



Department of Housing



The State of Connecticut
Department of Housing
Community Development Block Grant – Disaster Recovery
Request for Proposals

**Architectural, Engineering & Construction Management
Services**
Owner-Occupied Single Family & Small Multifamily Housing
Rehabilitation, Reconstruction and Mitigation Program

Deadline for Submission: October 4, 2013

A pre-bid conference will be held on Thursday, September 26th at the Legislative Office Building (Room 2E) 300 Capitol Avenue, Hartford, CT 06106, from 1:00-2:00 p.m.; interested bidders are requested to send a maximum of two attendees. All interested respondents should confirm attendance by email to judith.gray@ct.gov before end of business on Wednesday September 25, 2013.

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I. STATEMENT OF OBJECTIVES

The Connecticut Department of Housing (“DOH”) invites interested firms to submit proposals for evaluation, qualification and selection as a Consultant DOH will contract for professional **Architectural, Engineering & Construction Management Services** to assist DOH in monitoring the rehabilitation, reconstruction and/or mitigation activities (hereinafter “Activities”) of single family owner-occupied homes and multifamily housing associated with damages caused by Hurricane Sandy. Such activity is located in Fairfield, New Haven, New London and Middlesex counties or in the Mashantucket Pequot Indian Reservation. Prospective bidders should be aware that 80% of all work provided under this program will be dedicated to New Haven and Fairfield counties. It is anticipated that multiple awards will be made to qualified bidders under this Request for Proposals (hereinafter “RFP”).

II. SCOPE OF SERVICES

The following information outlines the minimum services that the Architectural, Engineering & Construction Management Contractor (the “Consultant”) will be required to provide: general services, evaluation of damaged properties; environmental review; cost estimates; plans and specifications; bidders meetings at site(s), evaluation of bid responses; and construction management & administration, each to the extent defined herein.

A. General Services

At a minimum, following professional services shall be required, if applicable, and conducted by the Consultant’s Team, including, but not limited to the following types of services:

1. Architectural;
2. Civil Engineering;
3. Structural Engineering;
4. Mechanical/Electrical/Plumbing Engineering (including HVAC, Flood/Hurricane mitigation);
5. Pre-design, Feasibility, Environmental Studies and Clearance;
6. Cost Estimating;
7. Construction Project Management.

Initial Evaluation of Properties

The Consultant will conduct an initial evaluation of each property assigned, including, at a minimum:

1. Visit each property assigned and walk through the property with the owner or the owner’s representative;
2. Provide a general evaluation of the unit to DOH based on the standard criteria established by the DOH;
3. Provide a rough estimate of the cost to bring the unit to code including mitigation, resiliency, green building and energy efficiency.

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Cost Estimates

The Consultant will, at DOH's request:

1. Develop construction documents and cost estimates for the rehabilitation or replacement of owner occupied single family units and small multifamily units damaged by Hurricane Sandy located in Fairfield, New Haven, New London and Middlesex counties and the Mashantucket Reservation;
2. Review construction documents and cost estimates for the rehabilitation or replacement of owner-occupied single and small multifamily units damaged by Hurricane Sandy located in Fairfield, New Haven, New London and Middlesex counties and the Mashantucket Reservation;
3. Review construction documents and cost estimates for the construction of replacement units for multifamily units lost;
4. For units in the 500 year or 100 year flood plain include mitigation and resiliency in the cost estimate;
5. For units requiring rehabilitation exceeding 51 percent of the pre-storm value of the unit, include green building and energy efficiency to the extent practicable in the cost estimate.

Plans, Specifications and Bid Process

The Consultant will, at DOH's request:

1. Provide plans and specifications packages for each owner occupied single family rehabilitation or replacement which meet all required state and local codes and the standards adopted by DOH , and where applicable, meeting the Secretary of the Interior's Standards for the Rehabilitation of Historic Properties (SOI Standards) if applicable;
2. For units being within in the 500 year or 100 year flood plain, provide DOH with a separate scope of work for mitigation, which meet the requirements for FEMA's Hazardous Mitigation Grant Program (HMGP);
3. Provide DOH with an estimated cost for each owner occupied single family rehabilitation or replacement based on the plans and specifications;
4. Provide DOH with an estimated cost for each small multifamily rehabilitation or replacement activity, based on the plans and specifications;
5. Provide DOH with a separate estimated cost for each mitigation project to meet requirements for HMGP;
6. Lead general contractor walk-through by fully explaining all plans, permits and other requirements for general contractors as well as to respond to all questions; and;
7. Provide technical reviews and evaluations of bid responses as well as recommendations to DOH.

