

**CONTRACTOR'S PREQUALIFICATION STATEMENT/APPLICATION (CON-16)**  
**GENERAL INFORMATION AND INSTRUCTIONS**

Revised September 2015

1. **GENERAL REQUIREMENTS** - Contractors must be prequalified by the Department in accordance with the State of Connecticut Department of Transportation Construction Contract Bidding and Award Manual, as revised, in order to be eligible to have their bid proposals reviewed and to be considered for award of a contract, unless otherwise stated in the Departments bid documents.

In order to be considered for prequalification, prospective bidders must complete the attached Contractors Prequalification Statement (CON-16) application and submit it to:

**CONNECTICUT DEPARTMENT OF TRANSPORTATION**  
**CONTRACTS OFFICE - ROOM 2410**  
**2800 BERLIN TURNPIKE, P.O. BOX 317546**  
**NEWINGTON, CONNECTICUT 06131-7546**

- a. THE PAGES IN THIS APPLICATION MAY NOT BE MODIFIED OR SUBSTITUTED.
- b. To be eligible for prequalification, applicants must have been engaged in active business as a construction contractor for a minimum of one year under the name of the firm applying for prequalification, and must provide a current one year, audited or reviewed financial statement (non-consolidated) for that firm. If the financial statement is consolidated with other affiliates/subsidiaries of the applicant/firm, a consolidating balance sheet showing the allocation (breakout) of all the affiliates must be included in the financial statement. The financial portion of the statement may be based upon the contractor's most recently-completed fiscal year for which data is available. The Department reserves the right to require a more recent financial statement at any time, as deemed necessary and in the best interest of the State. For example, if a contractor with a fiscal year end of December 31, 2011 has applied for prequalification in February 2012, the Department may prequalify the contractor based on the 2010 financial statement, but also require the contractor to provide the 2011 financial statement as soon as it becomes available.
- c. **Effective Period of Prequalification** - A Contractor's Prequalification Statement/Application (CON 16), when approved by the Department, will be valid for a period of up to three State Fiscal Years (July 1 – June 30), beginning with the initial approval date by the Department, as long as the Department receives the **Update Certification Form** as required. Failure to comply will result in the contractor's Prequalification Statement being placed in an inactive (on hold) status until the Department receives and approves the Update Certification Form.
- d. In order to help ensure that contractors may become prequalified in time for the bid opening for a given contract, contractors should be certain to return the completed application with all necessary information, signatures and notarizations to the Manager at least thirty (30) calendar days before requesting a bid proposal form for that contract.
- e. **Update Certification Form** - Prequalified contractors shall update their current approved Prequalification Statement/Application (CON 16) on an annual basis by submitting the Update Certification Form including all requested information listed on the Form, due by June 1<sup>st</sup> of each year, excluding the application year. The Certification Form and the required attachments, if applicable, must be submitted to and approved by the Department prior to the contractor being issued a Bid Proposal Form (Dept. approval of a Request for Bid Proposal – Part C). The Update Certification Form is located at the end of this application and is also available on the Department's website under Contractor Resources, Construction Biding and Contracts Page.

- f. For corporations, a current Certificate of Authority (foreign corporation) or current Certificate of Incorporation (Domestic Corporation) whichever is applicable, is required to be on file with the Connecticut Secretary of the State.
- g. Limited Liability Companies (LLCs) must have been legally formed and organized in accordance with Connecticut General Statutes 34-110 to 34-242 and shall not be in default for failure to file its annual report with the Connecticut Secretary of the State.
- h. Documentation from the Connecticut Secretary of the State relative to the status of corporations and LLCs must be provided by the applicant if requested by the Department.
- i. Corporations related to each other through ownership interests or an interlocking directorate or in other significant respects, may not seek prequalification in combination, and may not submit consolidated financial statements in seeking prequalification. The legal independence of a corporation or joint venturer must be reflected in the presentation of information about its finances; e.g., in presenting the assets of an applicant corporation, one may include the value of the stock owned by the applicant in a wholly-owned corporate subsidiary, but not, for instance, the value of equipment owned by the subsidiary corporation. In addition, only organizations which the Department deems to be true construction contractors with respect to a classification of work for which they seek prequalification (i.e., organizations having sufficiently-experienced personnel, sufficient equipment and finances, etc. to perform construction work within that classification) may seek or be granted prequalification to bid for work within that classification. If the Department deems that a substantial portion of the resources of an organization seeking prequalification is devoted to activities other than construction work within the pertinent classification(s), the Department may make what it deems to be an appropriate adjustment of the organization's bidding capacity or of the classification(s) of work for which it is prequalified.
- j. If a subsidiary of a contractor wants to bid as an independent entity, that subsidiary must furnish to the Manager a contractor's prequalification statement based on the discrete finances and experience of that subsidiary. No so-called consolidated financial statements will be accepted for such subsidiaries, or for companies having a common owner.

