate with the A/E for the review and approval shop drawings for conformance with the Task Letter and Contract Documents. Review for compliance with funding sources.
3. **Review and Approval of RFI's.** Review RFI's and make certain the responses are prompt and in conformance with the Task Letter and Contract Documents.
4. **Review and approval of Change Orders.** Review Change Orders and assess impact on Project schedule. Ensure requests for change are in conformance with the Task Letter and Contract Documents. The agency is required to review and comply with the general conditions and provisions of the contract. An Agency may never exceed the authorized construction amount via change order, nor can it exceed an Agency's threshold limit to self-administer a Capital Construction Project (See [Section 2.1](#), line item 3 of this Manual) without the approval of DAS. Approval would come in the form of an approved revised 1105 signed by the DAS|RECS DC.
5. **Acquisition of Applicable Permits and Certificates.** The Agency is responsible for obtaining all applicable permits and approvals from the Department of Health Services,

Agency Administered Projects

0500 – Agency Administered Projects Manual

Department of Environmental Protection, Department of Transportation and the State Traffic Commission and in the case of demolition, the Municipality, and is responsible for certifying that the construction will be in substantial compliance with applicable State of CT building/fire codes and statutes, and in conformance with the code requirement provisions of the DAS Consultants Procedure Manual.

6. **Coordination of Special Inspections.** The PM assigned by the Agency to oversee an Agency Administered Project shall be responsible for coordinating all of the inspections leading up to the issuance of a Certificate of Occupancy. These inspections include but are not limited to all special inspections required pursuant to the Contract Documents, and other tests and inspections required by the Office of the State Building Inspector (OSBI), the Office of the State Fire Marshal (OSFM), Public Health (DPH), Energy and Environmental Protection (DEEP), and other Federal or local government agency inspections (see Form 3030 – Checklist for Permits, Certifications, and Approvals).
7. **Approval of Substantial Completion.** The Agency is responsible for certifying that the Work performed is in conformance with the Contract Documents and was reviewed and found, in accordance with the General Conditions of the Contract for Construction of Design-Bid-Build, Article 30 – Completion and Acceptance, to be substantially complete to the best knowledge of the Construction Administrator (CA), if applicable, Consultant, and Agency.
8. **Review and Approval of Contractor's Payment.** The PM assigned by the Agency to oversee an Agency Administered Project shall collect and review certified payrolls for completeness and accuracy. If total Project cost exceeds \$100,000, the Agency is required to maintain a copy of each approved invoice in its Project files. If total Project cost exceeds \$500,000, the Agency is required to maintain a copy of each approved invoice and maintain a copy of a Lien Waiver from each prime subcontractor on all Contractor payment requisitions.
9. **Approval of Reductions in Retainage.** The PM assigned by the Agency to oversee an Agency Administered Project shall review and if appropriate, make reductions in Project Retainage relative to progress made toward final closeout.
10. **Approval of Consultants requests for Payment.**
11. **Records Retention:** The Agency shall retain Project records in conformance with State Statute and the most current version of the Construction Services Records Retention Schedule (see CT State Library – General Records Retention Schedules for State Agencies at <https://ctstatelibrary.org/publicrecords/general-schedules-state>).
12. **Coordination and Administration of Closeout Procedures and Final Closeout** (see Section 2.9 – Project Closeout below).

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.9 Project Closeout Phase

All Capital Construction Projects are subject to construction closeout procedures in accordance with Connecticut General Statutes. The closeout procedures for an Agency Administered Project are as follows:

No formal closeout documentation is required to be submitted to DAS|RECS on an Agency Administered Project where the Agency submitted its request for approval using Form 1107, 1108, 1108A, or 1109. The Agency will, however, be required to maintain, on file, a copy of the **Certificate of Compliance** (Form 7150) signed by the Commissioner of the Agency, the Project Architect/Engineer, and the Project Contractor if the scope of work for said Project includes the construction, repair, alteration or addition to any State building or any other public works of the State and to submit the same to the Office of the State Building Inspector (OSBI), and any other such documentation as may be required by the OSBI to certify that the Project is in substantial compliance with applicable State statutes, regulations and Life Safety codes.