B. Construction Administration

General Administration

At a minimum, the Consultant shall insure that:

1. DOH's investment is protected and risks are minimized.
2. Federal NEPA Environmental Reviews are completed and clearances are issued.
3. The activities are performed in accordance with the DOH accepted construction documents, applicable codes, and any environmental requirements and that all

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required permits have been obtained *prior* to the commencement of any construction.

4. The amount of funding requested on the Contractor's Requisition corresponds to the requirements for disbursement as detailed in the construction contract.
5. The quality of construction meets or exceeds the DOH Standards and/or Construction Industry Standards.

Observation

The duration and frequency of site visits shall comply with the following:

1. The activity period for each project typically lasts from ninety (90) days to six (6) months.
2. During the activity, weekly on-site visits are expected, unless special circumstances or special arrangements are made beforehand between the Consultant and DOH.
 - a) A weekly report of all on-site visits shall be provided to DOH each Wednesday summarizing the previous week's activities. Any schedule slip, improper or insufficient work, and any additional concerns must be fully explained in this report along with plans for mitigation.

Oversight

Duties and responsibilities include:

1. Attending project meetings;
2. Observing activity progress and reporting to DOH any outstanding issues or concerns;
3. Reviewing and recommending proposed change orders;
4. Reviewing monthly requisitions as detailed in construction contracts;
5. Assessing the installed work for comparison to the contractor's requisitions;
6. Communicating with DOH in writing, orally, and/or by email whenever necessary and;
7. Reporting any project related injury, emergency or major problem to DOH at the earliest possible time not to exceed one business day of the Contractor's knowledge thereof. This "Emergency Report" shall be telephoned to the designated number and emailed to DOH immediately thereafter. Backup telephone numbers will be provided in order to be certain that the timely report is received by DOH. Voice mail notification is not acceptable.

III. RESPONDENT QUALIFICATIONS

General

The Consultant(s) providing the professional services must:

1. Be led by a principal or partner of an established professional firm;
2. Be a licensed architect and/or engineer in the State of Connecticut;
3. Have, or be able to obtain the services of an Architectural Historian meeting the Secretary of the Interior's (SOI) Professional Qualification Standards (36 CFR Part 61: Appendix A);
4. Be covered by a current professional liability insurance policy and other required coverage as further detailed in Subsection III-11 below;

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5. Demonstrate extensive knowledge of architectural and engineering design and construction issues; Demonstrate extensive knowledge of 24 CFR Part 58 regarding environmental review;
6. Have knowledge of State Flood Management requirements per C.G.S. 25-68
7. Demonstrate extensive knowledge of the Connecticut Building Code, the Fair Housing Laws, AIA documents, general construction practices and familiarity with the DOH Standards of Design and Construction, SOI Standards and Federal regulations regarding mitigation and resiliency;
8. Have or be able to obtain the capacity to undertake up to ten (10) single family homes and/or 3 multifamily projects at a time.
9. Have demonstrated ability to work successfully with government including:
 - a. No previous record of default on a government contract;
 - b. No applicant entity, or principal thereof, may be awarded a Federal contract if subject to a debarment, suspension, or limited denial of participation under 24 CFR Part 24.
 - c. No formal debarment or suspension from entering into contracts with a Connecticut governmental agency; or other notification of ineligibility or prohibition against bidding or proposing on government contracts;
10. Have insurance to the following specification:
 - a. General liability insurance in the amount of \$250,000 per occurrence and \$500,000 aggregate;
 - b. Bodily injury insurance, including death, in the amount of \$100,000 per occurrence and \$300,000 aggregate
 - c. Property damage insurance in the amount of \$100,000 per occurrence and \$300,000 aggregate
 - d. Automotive liability insurance in the amount of \$100,000 per occurrence and \$300,000 aggregate
 - e. Workers Compensation as required by law

Cost Estimating

As a Cost Estimator providing rehabilitation and/or replacement cost estimates and review of estimated costs, the consultant providing the professional services must:

1. Have a minimum of 5 years' experience in construction cost estimating;
2. Have previous experience in the rehabilitation of single family and multifamily housing and;
3. Have knowledge of current national and local construction market trends, labor and material costs including Davis-Bacon wage requirements, regional cost differences, and the DOH Standards of Design and Construction guideline square foot cost per building type, and the SOI Standards ;

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Plans, Specifications and Bidding Process

As an Architect and/or Engineer providing plans and specifications for the rehabilitation of single family homes, the consultant providing the professional services must meet all applicable requirements of this Section III.