## **2. REVISIONS TO PREQUALIFICATION STATUS -**

- a. The Department may reduce or revoke the contractor's prequalification status at any time based on the contractor's performance record with regard to quality of work, timely completion, debarment by others, changed financial status, or other pertinent factors.
- b. If, after filing a contractor's prequalification statement, changes occur in the contractor's organization, finances, other resources or experience, which a reasonable person would believe had significantly affected the classifications or amount of work for which the Department ought to prequalify the contractor, the contractor shall promptly give detailed written notice of said changes to the Manager. The Department may then alter the contractor's prequalification in any way which the Manager believes is warranted by said changes, and the Manager will notify the contractor of the Department's decisions regarding those matters.
  - i. A prequalified contractor that desires, in light of such changes, to have the Department change the classifications of work or bidding capacity for which it has been prequalified, may file a new or revised statement, and may then request reconsideration of its prequalification status.
  - ii. So that the Department has time to consider such a request prior to a scheduled bid opening, the Department requires that additional information supporting such a request be submitted to the Department a minimum of twenty (20) days prior to requesting a bid proposal for the subject contract.
  - iii. In any event, the contractor's bidding capacity may be adjusted, as determined appropriate by the Department and in the best interest of the State, whenever the contractor files a revised letter from

a Surety Company, which satisfies the requirements of Section VI.D.5.b. of the Construction Contract Bidding and Award Manual, stating the revised aggregate work capacity for the contractor

3. **CONFIDENTIALITY** – Contractor’s statements and requests for bid proposal forms submitted to the Department may be subject to disclosure pursuant to the Freedom of Information Act. To the extent that a contractor claims otherwise, such a claim must be made at the time of the document’s submittal to the Department, including in accordance with Conn. Gen. Stat. §1-210(b)(5)(A and B). Upon a Freedom of Information request for a contractor’s prequalification statement or bid proposal request, the Department will evaluate whether the records claimed as trade secrets or commercial or financial information (or otherwise claimed as exempt from disclosure) meet the requirements of Conn. Gen. Stat. §1-210(b)(5) (or some other exemption from disclosure) and can be withheld.
4. **DEMOLITION** - Contractors and subcontractors engaged in demolition work must be certified as a Demolition Contractor by the Connecticut Department of Public Safety.

*The Department reserves the right to request additional information deemed necessary to substantiate documentation submitted in the CON-16.*

5. **OTHER BIDDING INFORMATION** - Bidding requirements and conditions are set forth in Section 1.02 "Proposal Requirements and Conditions of the State of Connecticut, Department of Transportation Standard Specifications for Roads, Bridges, and Incidental Construction, as revised and the State of Connecticut Department of Transportation Construction Contract Bidding and Award Manual, as revised.

No bidders that have mutual financial interests, or common ownership, directors, officers or principal shareholders (i.e., shareholders holding at least {5%} of either the common or the preferred shares of the company's stock) may bid for the same Department contract. Such proscribed bidders shall include, but not be limited to, affiliates and subsidiaries of each other. If any non-bidding party has an ownership interest in more than one bidder that is bidding for a given contract, either directly or through the former's ownership interests in another company, no matter how high up removed in a vertical or horizontal chain of ownership that party might be from the bidders, the bids of those bidders shall not be accepted. In addition, with respect to any given Department contract that is advertised for bidding, no bidder owned by, or in the chain of ownership of, a bonding company may bid against a bidder for whom a bond has been or will be provided by that bonding company for the given contract bidding.

Awards will be made only to bidders prequalified to perform the type of work required by the subject contract, and only if they have sufficient bidding capacity remaining after taking into account all outstanding work to be completed by the bidder. Bidders must have sufficient bidding capacity to be eligible for award of that contract.

## **APPLICATION INSTRUCTIONS**

1. **DETAILS OF ORGANIZATION AND EXPERIENCE** - On pages 1,2, 3 and 9 of the CON-16, the applicant must answer all questions and provide all items of information requested pertaining to the organization and experience of the firm.

Work Classifications Requested – The Department will determine the work classifications that the applicant is deemed qualified to bid and potentially receive awards of Department construction contracts.

