

**DAS Construction Services / Office of Legal Affairs, Policy, & Procurement  
Contract Submittal Requirements**

**SECTION 1: Attachments, Certifications, And Representations**  
**ATTACH TO QBS SUBMITTAL BOOKLET**  
**and**  
**AGREE IN CONTRACT:**

- In accordance with the Connecticut General Statutes (CGS) §§ [1-101qq](#), [4-250](#), [4-252](#), [4-252a](#), [4a-60](#), [4a-81\(a\)](#), [4a-81\(b\)](#), and [9-612](#), as amended, Firms responding to a proposal are required to:
  - **Complete Attachments 2.1 and 2.2** in **Division 2** of the **QBS Submittal Booklet**; and
  - **Agree to Certifications and Representations** provided in the updated **Contract** (as described in the **1212 QBS Submittal Booklet Instructions**).
- The State may waive minor irregularities that otherwise may cause rejection of a proposal only when waiving such minor irregularities is in the best interests of the State and the minor irregularities have been corrected by the Firm within seven (7) Calendar Days after the proposal Due Date.
- Violations of certain Certifications and Representations (including, but not limited to, CGS §9-612(f)(2)(A)), **may** result in disqualification from entering into a State of Connecticut contract.

**SECTION 2: Professional Documents, Business Credentials, and Insurance Verification**  
**EMAIL COPIES TO OLAPP:**

- In accordance with the requirements of State of Connecticut Department of Administrative Services (DAS) and the DAS Construction Services (DAS/CS) Office of Legal Affairs, Policy, & Procurement (OLAPP), the selection of a firm is conditional upon completing and **emailing** to OLAPP at [cathy.phelps@ct.gov](mailto:cathy.phelps@ct.gov) and [tatiana.keating@ct.gov](mailto:tatiana.keating@ct.gov), within **fourteen (14) calendar days** of being notified by email of their conditional selection, copies of certain Professional Documents, Business Credentials, and Insurance Verification as listed in Section 2.1 below.
- All documents must be current (i.e., less than 90 days old).
- Documents requiring signatures must use exact legal names.
- Failure to timely submit the required materials to OLAPP could result in a decision to discontinue negotiations with the conditionally selected firm and to initiate negotiations with the next highest ranked proposer.
- The Department reserves the right to terminate the selection and negotiation after it receives and reviews the five-year errors and omissions claims history.
- **NOTE: "Doing Business As" (DBA) firms must email a current copy of their Trade Name Certificate on file in the city/town in which the firm is located.**
- Questions concerning these documents can be directed to OLAPP at [cathy.phelps@ct.gov](mailto:cathy.phelps@ct.gov).

**SECTION 2: Professional Documents, Business Credentials, and Insurance Verification**  
(continued):

**Section 2.1: Email the following Professional Documents, Business Credentials, and Insurance Verification to OLAPP within fourteen (14) Calendar Days of being Conditionally Selected:**