Construction Administration Oversight

Any entity contracted as a consultant providing construction administration oversight professional services must:

1. Demonstrate a minimum of five (5) years' experience in construction project management and;
2. Provide sample Project Management Plans for each type of project anticipated under this RFP.

IV. FEE SCHEDULE

The consultant will provide a schedule of fees to the following specifications. The Schedule of Fees shall be included in the firm's response as Exhibit 5.1. All fees shall be inclusive of administration, overhead and profit.

DOH will establish fees to be paid to qualifying firms following the evaluation of proposals. The fees will be determined by:

- a) Evaluating proposed hourly fees from all applicants;
- b) Eliminating the highest and lowest proposed fees and;
- c) The average of the remaining proposed fees will establish the amount DOH will pay firms that enter into a contract pursuant to this RFP. All firms contracted will be compensated at the same hourly rates.

Initial Evaluation – Owner Occupied Single Family only

1. Compensation calculated on a "flat fee per hour" basis (no mitigation necessary)
2. Compensation calculated on a "flat fee per hour" basis (with mitigation/resiliency)

Cost Estimates – Owner Occupied Single Family and/or Small Multifamily Properties

1. Compensation calculated on a "flat fee per hour" basis for Owner Occupied Single Family
2. Compensation calculated on a "flat fee per hour" basis for small Multifamily

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Compensation calculated on a "flat fee per hour" basis with the following listed as added work on a "flat additional fee per hour" basis:

1. Mitigation or Environmental Remediation;
2. Environmental Review and/or Clearance;
3. Green Building and;
4. Energy Efficiency;
5. State Flood Management Applications/Certifications.

Construction Management

1. Attendance at all DOH required meetings: Compensation calculated on a "flat fee per hour basis";

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2. Duration and frequency of site visits: Compensation calculated on a "flat fee per hour" basis;
3. Change Orders: Compensation calculated on a "flat fee per hour" and;
4. Requisition Review and Progress Verification: Compensation calculated on a "flat fee per hour" basis.

Period of Performance:

The period of performance is likely to vary depending on the demand and the cost per unit incurred.

1. The initial period of performance will be 2 years;
2. DOH may extend the term of the contract by mutual agreement; and
3. DOH may reduce or terminate the period of performance with 30 days written notice.

V. AWARD CRITERIA

All proposals will be evaluated for completeness. Proposals deemed to be incomplete or substantially non-responsive will not be evaluated.

This process is based on comparing and evaluating weighted criteria of qualifications and performance of applicants in relation to work of similar scope and complexity that is required for this specific contract. The Contract award is based first on a selection of the highest qualifications and second on a fair and reasonable fee.

All complete proposals will be evaluated using the following criteria:

1. Experience and Capacity (400 points)
 - a. Applicants must provide documentation affirming that all qualifications listed in Section III hereof are met and up to date;
 - b. Applicants must demonstrate extensive architectural and design experience, particularly in the area of renovation of existing structures.
 - c. Applicants must demonstrate extensive construction project management experience including methods used and descriptions of mitigation processes
 - d. Applicants must demonstrate extensive knowledge of Federal regulations regarding NEPA Environmental Reviews; knowledge of State Flood Management requirements per C.G.S. 25-68, the Connecticut Building Code, the Fair Housing Laws, AIA documents, general construction practices and familiarity with the DOH Standards of Design and Construction, the Federal regulations regarding mitigation and resiliency, and the SOI standards for the rehabilitation of buildings listed in the National Register of Historic Places.
 - e. Applicants must describe in detail the factors that attest to their capability to plan, estimate, and select contractors and oversee 10 single-family unit or 3 multi-family unit projects simultaneously. In lieu of that information, applicants may substitute a firm plan describing in detail how they will reach the required capacity.
2. Timetable to Initiate (250 points)
 - a. Applicants must provide a detailed description of how much time will be required before they can begin accepting and processing applications from homeowners. This description may include the time necessary for the applicant to commence in a limited capacity and run through to full capacity, however, this is not the

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preferred method due to the fact that DOH is committed to helping as many homeowners as soon as possible.