2. **PREQUALIFICATION WORK CLASSIFICATIONS** - On pages 4 - 8 of the CON-16, the applicant must check off the type(s) of work (self-performed) for which prequalification is requested. Specific project experience related to the work classifications requested on page 4 - 8 must be described in detail on page 9. Vague project descriptions will not be accepted.
3. **REFERENCE LETTERS REQUIREMENT** – Page 10, #12. Applicants must submit, with this application, 3 recent letters of reference using the CTDOT standard form letter (see attached Appendix A) that is part of this prequalification application. **DO NOT ALTER THE FORM LETTER.** Letters must follow the format and instructions listed below and on the letter:

- a. Reference letters must be from construction project owners other than CTDOT. Contractors that have worked solely on CTDOT projects within the time period specified in section c. below are exempt from the reference letter requirement.
  - b. Letters must be dated, completed, and signed within 6 months of the receipt date of the application by DOT.
  - c. Letters must be project specific and based on projects that have been completed within 2 years of the receipt date of the application by DOT. There may be instances where the project is older than 2 years and the applicant is submitting the letter to justify a work classification.
  - d. Letters must indicate and should justify “work classifications” (see pgs. 4 – 8) that the applicant is requesting to be prequalified for.
  - e. Applicants should not submit the same letters already submitted with a prior application.
  - f. If the applicant wants to provide further information regarding contractor performance, responsibility and integrity, please attach this information to the reference letters. The Department reserves the right to request more reference letters directly from project/contract owners, at any time, including but not limited to, prior to award of contract, as deemed necessary and in the best interest of the State.
4. **CONSTRUCTION EQUIPMENT OWNERSHIP** - On page 11 of the CON-16, list construction equipment owned by the applicant; also show equipment age, condition, purchase price, and book value. For purposes of prequalification, the book value is defined as the purchase price minus the total accumulated depreciation. Depreciation must be calculated by those methods permissible by “Generally Accepted Accounting Principles”.
5. **FINANCIAL STATEMENT REQUIREMENT** - The applicant must submit the most recent audited or reviewed financial statement (non-consolidated) prepared by an independent Certified Public Accountant (CPA) and must conform with generally-accepted accounting principles (GAAP). If the financial statement is consolidated with other affiliates/subsidiaries of the applicant/firm, a consolidating balance sheet showing the allocation (breakout) of all the affiliates must be included in the financial statement. The financial statement shall include at minimum, the CPA's opinion statement, balance sheet, profit and loss statement, line(s) of credit information and all related notes.
6. **CERTIFICATION OF CONTRACTOR'S PREQUALIFICATION STATEMENT** - On page 12 of the CON-16, this statement must be properly completed and signed by a duly-authorized representative of the applicant; must bear the Corporate Seal, if applicable, and must be properly notarized.
7. **CERTIFICATE OF AUTHORITY** - On page 13 of the CON-16, this statement must be properly completed and indicate those individuals in your organization who have the authority to sign bonds, legal documents and contracts on behalf of your organization. The individuals given such authority under this document must affix their signatures and indicate their titles, on the Certificate of Authority (page 13). This form may not be altered and cannot be substituted for; must bear the Corporate Seal, if applicable and must be properly notarized.  
PLEASE NOTE: Individuals cannot certify themselves.
8. **BONDING / SURETY COMPANY LETTER REQUIREMENT** – The Letter must be submitted with the application.

The Department will determine the applicant’s maximum bidding capacity based on a letter provided by the applicant’s bonding company, which at a minimum, satisfies the following requirements:

- a. The letter must be from a bonding company that is listed on the current United States Department of Treasury’s listing of certified companies approved to issue bonding for federal construction projects (“U.S. Treasury list”) For a list of certified companies go to: <http://www.fms.treas.gov/c570/index.html>, under Updates, Certified Companies.
- b. The letter must be on the bonding company’s letterhead;
- c. The letter must state the full legal name of the surety company (if not noted on the letterhead), must be an original, must be dated, and must show the original signature;

- d. The letter must state the legal name and address of the applicant;

The letter must state the maximum value of construction work the applicant is capable of undertaking for all projects/work, both bonded and non-bonded (a/k/a “aggregate work capacity” or “maximum bidding capacity”). If only one amount is stated in the letter, that amount will be interpreted to mean the aggregate (total) of both bonded and non-bonded work.

The letter must set forth the contact information for the bonding company representative including the name, phone number and email address for such representative.

The maximum bidding capacity established by such letter cannot exceed the bonding company’s underwriting limitation as set forth on the current U.S. Treasury list.

The applicant will be notified in writing of this determination.

9. **PAINTING REQUIREMENT** - Painting Contractors and subcontractors engaged in surface preparation and coating applications must be certified by the Society for Protective Coatings (SSPC) in accordance with contract provisions, and must submit proof of certification with this application.