1.	<p><b>Professional and Business Credentials:</b> See <b>Table 1</b> in <b>1150 DAS/CS Credentials and Insurance Requirements</b> for a list of professional and business credentials that must be emailed to OLAPP. Download <b>Form 1150</b> from the DAS/CS Library: <a href="https://portal.ct.gov/DASCSLibrary">https://portal.ct.gov/DASCSLibrary</a> &gt; 1000 Series &gt; 1100 Series.</p>
2.	<p><b>Insurance Verification Documents:</b> See <b>Table 2</b> in <b>1150 DAS/CS Credentials and Insurance Requirements</b> for a description of required insurance coverages and certificates that must be emailed to OLAPP. Insurance certificate(s) must indicate at least the minimum noted coverages described in <b>Table 2</b>, as well as additional coverage that may be described in the Conditional Selection letter and/or addenda. Download <b>Form 1150</b> from the DAS/CS Library: <a href="https://portal.ct.gov/DASCSLibrary">https://portal.ct.gov/DASCSLibrary</a> &gt; 1000 Series &gt; 1100 Series.</p>
3.	<p><b>1215 QBS Certificate (of Authority):</b> Email a copy of the signed document to OLAPP. <b>NOTE:</b> This Certificate will serve as authorization for execution of the Disclosure Affidavit. (The Disclosure Affidavit is the contract document for the Conditional Selection document submission package.) Download <b>Form 1215</b> from the DAS/CS Library: <a href="https://portal.ct.gov/DASCSLibrary">https://portal.ct.gov/DASCSLibrary</a> &gt; 1000 Series &gt; 1200 Series.</p>
4.	<p><b>1216 QBS Disclosure Affidavit:</b> Email a copy of the signed document to OLAPP. <b>NOTE:</b> The name and title of the person who is signing should agree exactly with the name and title as stated in the second paragraph of the Certificate (of Authority). Download <b>Form 1216</b> from the DAS/CS Library: <a href="https://portal.ct.gov/DASCSLibrary">https://portal.ct.gov/DASCSLibrary</a> &gt; 1000 Series &gt; 1200 Series.</p>
5.	<p><b>“Certificate of Legal Existence”:</b> Email a copy of the signed document to OLAPP.</p> <ul style="list-style-type: none"> <li>• <b>In-state firms:</b> Email a current copy (i.e., less than 90 days old) from the Connecticut Secretary of the State (SOTS). Obtain a copy by downloading and submitting a “Request for Certificate” to the SOTS: <a href="https://portal.ct.gov/SOTS">https://portal.ct.gov/SOTS</a> &gt; Business Services &gt; Forms and Fees &gt; All Business Filings &gt; Certificate of Legal Existence.</li> <li>• <b>Nonresident (out-of-state) firms:</b> Email a current copy (as described above) <b>AND</b> a current copy (i.e., less than 90 days old) of a “Good Standing Certificate” from the firm’s home state.</li> <li>• <b>“Doing Business As” (DBA) firms:</b> Email a current copy of the <b>Trade Name Certificate</b> on file in the city/town in which the firm is located.</li> </ul>
6.	<p><b>Form SP-26NB – Agency Vendor Form:</b> Email a copy of the signed document to OLAPP. Download the <b>Agency Vendor Form</b> template from the OSC website: <a href="https://osc.ct.gov/">https://osc.ct.gov/</a> &gt; Agencies &gt; Forms &gt; Agency Vendor Form (SP-26NB).</p> <ul style="list-style-type: none"> <li>• If a firm <b>has</b> done business with the State of Connecticut and <b>has</b> previously registered with the Office of the State Comptroller (OSC), check with the OSC that the information on the “Agency Vendor Form” is correct. If <b>any</b> information is incorrect, <b>email</b> an updated, <b>signed</b>, “Agency Vendor Form” <b>to the OSC and a copy to OLAPP</b>.</li> <li>• If a firm has <b>not</b> done business with the State of Connecticut and/or has <b>not</b> previously registered with the OSC, download, complete, sign, and submit the “Agency Vendor Form” <b>to the OSC and email a copy to OLAPP</b>.</li> </ul>
7.	<p><b>IRS W-9 – Request for Taxpayer ID Number &amp; Certification:</b> Email a copy of the signed document to OLAPP. Download the W-9 template from the IRS website: <a href="http://www.irs.gov">www.irs.gov</a> &gt; Forms &amp; Instructions &gt; Form W-9.</p> <ul style="list-style-type: none"> <li>• If a firm has <b>not</b> done business with the State of Connecticut and/or has <b>not</b> previously registered with OSC, download, complete, sign, and submit the Internal Revenue Service’s IRS W-9 <b>to OSC and a copy to OLAPP</b>.</li> </ul>