3. Geographic preferences or restrictions (100 points)
 - a. Geographic preferences and restrictions are permitted. However, a narrow geographic focus could limit an applicant's ability to be assigned work by DOH.
4. Minority/Women Owned Business (100 points)
5. Fee Schedule (150 points)
 - a. Applicants must provide a complete fee schedule as detailed in Section IV of this RFP.

Proposals submitted in response to this RFP will be evaluated based the quality and the reasonableness of the responses for each item above.

VI. PRE-BID CONFERENCE

A pre-bid conference will be held on Thursday, September 26th at the Legislative Office Building (Room 2E) 300 Capitol Avenue, Hartford, CT 06106, from 1:00-2:00P.M.

Interested bidders are requested to send a maximum of two attendees to this meeting. **All interested respondents should confirm attendance by email to judith.gray@ct.gov before end of business on Wednesday September 25, 2013.**

VII. EVALUATION PROCESS

A screening committee consisting of DOH staff will review all proposals. If at least three qualified proposals are received, the screening committee will evaluate the proposals based on the weighted award criteria described above and submit its evaluation to the Commissioner. The Commissioner shall decide which contractor(s) DOH will seek to negotiate with and ultimately fund.

VIII. PROPOSAL FORMAT

Proposals should be submitted as follows:

1. One (1) complete original clearly marked "**ORIGINAL**", with all required materials having original signatures, where applicable;
2. Two (2) copies, with all required materials; and
3. All materials must be bound (3 ring binders, etc.) and tabbed by section and placed in the same order as they are referenced in the proposal. Each tabbed section must include all relevant materials for that section, including proposal materials.

IX. INSTRUCTIONS

1. Completed proposals and all materials must be hand delivered or mailed via a nationally-recognized overnight carrier to: Hermia Delaire, DOH, 505 Hudson Street, Hartford, CT 06106-7106. **All proposals must be received at DOH on or before 4:00 p.m. on October 4, 2013.**
2. Any proposal received after the established deadline will not be considered.

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3. All responses to this **Request for Proposals** must conform to these instructions. Failure to conform may be considered appropriate cause for rejection of the response. DOH, in its sole discretion, may waive any non-material errors in any proposal.
4. An individual authorized to act on behalf of the respondent must submit the proposal. The proposal must also provide the name, title, address and telephone number for individuals authorized to negotiate and contractually bind the organization, and for those who may be contacted for the purpose of clarifying the information provided in the proposal. This information should also be included in the transmittal letter.

X. QUESTIONS

All questions related to this RFP should be submitted to **Hermia Delaire** by e-mail at hermia.delaire@ct.gov no later than noon (EST) on September 27, 2013. Each question should begin by referencing the RFP page number and section number to which it relates. Answers to all questions received by the deadline above will be posted on the Department of Housing website.

XI. REVISIONS TO THE RFP

Only written modifications to this RFP issued in the form of one or more addenda will be considered to be alterations to this RFP. Oral comments are not binding. An Addendum may be issued by DOH for any revisions, modifications, clarifications or alterations to the RFP.

XII. ERRORS

If a respondent discovers an error in their response after submittal, but prior to the response submission deadline, the respondent may request that the response be withdrawn. This request must be submitted in writing and signed by an officer or authorized representative of the firm. If the request is approved, the respondent may submit a revised response as long as it is received prior to the response submission deadline.

No alterations or corrections to the responses are permitted after the responses are opened. If an error is discovered after the response opening but before contract award, the respondent may request that its response be withdrawn. An officer or authorized representative of the firm must submit this request in writing. The decision to permit withdrawal of the response will be at the discretion of the Commissioner.

XIII. SUBCONTRACTING OR ASSIGNMENT

In the event a respondent proposes to subcontract for some or all of the services to be performed under the terms of the contract award, it shall state so in its proposal and attach for approval a list of said subcontractors and an itemization of the products and/or services to be supplied by them. Nothing contained in the specifications shall be construed as creating any contractual relationship between any such subcontractor and DOH.

