

**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-60a](#), [4a-81\(a\)](#), [4a-81\(b\)](#), and [9-612](#), as amended by **Public Act 21-76**, 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 and 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.

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>Professional and Business Credentials: See Table 1 in 1150 DAS/CS Credentials and Insurance Requirements for a list of professional and business credentials that must be emailed to OLAPP. Download Form 1150 from the DAS/CS Library: https://portal.ct.gov/DASCSLibrary > 1000 Series > 1100 Series.</p>
2.	<p>Insurance Verification Documents: See Table 2 in 1150 DAS/CS Credentials and Insurance Requirements 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 Table 2, as well as additional coverage that may be described in the Conditional Selection letter and/or addenda. Download Form 1150 from the DAS/CS Library: https://portal.ct.gov/DASCSLibrary > 1000 Series > 1100 Series.</p>
3.	<p>1215 QBS Certificate (of Authority): Email a copy of the signed document to OLAPP. NOTE: 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 Form 1215 from the DAS/CS Library: https://portal.ct.gov/DASCSLibrary > 1000 Series > 1200 Series.</p>
4.	<p>1216 QBS Disclosure Affidavit: Email a copy of the signed document to OLAPP. NOTE: 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 Form 1216 from the DAS/CS Library: https://portal.ct.gov/DASCSLibrary > 1000 Series > 1200 Series.</p>
5.	<p>“Certificate of Legal Existence”: Email a copy of the signed document to OLAPP.</p> <ul style="list-style-type: none"> • In-state firms: 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: https://portal.ct.gov/SOTS > Business Services > Forms and Fees > All Business Filings > Certificate of Legal Existence. • Nonresident (out-of-state) firms: Email a current copy (as described above) AND a current copy (i.e., less than 90 days old) of a “Good Standing Certificate” from the firm’s home state. • “Doing Business As” (DBA) firms: Email a current copy of the Trade Name Certificate on file in the city/town in which the firm is located.
6.	<p>Form SP-26NB – Agency Vendor Form: Email a copy of the signed document to OLAPP. Download the Agency Vendor Form template from the OSC website: https://osc.ct.gov/ > Agencies > Forms > Agency Vendor Form (SP-26NB).</p> <ul style="list-style-type: none"> • If a firm has done business with the State of Connecticut and has 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 any information is incorrect, email an updated, signed, “Agency Vendor Form” to the OSC and a copy to OLAPP. • If a firm has not done business with the State of Connecticut and/or has not previously registered with the OSC, download, complete, sign, and submit the “Agency Vendor Form” to the OSC and email a copy to OLAPP.
7.	<p>IRS W-9 – Request for Taxpayer ID Number & Certification: Email a copy of the signed document to OLAPP. Download the W-9 template from the IRS website: www.IRS.gov > Forms & Instructions > Form W-9.</p> <ul style="list-style-type: none"> • If a firm has not done business with the State of Connecticut and/or has not previously registered with OSC, download, complete, sign, and submit the Internal Revenue Service’s IRS W-9 to OSC and a copy to OLAPP.

SECTION 3: CMR AND DESIGN-BUILD FIRMS ONLY:

CMR AND DESIGN-BUILD FIRMS ONLY: 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) or prior to the execution of the Design-Build Agreement (as applicable), submit the following as indicated:

Section 3.1: Submit to the Commission on Human Rights and Opportunities (CHRO) and email copies to OLAPP:

1. CHRO Affirmative Action Plan:

The work of this project falls under the provisions of CGS §46a-68d, which requires that prior to the performance of construction work, you must have your company's affirmative action plan approved by the Commission on Human Rights and Opportunities ("CHRO"). CHRO is the State of Connecticut's chief civil rights law enforcement agency.

- **For the CMR delivery method**, 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 set-aside program and Affirmative Action 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).
- **For the Design-Build delivery method**, the Design-Builder's affirmative action plan must be approved by the CHRO as a condition precedent to the Design-Build Agreement, as noted in the "Set Aside Agreement" of the Draft Design-Build Agreement included in the RFP. In accordance with the requirements of CHRO:

"When projects are design/build (or similar as in multi-phase contracts) where subcontractors are solicited for bids at different stages of the project, Contractors must file a CHRO Affirmative Action Plan (AAP) Format by week, month, or quarter (as determined by CHRO) listing all S/M/W/DBE's subcontractors with whom contracts have been signed during that period. These reports must be filed until the Contractor has provided evidence that the set-aside requirements for the project have been met."

The Affirmative Action Plan is a mandatory, detailed, result-oriented set of procedures, prepared by the CMR or Design-Builder and approved by CHRO in accordance with CGS §46a-68, as amended and the Regulations of Connecticut State Agencies (RCSA) Sections 46a-68-75 through 46a-68-114, inclusive, which blueprints a strategy to combat discrimination and achieve affirmative action.