**Continue Below For Application**

**STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION  
BUREAU OF FINANCE & ADMINISTRATION  
CONTRACTS OFFICE  
2800 BERLIN TURNPIKE  
P.O. BOX 317546  
NEWINGTON, CT 06131-7546**

**CONTRACTOR'S PREQUALIFICATION STATEMENT/APPLICATION (CON-16) (Rev. 12/2014)**

Submit to the: Department of Transportation, Bureau of Finance & Administration  
Contracts Office, 2800 Berlin Tpke., Box 317546, Newington, CT 06131-7546

**LEGAL NAME OF FIRM** \_\_\_\_\_

**CONTRACTOR'S FEDERAL IDENTIFICATION NUMBER** \_\_\_\_\_

ADDRESS \_\_\_\_\_

\_\_\_\_\_ CORPORATION  
\_\_\_\_\_ COMPANY  
\_\_\_\_\_ LLC

\_\_\_\_\_

Telephone & Area Code \_\_\_\_\_

Fax Number & Area Code \_\_\_\_\_

DATE INCORPORATED \_\_\_\_\_

IN BUSINESS SINCE \_\_\_\_\_

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**CONTACT PERSON REGARDING APPLICATION:**

Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

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**DETAILS OF ORGANIZATION AND EXPERIENCE**

1. How many years of experience in related construction work does your organization have:  
(a) As a general contractor? \_\_\_\_\_ (b) As a subcontractor? \_\_\_\_\_
  
2. Have you, your organization, your parent company\*, your subsidiaries or your affiliates or any officer or partner thereof, ever been barred or suspended from bidding, found non-responsible as a low bidder, had a contract terminated or been denied the award of a contract for any reason by any Federal, State or Municipal entity in any jurisdiction or agreed with any governmental entity not to bid for its contracts for a given period of time? \_\_\_\_NO. If YES, please explain details and grounds of action taken. Include name of agency or municipality and length of suspension or debarment. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
3. Have you, your organization, your parent company\*, your subsidiaries or your affiliates or any officer or partner thereof, ever failed to complete the construction work under any contract awarded to it either as a prime contractor or subcontractor? \_\_\_\_NO. If YES, please attach a detailed explanation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
4. In the past 5 calendar years, have you, your organization, your parent company\*, your subsidiaries or your affiliates or any officer or partner thereof, ever been charged with a criminal violation, been indicted or convicted of a crime by a governmental entity in any jurisdiction? \_\_\_\_NO. If YES, please attach a detailed explanation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
5. In the past 5 calendar years, have you, your organization, your parent company\*, your subsidiaries or your affiliates or any officer or partner thereof, ever had any formal charge or notice of proceeding concerning the possibility of any debarment, suspension, or finding of non-responsibility by a governmental entity in any jurisdiction? \_\_\_\_NO. If YES, please attach a detailed explanation. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
6. List the names, detailed address and titles of your firm's employees, officials and/or spouses (including yourself) who have an ownership and/or financial involvement with your firm. In addition give names and detailed addresses of all others owning 5% or more of the outstanding stock of your firm:\*\* \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
7. List the names, detailed address and titles of the applicant firm's officials and/or spouses (including yourself) who are employees or have at least 5 % ownership and/or financial involvement with any other construction-related entity (including, but not limited to, bonding companies, construction or engineering firms, suppliers, manufacturers or consultants). Include names of other entities, detailed addresses and positions held)\*\* \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
8. Give names and detailed addresses of your parent company\* (if any) and all of the applicant's affiliates and/or subsidiaries and the officers thereof. Please provide organizational chart. \*\* \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
9. Control of firm: Identify by name and title, those individuals in the applicant's firm who are responsible for day-to-day management and policy decision making:
  - A. Financial Decisions: \_\_\_\_\_
  - B. Estimating: \_\_\_\_\_
  - C. Purchases of Major Items or Supplies: \_\_\_\_\_
  - D. Field Operations: \_\_\_\_\_
  - E. Who has signatory authority over bank accounts: \_\_\_\_\_

**PLEASE ATTACH ADDITIONAL SHEETS AS NECESSARY - DNA and N/A ARE NOT ACCEPTABLE**

\* Parent company shall mean not only a party or entity that holds a direct controlling interest in the applicant but any and all parties that are above the applicant in a chain of ownership or control.

\*\* If there are no individual names or companies pertinent to Items 4, 5 and 6, please indicate NONE in the space provided above.



## **CONTRACTOR PREQUALIFICATION WORK CLASSIFICATIONS**

Please check the appropriate work classifications for which your firm is requesting prequalification. In order to be prequalified for each class of work you must provide a detailed description of work self-performed on page 9 of the CON-16. Vague descriptions will not be acceptable.

**Group No. 1 Earthwork: Site Work**

Clearing, grubbing, removal of tree stumps, shrubs, site preparation, mass earth excavation, silt fence, erosion sedimentation control, gabions, erosion control, rock crushing/recycling, screening topsoil and other aggregates.

**Group No. 2 Earthwork: Utility work**

Sewer and water mains, pipe jacking, storm drainage systems, sewer rehabilitation, sewage pumping stations, pressurized lines, riprap and gabions, channel excavation.