Except as expressly proposed by a respondent in its proposal, the agreement to be entered into between the respondent selected under this RFP, if any, and DOH, may not be subcontracted or assigned by the respondent, in whole or in part, without the prior written consent of DOH. Such consent, if granted, shall not relieve the respondent of its responsibilities and liabilities under the contract, except as otherwise expressly provided therein.

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XIV. RIGHT TO INSPECT FACILITIES AND RECORDS

DOH reserves the right to inspect the respondent's establishment before making an award, for the purposes of ascertaining whether the respondent has the capacity to perform the proposed scope of service.

DOH may request references during the evaluation, and such references may be contacted to assist DOH in making a contract award that is most advantageous to DOH.

XV. CONDITIONS

Any prospective contractor must be willing to adhere to the following conditions and must positively certify to adhere to them in its proposal:

1. **Acceptances or Rejection by the State.** The State reserves the right to accept or reject any or all proposals submitted for consideration under this RFP.
2. **Conformance with Statutes.** Any contract awarded as a result of this RFP must be in full conformance with statutory requirements of the State of Connecticut and the Federal Government.
3. **Ownership of Proposals.** All materials are considered public information with the exception of personal and financial information. Following the execution of one or more contracts in connection with this RFP, proposals will be available for review upon request. All proposals in response to this RFP will be the sole property of the State and subject to the provisions of Connecticut's Freedom of Information Act, CGS §1-200 et seq.
4. **Ownership of Subsequent Products.** Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP will be sole property of the State unless stated otherwise in the contract.
5. **Timing and Sequence.** Timing and sequence of events resulting from this RFP will ultimately be determined by the State.
6. **Stability of Proposed Prices.** Any price offerings must be valid for a period of two (2) years from the due date of the proposals.
7. **Oral Agreements.** No contract, unless it is in writing and executed by an authorized representative of DOH following the obtaining of all necessary approvals and in accordance with all applicable law, shall be binding on DOH. No oral agreement or arrangement made with DOH or any DOH employee shall be binding on DOH.
8. **Amending or Canceling Requests.** The State reserves the right to amend or cancel this RFP.
9. **Rejection for Default or Misrepresentation.** The State reserves the right to reject any proposal if any proposed subcontractor is in the default of any prior contract with the state or for any misrepresentation.
10. **State's Clerical Errors in Awards.** The State reserves the right to correct inaccurate awards resulting from its clerical errors.
11. **Rejection of Qualified Proposals.** Proposals are subject to rejection in whole or in part if they limit or modify any of the terms, conditions and/or specifications of this RFP.
12. **Presentation of Supporting Evidence.** Any respondent, if requested, must be prepared to present evidence of experience, ability, service capacity, and financial standing.

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13. **Changes to Proposal.** Except as otherwise permitted by DOH, no additions or changes to a proposal will be allowed after submittal.
14. **Collusion.** By responding, the respondent implicitly represents and warrants that its proposal is not made in connection with any competing respondent submitting a separate response to this RFP, and is in all respects fair and without collusion or fraud. It is further implied that the respondent did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of DOH participated directly or indirectly in the respondent's proposal preparation.
15. **EEO-4 Form.** The proposal shall include a copy of the company's latest EEO-4 report as well as a copy the respondent's equal employment policy statement.

XVI. CONFLICT OF DOCUMENTS

Should any of the terms of any documents connected to the offer, acceptance, supply of goods, performance of services, and/or any verbal representations be in conflict with this RFP, the terms of the RFP shall supersede all other documents and/or verbal representations. The only exception would be if DOH amends this RFP in writing.

XVII. SEVERABILITY

The invalidity of any portion of this RFP will not and shall not be deemed to affect the validity of any other provision. In the event that any provision of this RFP is held to be invalid, the parties agree that the remaining provisions shall be deemed to be in full force and effect as if they had been executed by both parties subsequent to the expungement of the invalid provision.

XVIII. RIGHTS RESERVED BY THE STATE

DOH reserves the right to modify or waive any requirement, condition or other term set forth in this RFP, to request additional information at any time from one or more respondents, to select any number of proposals submitted in response to the RFP or to reject any or all such proposals.

XIX. NOTIFICATION OF AWARD

The selected respondent(s), if any, will receive a Notice of Award. The Notice may contain certain contingency requirements that must be satisfied within a designated time frame. Failure to comply with all provisions of the Notice of Award will disqualify that respondent and the award may be directed to another respondent.