Small Business Set Aside Certificates: You are also required as part of this process to submit to CHRO current DAS Small Business Set Aside certificates for all your set asides along with your Affirmative Action Plan submission. Pursuant to CGS 4a-60g(e), the CMR or Design-Builder will, during the construction services, be required to award not less than 25% of the total contract price to contractors who are certified and eligible to participate in the State of Connecticut's "Small Contractors" set-aside program, including 25% of this amount (or 6.25% of project total) to be awarded to "Minority Business Enterprises." The CMR or Design-Builder will be required to file all the necessary certifications required by CHRO in this respect.

You are required to file your plan (and all applicable DAS Small Business Set Aside certificates) with CHRO, and we encourage you to start this process immediately. Please include the project title, project number and project address on the submitted plan. At the appropriate time, please provide DAS/CS with a copy of your firm's transmittal letter to CHRO addressed to the DAS/CS Project Manager for this project. The Commission will conduct their review of your Affirmative Action Plan as required by RCSA Sections 46a-68-95 through 46a-68-107, which set forth the affirmative action responsibilities of state public works contractors. It is suggested that you contact and set up an appointment with Alvin Bingham, Affirmative Action/Contract Compliance Supervisor of the Contract Compliance Unit, CHRO at (860) 541-3434 (main number) or (860) 541-4709 (Mr. Bingham's number).

- For more information see the **CHRO website:** <https://portal.ct.gov/CHRO>.
- The template for the **CHRO Affirmative Action Plan** can be downloaded from the **CHRO website** at <https://portal.ct.gov/CHRO> > Notices: Contract Compliance Forms and Reports for Contractors, State Agencies, Quasi-Public Agencies and Municipalities > Affirmative Action Plan (AAP) Format.

2. CHRO Bidder Contract Compliance Monitoring Report

- The template for the **Bidder Contract Compliance Monitoring Report** can be downloaded from the **CHRO website** at <https://portal.ct.gov/CHRO> > Notices: Contract Compliance Forms and Reports for Contractors, State Agencies, Quasi-Public Agencies and Municipalities > Notification to Bidders/Contract Compliance Monitoring Form.

SECTION 3: CMR AND DESIGN-BUILD FIRMS ONLY: (continued)

Section 3.2: Submit to the Connecticut Department of Labor (DOL) and email copies to OLAPP:

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| 1. | <p>Contractor's Wage Certification Form:</p> <ul style="list-style-type: none"> • Complete, sign, seal, and return to the DOL at the address noted on the form along with a schedule of prevailing wage rates. • Check with OLAPP as to when this is needed. • Download from the DOL website: https://portal.ct.gov/dol/ > Services > Wage and Workplace Standards: Prevailing Wages > Prevailing Wage Bid Package > Contractor's Wage Certification Form . |
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Section 3.3: Email to OLAPP:

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| 1. | <p>Performance Bond:</p> <ul style="list-style-type: none"> • CMR RFP: see Section 00 52 23.5 Form of Bonds; or • DB RFP: see Section 00 61 10.1 Additional Forms |
| 2. | <p>Labor and Material Bond:</p> <ul style="list-style-type: none"> • CMR RFP: see Section 00 52 23.5 Form of Bonds; or • DB RFP: see Section 00 61 10.1 Additional Forms |
| 3. | <p>Surety Sheet:</p> <ul style="list-style-type: none"> • CMR RFP: see Section 00 52 23.5 Form of Bonds; or • DB RFP: see Section 00 61 10.1 Additional Forms |
| 4. | <p>Rider Increasing or Decreasing Penalty of Bond (if applicable):</p> <ul style="list-style-type: none"> • CMR RFP: see Section 00 52 23.5 Form of Bonds; or • DB RFP: see Section 00 61 10.1 Additional Forms |
| 5. | <p>Rider Adding Additional Obligees (if applicable):</p> <ul style="list-style-type: none"> • CMR RFP: see Section 00 52 23.5 Form of Bonds; or • DB RFP: see Section 00 61 10.1 Additional Forms |
| 6. | <p>Proposer's Certification: Financial Position and Corporate Structure:</p> <ul style="list-style-type: none"> • CMR RFP: see Section 00 52 23.5 Form of Bonds; or • DB RFP: see Section 00 61 10.1 Additional Forms |
| 7.. | <p>Nonresident (Out of State) Firms:</p> <ul style="list-style-type: none"> • Copy of "Notice of Verified Status" (Verification Letter) from the Connecticut Department of Revenue Services (DRS) for Verified Nonresident General/Prime Contractors. • Copy of Form AU-965 "Acceptance of Surety Bond" from DRS for Unverified Nonresident General/Prime Contractors. |

END

1269.1 DAS/CS Contract Submittal Requirements