**Group No. 3 Concrete Restoration**

Cement Concrete Curb, sidewalks, steps, ramps, low retaining walls under 3-foot clear face, spillways, driveways, monument cases and covers, right-of-way markers, slabs & footings. Barriers, concrete barriers. Cement concrete repair. Concrete structures except bridges: cast-in-place median barrier, footings, prefabricated panels and walls, retaining walls, and ramps, foundations, and concrete slope protection.

**Group No. 4 Specialized Concrete Repair**

Epoxy coatings, epoxy repair, masonry repair, masonry cleaning, special coatings, epoxy injection, gunite repair, and pressure grouting.

**Group No. 5 Paving and Associated Construction**

General Paving; Bituminous and Portland cement concrete paving. Pavement Rehabilitation; chip seal and related work. Placing crushed surfacing materials and gravel, Asphalt paving, placing of hot bituminous pavement and/or replacement. Concrete Paving; placing Portland cement concrete pavement. Placing of crushed materials with asphaltic application. Associated pavement work; Rubblizing, reclamation, rigid base course, flexible base course, bituminous pavement, bituminous pavement patching & repair, bituminous joint & crack sealing, milling, rumble strips, bituminous surface treatments, seal coats, rigid pavement, rigid pavement patching & repair, diamond carbide grinding, spall repair, sawing & sealing concrete or bituminous, roadway joint rehabilitation. Parking lots; construction of roadways, paved trails and parking areas for light traffic.

**Group No. 6 Road Construction and Rehabilitation: Local Roads & Streets and non-freeways**

Construction work to improve serviceability and extend the service life of existing roadways and streets and to enhance safety. Work is usually accomplished within the existing right of way. Work may include minor upgrading of geometric features such as roadway widening, minor horizontal re-alignment to accommodate the approach roadway width. Resurfacing, restoration & rehabilitation work on non-freeways which include mill & resurface, bridge approach work, concrete joint repair, safety upgrades, shoulder widening, shoulder paving or other work along existing alignment within the existing ROW. Examples: Roadway excavation, embankment formation, modification of ground surface by cuts & fills, alignments, grading, profiles, cross-sections, excavating of earth materials and the placement of drainage structures, minor widening reconstruction, pavement overlays, structure excavation, general site development.

**Group No. 7 Road Construction and Rehabilitation: Limited Access Highways, freeways, and major reconstruction of non-freeway state routes.**

Limited access freeways with enclosed drainage, grade separations, urban and freeway-to-freeway interchanges, service roads, retaining walls, noise walls etc. Work proposed on the approximate alignment of an existing route that meets the geometric criteria for a new facility. Major reconstruction of non-freeway state routes involving multiple construction stages, substantial maintenance and protection of traffic for extended durations, horizontal and vertical realignment, and major utility coordination. Work includes projects that provide substantial changes in the general geometric character of a highway, such as widening to provide additional through travel lanes, horizontal or vertical re-alignment, etc. Pavement resurfacing and reclamation projects in rural and suburban areas with grade separations, interchanges, ramp acceleration & deceleration lanes. The work may include drainage improvements, revised horizontal and vertical alignments, utility conflicts, ROW acquisition and complex staging up to and including full roadway construction/reconstruction on new alignment. Rehabilitation of existing main lanes, structures, construction of HOV lanes, new interchanges, new rest areas and noise walls, and installation, rehabilitation, etc. of signs, pavement markings, striping, etc. on freeways. Installation of specialty walls/slopes: counterfort walls, mechanically stabilized earth, stabilized slopes, soil nailing. Drilling & Blasting, Anchors, drilling, Permanent Tie-Back Anchor, installation of permanent rock and soil anchors, soldier piles and timber lagging. Soldier pile tie-back anchor wall construction. Pile-driving, driving concrete, steel, and timber piles. Cofferdam & pumping. Tunnels and construction of underground conduit without the continuous disturbance of ground surface.

**Group No. 8 Minor Bridges**

Minor Bridges are bridges with spans lengths not exceeding 50 feet (center to center of cap) and total length not exceeding 200 feet. A Minor Bridge shall not contain any type of structure listed under Intermediate Bridges or Major Bridges.

*Construction and Rehabilitation of Minor Highway, Railroad, and pedestrian bridges and work incidental thereto.* Rebar installation, concrete placement, erection of steel / precast concrete / timber members, bridge removal / demolition, minor deck or substructure repairs, bearing devices, expansion devices, shoring & sheeting, pile driving, bridge rail.

Examples: concrete box culverts, precast concrete beam bridges, single span steel beam bridges, pedestrian bridges, timber bridges.

**Group No. 9 Intermediate Bridges**

Intermediate bridges are bridges with span lengths exceeding 50 feet (center to center of cap) or those including continuous spans, or curved steel girders, or on a limited access highway and contain none of the types of structures listed under Major Bridges.