XX. PRICE AND PAYMENT

Unless otherwise noted by DOH, all fees and other budgetary information quoted shall be firm through execution of a contract and shall not be subject to increase during the period of such contract, unless agreed upon by both parties in writing. The Commissioner must be notified in writing of any price reduction within five (5) business days of the effective date.

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RESPONDENT INFORMATION

Name: _____

Address: _____

Contact Person: _____

Title: _____

Telephone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

FEIN/SSN: _____ State Sales Tax No: _____

If you are using a **THIRD PARTY** to write this proposal, please provide the following:

Consultant/Company Name: _____

Address: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

NARRATIVE DESCRIPTION OF SERVICES TO BE PROVIDED

- 2.1. Provide up to a 3-page description of the proposed services, including minimum and maximum capacity relative to active sites (e.g. 3 sets of ten single family homes, 2 sets of 3 multifamily projects), as well as any geographic preferences or restrictions. Please note: A willingness/ability to serve all eligible geographies will receive the most consideration. **See Section V. Award Criteria, Items 1 and 3. Attach as Exhibit 2.1.**

QUALIFICATIONS AND CAPACITY

- 3.1. Describe the nature of your organization, staffing and overall qualifications to perform and complete this Scope of Work, including appropriate licensure. **See Section V Award Criteria, Item 1. Attach as Exhibit 3.1.**
- 3.2. Please provide organization legal structure documents (e.g., Articles of Incorporation, Partnership Agreement, By-laws, Secretary of State Certificate of Legal Existence/Certificate of Good Standing). **See Section V Award Criteria, Item 1. Attach as Exhibit 3.2.**
- 3.3. Please identify any past experience your organization has in providing the proposed scope of service, including a description of the service, timeframe in which the services were completed, special skills associated with providing this service and any other relevant information. **See Section V Award Criteria, Item 1. Attach as Exhibit 3.3.**
- 3.4. Please provide a signed copy of CHRO "Notification to Responders" form and information addressing (a) through (e) on the form. **Attach as Exhibit 3.4.**
- 3.5. Please provide a copy of your Equal Employment Opportunity Policy Statement, if applicable. **Attach as Exhibit 3.5.**
- 3.6. Please attach the last three years' audited financial statements (include notes and projections). If audited statements do not exist or are not applicable, attach last three years' federal tax returns. **Attach as Exhibit 3.6.**
- 3.7. Please attach certificate(s) of insurance showing the current coverage. **Attach as Exhibit 3.7.**

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3.8. Is the respondent, any principal or any affiliate a defendant in any litigation?

YES **NO**

If yes, indicate the nature and status of the litigation. **Attach as Exhibit 3.7.**

TIMETABLE TO INITIATE ACTIVITY

4.1 Please indicate timeframes expected to initiate the provision of services as well as the maximum of projects that can be undertaken at once. **See Section V Award Criteria, Item 2. Attach statement as Exhibit 4.1.**

4.2 Provide a description, including a timetable, for training/licensure of new hire(s), if any, necessary to provide the required services. **See Section V. Award Criteria, Item 2. Attach as Exhibit 4.2.**

PROPOSED FEE SCHEDULE

5.1 Please provide a Fee Schedule, including the breakdown by cost component. **See Section IV. Fee Schedule and Section V. Award Criteria. Attach as Exhibit 5.1.**

MINORITY/WOMEN OWNED BUSINESS

6.1 Please indicate if your organization is a minority, women or veteran owned business by completing Exhibit B, if applicable. Note: DOH encourages all entities to make a good faith effort to utilize small, minority, women and veteran owned businesses. **See Section V. Award Criteria, Item 4. Attach completed form as Exhibit 6.1.**

6.2 Please attach the respondent's equal employment policy statement as **Exhibit 6.2.**

SUBCONTRACTOR CERTIFICATION FORM

7.1 Please complete the Subcontractor Certification form, Exhibit C, if applicable. **Attach statement as Exhibit 7.1.**

RESPONDENT CERTIFICATION

It is hereby represented by the respondent (undersigned) as an inducement to DOH to consider the proposal, that to the best of my knowledge and belief, no information or data contained in the proposal or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. The respondent (undersigned) agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, and other references are hereby authorized now, or any time in the future, to give DOH of any and all information in connection with matters referred to in this proposal.