To closeout an Agency Administered Project where the Agency submitted its request for approval using Form 1105 – Capital Project Initiation Request, the Agency will need to submit the following at Project Completion:

1. **Form 7989, Agency Administered Project – Project Closeout Report**, through [TUC](#), inclusive of the following:
 - a. **Part I – Agency Information.**
 - b. **Part II – Project Information.**

If the Project scope of work does not include the construction, repair, alteration or addition to a State building or other public works of the State (i.e. study or investigation), the “Construction Start Date” and “Acceptance Date” may be marked as not applicable (N/A), and the “Final Project Cost” would be equal to the cost of services and deliverables provided by the Project Consultant(s).
 - c. **Part III – Consultant/Contractor/Supplier Information.**
 - d. **Project Closeout Documentation** – if the Project scope of work includes the construction, repair, alteration or addition to any State building or any other public works of the State, then the following documents must be submitted as appendices to Form 7989 for the Agency to meet its statutory and DAS requirements. Conversely, if the Project does not include any of the scope of work cited above, then such documents are deemed N/A and should be marked as such on Form 7989. If the subject Project does not proceed beyond a study, complete Form 7995 – Archival Data for Project Documents and mark the remainder of the documents as N/A.
 - **Statement of Compliance** (Form 7150) signed by the Agency Commissioner or other Delegated Authority, the Project Architect/Engineer, and the Project Contractor if the scope of work for said Project includes the construction, repair, alteration or addition to any State building or any other public works of the State;
 - A **Certificate of Acceptance** (Form 7820) is required if a Certificate of Substantial Completion was issued on the subject Project;
 - A **Contractor Performance Evaluation** (for Agencies with access to [CT Procured](#)) is required if the building Project is funded, in whole or in part, by State funds and total project cost are in excess of \$500,000.
 - **Archival Data for Project Documents** (Form 7995) shall be completed by the Client Agency pm at Project completion and shall include the final submission of documents by the primary Contractor.
 - * If the project ends at the study phase, **Form 7989** is required to be submitted through TUC and **Form 7995** is required to close out the study.

Agency Administered Projects

0500 – Agency Administered Projects Manual

- * If the project is canceled, **Form 7989** is required to be submitted through TUC and **Form 7988 – Notice of Project Cancellation**, and if applicable, **Form 7987 – Request to Terminate On-Call Task Assignment** is required to close out the Project (see [Section 2.10.3 – Termination of an On-Call Task Assignment](#)).

The Agency must upload all closeout documentation through the 7989 AA Project Closeout Process in [TUC](#), or such other Project management software as determined by DAS, within thirty (30) days of Project completion.

2.10 Suspension/Reactivation/Termination of an On-Call Task Assignment

Pursuant to the terms and conditions of a DAS On-Call Contract, only the Commissioner of the DAS, or his/her designee, has the authority to suspend (see [Section 2.10.1 - Suspension of an On-Call Task Assignment](#)) or terminate (see [Section 2.10.3 – Termination of an On-Call Task Assignment](#)) an On-Call Contract or Task Assignment.

The Commissioner also has the authority to reactivate (see [Section 2.10.2 – Reactivation of an On-Call Task Assignment](#)) Consultant services, in whole or in part, for any assigned work under an On-Call Contract that was previously suspended.

Should On-Call Consultant Services be suspended and it has been determined subsequently that such services will not be reactivated, or it has otherwise been determined that the Consultant is unwilling or unable to complete the services of an On-Call Task Assignment after the assignment has been suspended, then the Agency will need to file a formal request to terminate the On-Call Task Assignment (see [Section 2.10.3 – Termination of an On-Call Task Assignment](#)).

2.10.1 Suspension of an On-Call Task Assignment

The suspension of an On-Call Task Assignment means that all services to be performed by the Consultant, under the terms and conditions of said Assignment, are suspended indefinitely. Should the Agency wish to reactivate the services of the Consultant for any assigned work under an On-Call Contract that was previously suspended, the Agency shall complete a Request for Reactivation of an On-Call Task Assignment (see [Section 2.10.2](#) of this Manual).

If the services of an On-Call Consultant are suspended, the Consultant is entitled to:

- Reasonable compensation for services provided prior to the effective date of the suspension of work.

If the services of an On-Call Consultant are suspended, the Agency is entitled to:

- All finished and unfinished documents prepared pursuant to the Contract.

The process to suspend an On-Call Consultant Task Assignment is as follows:

1. The Agency submits **Form 7985 – Request for Suspension of On-Call Task Assignment** to the DAS PM assigned to the Project with copy, via e-mail, to the Director of [CSS](#).
2. CSS will draft a Notice for Suspension, based on the request, for the Commissioner's or his/her designee's signature.

Agency Administered Projects

0500 – Agency Administered Projects Manual

3. The signed Notice for Suspension will be distributed to the effected Consultant with copy to the Agency, DAS PM and DAS ADPM.

2.10.2 **Reactivation of an On-call Task Assignment**

The Commissioner has the authority to reactivate Consultant services, in whole or in part, for any assigned work under an On-Call Contract that was subsequently suspended.