*Construction and Rehabilitation of Intermediate Highway, Railroad and pedestrian bridges and work incidental thereto.* Rebar installation, concrete placement, erection of steel / precast concrete / timber members, bridge removal / demolition, deck or substructure repairs, bearing devices, expansion devices, shoring & sheeting, pile driving, bridge rail.

Examples described above.

**Group No. 10 Major Bridges**

Bridges which include bascule, lift, or swing spans

Bridges which include drilled shafts larger than 30” in Diameter

Bridges with multi-level roadways

Bridges of concrete segmental construction

Bridges which include steel truss construction

Bridges which include cable stayed construction

Bridges of conventional construction which are over a water opening of 500 feet or more

Cast-in-place post-tensioned superstructures.

Bridges which include long spans over 200 feet

Spliced concrete girders and Steel box girders.

*Construction and Rehabilitation of Major Highway, Railroad and pedestrian bridges and work incidental thereto.* Rebar installation, concrete placement, erection of steel / precast concrete / timber members, bridge removal / demolition, deck or substructure repairs, bearing devices, expansion devices, shoring & sheeting, pile driving, bridge rail.

Examples described above.

**Group No. 11 Bridge Painting**

Painting, blast cleaning & coatings. SSPC certificates required.

Priming, surface preparation, application of finish coats, containment and disposal.

**Group No. 12 Marine repairs, Marine Construction or Salvaging**

Riprap and Rock Walls: mortar, rubble, and masonry walls, rock retaining walls, and placing of large broken stone on earth surfaces for protection against the action of water. Drainage channels, erosion protection, drainage spillways & ancillary structures, docks, breakwaters, harbor structures & roadway systems, underwater construction, underwater utilities. Pile driving or extraction; construction, repair and demolition of piers and wharfs; dredging; bulkheads and jetties; and work incidental thereto. Construction & repair of timber, concrete and steel bulkheads, fender systems, and dolphins.

**Group No. 13 Traffic Control & Illumination/Electrical**

Installation, removal & modification of traffic signals or traffic signals related equipment, including other construction incidental thereto. Installation, removal & modification of highway illumination, navigational lighting, airfield lighting, airfield guidance, obstruction lighting, and movable bridge systems and equipment, including light standards, foundations, conduits, duct banks, handholes, junction boxes, cables, power distribution and control cabinets w/foundations, wiring connections and miscellaneous electrical apparatus associated with each system.

**Group No. 14 Signing Delineation**

Permanent Traffic Signs & Structures, installation of roadway & highway delineators, guide posts. Roadway Signing, traffic signal support structures. Traffic Accommodations & Control: Impact attenuators, installation of approved protective systems filled with sand, water, foam, or other substances which prevent errant vehicles from impacting roadside hazards.

**Group No. 15 Intelligent Transportation Systems (ITS)**

Traffic monitoring stations (Installation of piezo sensors, loop detectors, conduits, conductors, cable, handholes, junction boxes, service and control cabinets, foundations, power and telephone /communications), Camera monitoring systems (CCTV), Traffic Flow monitors , Highway Advisory Radios, Systems (HAR), Dynamic Message Signs (DMS), Integrated Communication Systems, Environmental sensing stations, Variable message signs. Design and installation of fiber optic based communication systems.

**Group No. 16 Pavement Markings**

Thermoplastic markings, stripes, bars, letters, symbols, etc., traffic buttons, lane markers, guide posts. Pavement markings; includes delineators, traffic stripe painting and painted and/or thermoplastic pavement markings. Pavement Markings for highways, streets, airports and parking lots.

**Group No. 17 Incidental Construction: Fencing**

Standard highway fencing (wire, chain link, etc.), noise barrier fences.

**Group No. 18 Incidental Construction: Guide Rail**

Construction of a rail secured to uprights and erected as a barrier between, or beside lanes of a highway. Standard guide rail, bridge rail, impact attenuator.

**Group No. 19 Incidental Construction: Bridge Joints and Membranes**

Construction and rehabilitation of bridge joints and membrane systems.

**Group No. 20 Incidental Construction: Temporary traffic control**

Temporary precast barrier, traffic drums, cones and delineators, construction signs.

**Group No. 21 Railroad Construction**

Construction of railroad sub grade, placing of ballast, ties and track, at grade crossings and other items related to railroad work.

**Group No. 22 Railroad Construction Electrical**

Construction of overhead Catenaries, substations, switches, and signals:

**Group No. 23 Landscaping/Environmental Improvements**

Roadside: Landscaping roadside, including seeding, hydro seeding, mulching, sodding, and ground cover planting, topsoil application, and other construction related thereto.

Site Landscaping: topsoil application, including planting of trees, shrubs and all ground covers on various types of sites, selective tree removal, trimming, seeding, insecticide application, weed control, liming, soil binder & soil supplements, irrigation. Wetland mitigation, creation, plantings and removal of invasive species.