Certifying Representative:

1. Type Name and Title: _____

2. Signature: _____

3. Date: _____

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EXHIBIT B (3.4)

NOTIFICATION TO RESPONDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as responders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 32-9e of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the responder’s qualifications under the contract compliance requirements:

- (a) The responder’s success in implementing an affirmative action plan;
- (b) The responder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) The responder’s promise to develop and implement a successful affirmative action plan;
- (d) The responder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) The responder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

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The undersigned acknowledges receiving and reading a copy of the "Notification to Responder's form.

*** INSTRUCTION: responder must sign acknowledgement below, and return acknowledgment to DOH along with response proposal.**

Signature

Date

On behalf of:

RFP Name: Architectural & Engineering Services – Owner-Occupied and Multifamily

CERTIFICATE OF CORPORATION (if applicable)

I, _____ certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that _____, who signed said instrument on behalf of the Corporation was then _____ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

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EXHIBIT B (6.1)

MINORITY/WOMEN/VETERAN-OWNED BUSINESS CERTIFICATION

Complete Legal Name of Business: _____

Headquarters

Address: _____

Town: _____ State: _____ Zip Code: _____

Mailing Address (if different) _____

Town: _____ State: _____ Zip Code: _____

Does your firm meet the following definition of a minority business enterprise (MBE)?

YES NO

A minority business enterprise (MBE) is defined as: A small business with at least 51% ownership by one or more minority person(s)* who exercise operational authority over the daily affairs of the business, has the power to direct the management, policies and receives beneficial interests of the business.

* Who is considered a minority? A person(s) who is Black, Hispanic, Asian, American Indian, has origins in the Iberian Peninsula, a woman, and an individual with a disability according to the Americans with Disabilities Act - see program information for more detail.

Date Business was first established: ___/___/___ Total Number of employees _____

Type of Business **(Check only one)**

<input type="checkbox"/> Sole Proprietorship	Date Established	___/___/___
<input type="checkbox"/> General Partnership	Date of Partnership	___/___/___
<input type="checkbox"/> Limited Liability Partnership	Date of Partnership	___/___/___
<input type="checkbox"/> Corporation	Date of Incorporation	___/___/___
<input type="checkbox"/> Limited Liability Company (LLC)	Date of LLC	___/___/___

Number of years company has been owned and managed by present owner: _____

Identify the Principal(s) and/or Officer(s) of the company:

<u>Name(s) of Present Principals/Titles</u>	<u>% of Ownership</u>
_____/_____ _____	_____ _____
_____/_____ _____	_____ _____
_____/_____ _____	_____ _____

Please identify the category under which certification of your business enterprise is minority owned, woman-owned, veteran-owned or owned by a person(s) with a disability. Select one or more of the following categories:

A minority is a person who is a citizen or lawful permanent resident of the United States and who is included in one of the following categories:

<u>Minority Category</u>	<u>Gender</u>	<u>% of Ownership</u>
___ Black American	M / F	_____ %
___ Hispanic American	M / F	_____ %
___ Iberian Peninsula	M / F	_____ %
___ Asian American	M / F	_____ %
___ American Indians	M / F	_____ %
___ Individual w/ a disability	M / F	_____ %
___ Woman (circle below)	M / F	_____ %
___ Veteran (circle below)	M / F	_____ %

White > Black > Hispanic > Iberian Peninsula > Asian > American Indian

“The undersigned swears the forgoing statements are true and correct and including all material information necessary to identify and explain the operations of _____ as well as the ownership thereof.”

Signature: _____

Title: _____

Date: _____

Corporate Seal (where appropriate)

REQUEST FOR PROPOSALSS
Investigative Research

EXHIBIT C (7.1)

SUBCONTRACTOR CERTIFICATION

It is hereby represented by the Subcontractor (undersigned) as an inducement to the Department of Housing to consider the participation as requested herein, that to the best of my knowledge and belief, no information or data contained in the application or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. It is also hereby stated that the undersigned will comply with all program requirements for any approved activity and that the organization and its principals are not suspended or debarred as defined in 24 CFR part 5 Subpart A of the Code of Federal Regulations. The undersigned agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, the Connecticut Department of Environmental Protection, and other references are hereby authorized now, or any time in the future, to give the Department of Housing any and all information in connection with matters referred to in this response.

Certifying Representative

Type Name and Title: _____

Signature: _____

Date: _____