SECTION 3: CMR AND DESIGN-BUILD FIRMS ONLY:	
<p><b>CMR AND DESIGN-BUILD FIRMS ONLY:</b> After being Conditionally Selected and prior to the execution of the CMR GMP Amendment (or prior to performing work on project elements as permitted under CGS §4b-103, whichever is first) <u>or</u> prior to the execution of the Design-Build Agreement (as applicable), submit the following as indicated:</p>	
<p><b>Section 3.1: Submit to the Commission on Human Rights and Opportunities (CHRO) and email copies to OLAPP:</b></p> <p><b>CHRO Good Faith Efforts Plan and Small Business Enterprise (SBE) and/or Minority Business Enterprise (MBE) Subcontractor Participation Goals:</b></p> <p>The Contractor who is selected to perform this State project must comply with C.G.S. §§ 4a-60, 4a-60g, and 46a-68b through 46a-68f, inclusive, which require that prior to the performance of construction work, you must have your company's good faith efforts plan approved by the Commission on Human Rights and Opportunities ("CHRO") and you must demonstrate good faith effort to meet the SBE and/or MBE subcontractor participation goals. CHRO is the State of Connecticut's chief civil rights law enforcement agency.</p> <ul style="list-style-type: none"> <li>• <b>For the CMR delivery method</b>, the performance of construction work will occur either upon approval of the Guaranteed Maximum Price ("GMP") or at such time as your firm performs work on project elements as permitted under CGS §4b-103, whichever is the first to occur. Please note that the CMR is required to review its SBE and MBE subcontractor participation goals and good faith efforts plan with DAS/CS prior to submission to CHRO, as discussed in Section 00 52 23.8 Administrative and Statutory Requirements of the CMR Request for Proposals (also known as "Appendix I" of the CMR Agreement).</li> <li>• <b>For the Design-Build delivery method</b>, the Design-Builder's good faith efforts plan must be approved by the CHRO as a condition precedent to the Design-Build Agreement, as noted in the Draft Design-Build Agreement included in the RFP.</li> <li>• For more information see the <b>CHRO website:</b> <a href="https://portal.ct.gov/CHRO">https://portal.ct.gov/CHRO</a>.</li> </ul>	
<p><b>Section 3.2: Submit to the Connecticut Department of Labor (DOL) and email copies to OLAPP:</b></p> <p><b>Contractor's Wage Certification Form:</b> Complete, sign, seal, and return to the DOL at the address noted on the form along with a schedule of prevailing wage rates.</p> <ul style="list-style-type: none"> <li>• Check with OLAPP as to when this is needed.</li> <li>• Download from the DOL website: <a href="https://portal.ct.gov/dol/">https://portal.ct.gov/dol/</a> &gt; Services &gt; Wage and Workplace Standards: Prevailing Wages &gt; Prevailing Wage Bid Package &gt; <a href="#">Contractor's Wage Certification Form</a> .</li> </ul>	
<p><b>Section 3.3: Email to OLAPP:</b></p>	
1.	<p><b>Performance Bond:</b></p> <ul style="list-style-type: none"> <li>• CMR RFP: see Section 00 52 23.5 Form of Bonds; or</li> <li>• DB RFP: see Section 00 61 10.1 Additional Forms</li> </ul>
2.	<p><b>Labor and Material Bond:</b></p> <ul style="list-style-type: none"> <li>• CMR RFP: see Section 00 52 23.5 Form of Bonds; or</li> <li>• DB RFP: see Section 00 61 10.1 Additional Forms</li> </ul>
3.	<p><b>Surety Sheet:</b></p> <ul style="list-style-type: none"> <li>• CMR RFP: see Section 00 52 23.5 Form of Bonds; or</li> <li>• DB RFP: see Section 00 61 10.1 Additional Forms</li> </ul>
4.	<p><b>Rider Increasing or Decreasing Penalty of Bond (if applicable):</b></p> <ul style="list-style-type: none"> <li>• CMR RFP: see Section 00 52 23.5 Form of Bonds; or</li> <li>• DB RFP: see Section 00 61 10.1 Additional Forms</li> </ul>
5.	<p><b>Rider Adding Additional Obligees (if applicable):</b></p> <ul style="list-style-type: none"> <li>• CMR RFP: see Section 00 52 23.5 Form of Bonds; or</li> <li>• DB RFP: see Section 00 61 10.1 Additional Forms</li> </ul>
6.	<p><b>Proposer's Certification: Financial Position and Corporate Structure:</b></p> <ul style="list-style-type: none"> <li>• CMR RFP: see Section 00 52 23.5 Form of Bonds; or</li> <li>• DB RFP: see Section 00 61 10.1 Additional Forms</li> </ul>
7..	<p><b>Nonresident (Out of State) Firms:</b></p> <ul style="list-style-type: none"> <li>• <b>Copy</b> of "Notice of Verified Status" (Verification Letter) from the Connecticut Department of Revenue Services (DRS) for <b>Verified Nonresident</b> General/Prime Contractors.</li> <li>• <b>Copy</b> of Form AU-965 "Acceptance of Surety Bond" from DRS for <b>Unverified Nonresident</b> General/Prime Contractors.</li> </ul>

END - 1269.1 DAS/CS Contract Submittal Requirements