**Group No. 24 Environmental**

Environmental/Hazardous Waste Removal, Stockpile, Sewage pumping stations.

The containment, cleanup, removal and disposal of debris, hazardous, controlled/toxic materials, including water.

**Group No. 25A Vertical Construction**

The undertaking of general contracts for the construction of buildings (i.e. new construction, renovation, rehabilitation, alteration, addition, etc.). The work includes a variety of construction practices, requires some coordination of subcontractors and utilities, requires basic equipment, and tends to have short, one season (spring - fall) construction durations. Includes those designs that are conventional in character, require minimum design based on pre-engineered components/systems, and that pose minimum effort by the design professional. Examples include basic building structures without interior finishes, small renovations, minor ADA compliance upgrades, salt sheds, small maintenance facilities, small train station renovations, warehouses, ceiling replacement, pre-engineered components, recreation facilities, etc.

*Note: If you are prequalified for General Building Construction under Group 25B and/or Group 25C, you are automatically prequalified for Group 25A.*

**Group No. 25B Vertical Construction**

The undertaking of general contracts for the construction of buildings (i.e. new construction, renovation, rehabilitation, alteration, addition, etc.). The contract must include a variety of construction practices, major coordination of subcontractors and utilities. May require specialized equipment and / or trades, and may have multiple year construction durations. Includes most of the structures that normally have occupied spaces. These all require normal mechanical/electrical systems for today's standards of operation for quality space, security and environmental comfort. Examples include larger Maintenance facilities, train station projects, parking garages, major renovations, multiple site work / renovation coordination, office buildings, general classroom and administrative offices, college buildings, auditoriums and maintenance buildings, bus maintenance and storage facilities.

*Note: If you are prequalified for General Building Construction under Group 25B, you are automatically prequalified for Group 25A.*

**Group No. 25C Vertical Construction**

The undertaking of general contracts for the construction of buildings (i.e. new construction, renovation, rehabilitation, alteration, addition, etc.). The contract must include a variety of construction practices, major coordination of subcontractors, tenants, operations, and public in occupied areas, requires integrated scientific or complex mechanical/electrical equipment in order for them to function, and are typically multiple year construction durations. Examples include hospitals, chemistry buildings, historic preservation to a landmark structure, and/or any other structure that is truly one of a kind within the State's inventory. Other examples include threshold buildings, airport buildings / terminals, marine structures, train maintenance buildings and train stations, parking garages.

*Note: If you are prequalified for General Building Construction under Group 25C, you are automatically prequalified for Group 25A and Group 25B. There may be specific projects within this classification that require a major contractor registration from the Department of Consumer Protection.*

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11. **WORK EXPERIENCE** - List the principal projects your organization has currently underway and completed in the past three years (or more if necessary) to justify the work classifications you are requesting.

- (a) Attach detailed descriptions of the type of work self-performed by your firm for those work classifications you are requesting to be prequalified for. Work classifications that are requested and not clearly justified in the descriptions, will not be approved. **Entering names of projects or vague descriptions of work are not acceptable.** NOTE: Pictures of projects completed by your firm can be very helpful in determining what classifications you are qualified for. List the projects in chronological order beginning with the most recent project.
- (b) Please provide the list of project history in the following format below. You may attach your own document/form using this exact format. **DO NOT ALTER THE FORMAT**
- (c) Attach detailed explanations of any of the following actions imposed on any projects.
- Penalties imposed on any projects
  - Claims filed on any projects
  - Stop Notices imposed on any projects
  - Necessary time extensions filed

START DATE	COMPLETE DATE	PROJECT / CONTRACT DESCRIPTION  VAGUE DESCRIPTIONS ARE NOT ACCEPTABLE – USE ATTACHMENTS AS NECESSARY	SUB OR PRIME	CONTRACT AMOUNT	LIST DOT ASSOCIATED GROUP #(s) applicable to proj. See pg 4 - 8	OWNER'S PROJECT NUMBER	LOCATION OF ACTUAL WORK PERFORMED TOWN, STATE	PROJECT CONTACT INFORMATION FULL NAME, ADDRESS AND PHONE # OF OWNER	OWNER'S EMAIL ADDRESS

12. **REFERENCE LETTERS REQUIREMENT** – Applicants must submit, with this application, 3 recent letters of reference using the CTDOT standard form letter (see attached Appendix A) that is part of this prequalification application. **DO NOT ALTER THE FORM LETTER.** Letters must follow the format and instructions listed below and on the letter:
- a. Reference letters must be from construction project owners other than CTDOT. Contractors that have worked solely on CTDOT projects within the time period specified in section c. below are exempt from the reference letter requirement.
  - b. Letters must be dated, completed, and signed within 6 months of the receipt date of the application by DOT.
  - c. Letters must be project specific and based on projects that have been completed within 2 years of the receipt date of the application by DOT. There may be instances where the project is older than 2 years and the applicant is submitting the letter to justify a work classification.
  - d. Letters must indicate and justify “work classifications” (see pgs. 4 – 8) that the applicant is requesting to be prequalified for.
  - e. Applicants should not submit the same letters already submitted with a prior application.
  - f. If the applicant wants to provide further information regarding contractor performance, responsibility and integrity, please attach this information to the reference letters.