The process to reactivate an On-Call Consultant Task Assignment is as follows:

1. The Agency submits **Form 7986 – Request for Reactivation of an On-Call Task Assignment** to the DAS PM assigned to the Project with copy, via e-mail, to the Director of [CSS](#).
2. CSS will draft a Notice to Reactivate the On-Call Task Assignment, based on the request, for the Commissioner's or his/her designee's signature.
3. The signed Notice to Reactivate the assignment will then be distributed to the effected Consultant with copy to the Agency, the assigned DAS PM, and the DAS ADPM.
 - If reactivation occurs within one (1) year from the time the work was suspended, and the Consultant is willing and able to complete the assignment, any fees paid to the Consultant prior to suspension shall be applied toward the completion of the assignment.
 - If reactivation occurs more than one (1) year after the effective suspension date, the Consultant and the State may renegotiate the fees for the work based on current conditions or may elect to terminate the remaining work under the task assignment.
4. If the Consultant is willing to complete the services of the On-Call Task Assignment, the Consultant is to notify the DAS PM and request a meeting to discuss the scope of work and fee schedule to complete the assignment.
5. If the Consultant is unwilling or unable to complete the services of the On-Call Task Assignment, the Consultant is to turnover to the property of the State any remaining finished or unfinished documents prepared per the Contract for its use.

Agency Administered Projects

0500 – Agency Administered Projects Manual

2.10.3 Termination of an On-call Task Assignment

The termination of an On-Call Task Assignment means that all services to be performed by the Consultant, under the terms and conditions of said Assignment, are to permanently cease.

If the services of an On-Call Consultant are terminated, the Consultant is entitled to:

- Reasonable compensation for services already satisfactorily performed and accepted under the Contract, but no amount shall be allowed for anticipated profit on unperformed services.

If the services of an On-Call Consultant are terminated, the Agency is entitled to:

- All data, drawings, specifications, reports, estimates, summaries, and all other information and materials that may have been accumulated by the Consultant in performing its duties under the Contract.

In accordance with the subject On-Call Contract, the Consultant may be terminated for cause or for convenience. If the Agency is considering termination for cause, please contact, via email, the Director of [CSS](#). If the Agency plans to terminate for convenience, please proceed as follows:

The process to terminate an On-Call Consultant Task Assignment is as follows:

1. Submit **Form 7987 – Request for Termination** of On-Call Task Assignment to the assigned DAS PM with copy, via e-mail, to the Director of [CSS](#).
2. CSS will draft a Notice for Termination, based on the request, for the Commissioner's or his/her designee's signature.

The signed Notice for Termination will then be distributed to the effected Consultant with copy to the Agency, the assigned DAS PM, and the DAS ADPM.

2.11 Reporting Requirements

At the end of each fiscal quarter, all Agencies authorized to self-administer Projects are required to provide a Project status report on each of their active Agency Administered Projects and/or submit the applicable Project closeout forms for Projects that have been cancelled, put on hold, or have been identified as complete.

Prior to the end of each fiscal quarter, DAS|RECS will distribute a report to each Agency listing all those Agency Administered Projects for which it requires a status update and/or the submission of closeout documentation. For those Projects that are active, DAS|RECS requires a status update, inclusive of the current Project phase and estimated date of completion for the Project. For those Projects that are designated as complete, DAS|RECS requires the submission of the appropriate closeout documentation, so that it can formally closeout the Project.

Failure by the Agency to provide Project status updates and/or the necessary documents to close out an Agency Administered Project may impact future requests by the Agency to self-administer Capital Projects.

Reference Documents

0500 – Agency Administered Projects Manual

3.0 REFERENCE DOCUMENTS

3.1 [Project Manuals & Guidelines \(0000 Series\)](#)

DAS Consultants Procedure Manual
DAS Selection & Bidding Manual
TUC Guidance Manual

3.2 [Project Initiation and Consultant Selection \(1000 Series\)](#)

Form 1107 Capital Project Initiation Request – State Contract for Time and Material Services
Form 1108 Capital Project Initiation Request – Bid Contract (pre-Bid)
Form 1108A Capital Project Initiation Request – Bid Contract (post-Bid)
Form 1109 Request for Declaration of Emergency

3.2 [Design Phase Forms \(3000 Series\)](#)

Form 3150A Certificate of Compliance (Pre-Con AA)

3.3 [Bid Phase Forms \(6000 Series\)](#)

3.4 [Construction Phase Forms \(7000 Series\)](#)

Form 745 Contractor Performance Evaluation
Form 7150A Certificate of Compliance (Construction AA)
Form 7820 Certificate of Acceptance
Form 7985 Request for Suspension of Task Assignment
Form 7986 Request for Reactivation of Task Assignment
Form 7987 Request for Termination of Task Assignment
Form 7988 Notice of Project Cancellation

Appendix I – Emergency Project Contact Information

Appendix II – Capital Project Initiation Request Workflows