The Department reserves the right to request more reference letters directly from project/contract owners, at any time, including but not limited to, prior to award of contract, as deemed necessary and in the best interest of the State.

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**CERTIFICATION OF CONTRACTOR'S PREQUALIFICATION STATEMENT**

This Contractors Statement must be submitted in the name of a single firm.  
It cannot be combined with other firms.

I do hereby certify and affirm that all of the statements contained in this application, including the declaration of ownership and organization, the Financial Statement and all supporting schedules and records of experience have been examined by me and to the best of my knowledge and belief are true and accurate. And I hereby authorize the banks, individuals, firms and corporations listed in this application and financial statement to provide to the Connecticut Department of Transportation any and all information requested in connection with this application.

NAME: \_\_\_\_\_

SIGNATURE : \_\_\_\_\_

TITLE : \_\_\_\_\_

(Corporate  
Seal) (if  
applicable)

Sworn to and subscribed before me by: \_\_\_\_\_

Who is personally known to me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
Year

\_\_\_\_\_  
Notary Public/ Commissioner of the Superior Court

(Notary seal)

My Commission Expires \_\_\_\_\_

**THIS FORM CANNOT BE SUBSTITUTED**

**CONTRACTORS PREQUALIFICATION STATEMENT**

**CERTIFICATE OF AUTHORITY**

I, \_\_\_\_\_, certify that I am  
(the) (a) \_\_\_\_\_ of \_\_\_\_\_, a firm  
organized under the laws of \_\_\_\_\_ (State), and do hereby certify that the following individuals or  
any one of them possess the title(s) indicated with this firm,

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_

and has (have) the authority and is (are) empowered to execute and deliver in the name and on behalf of this firm, this firm's contracts, bonds and other documents required by the Connecticut Department of Transportation.

In witness whereof, the undersigned has affixed his/her signature this

\_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
Year

\_\_\_\_\_  
Name (Title)

\_\_\_\_\_  
(Corporate Seal)  
(if applicable)

Sworn to and subscribed before me by : \_\_\_\_\_

who is personally known to me this \_\_\_\_\_, day of \_\_\_\_\_, \_\_\_\_\_  
Year

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

\_\_\_\_\_  
My Commission Expires

**THIS FORM CANNOT BE SUBSTITUTED - INDIVIDUALS CANNOT CERTIFY THEMSELVES**

## APPENDIX A (CON 16)



**STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION  
CONTRACTS UNIT  
2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546**



**CTDOT PREQUALIFICATION REFERENCE LETTER  
For Non-CTDOT Construction Projects Only  
(Do Not Alter This Form)**

The Contractor referenced below has applied for CTDOT prequalification. Prequalification is required for any construction contractor wishing to bid on and receive the award (as a prime contractor only) of any Connecticut DOT administered construction contract. The following "applicant" information listed below shall be completed by the contractor applying for DOT prequalification. The applicant shall then solicit and submit at least 3 reference letters in accordance with the Contractor Prequalification Application Instructions.

### **CTDOT Prequalification Applicant Information**

Contractor/Applicant Legal Name:

Contractor/Applicant Address/City/State:

Indicate Prime or Subcontractor on Subject Project:

The following "project" information listed below, including project work classifications, numeric rating, comments, and signature section, shall be completed by the owner of the project. When completed in full, the letter shall then be returned to the contractor applying for DOT prequalification (the applicant).

### **Construction Project and Owner (Non-CTDOT) Information**

Date of this Reference Letter:

Legal Name of Project Owner:

Name of Owner Contact Person:

Address, City, State of Project Owner:

Project#:

Description of Project:

Contract Start and End Date:

Total Contract Value between Owner and Contractor/Applicant:

Location of Project (Town and State):

**Please place a checkmark on the primary work classification(s) listed below that best describe the work self-performed by the contractor on the subject project.**

**Group No. 1 Earthwork: Site Work**

Clearing, grubbing, removal of tree stumps, shrubs, site preparation, mass earth excavation, silt fence, erosion / Sedimentation control, gabions, erosion control, rock crushing/recycling, screening topsoil and other aggregates.

**Group No. 2 Earthwork: Utility work**

Sewer and water mains, pipe jacking, storm drainage systems, sewer rehabilitation, sewage pumping stations, pressurized lines, riprap and gabions, channel excavation.

### **Group No. 3 Concrete Restoration**

Cement Concrete Curb, sidewalks, steps, ramps, low retaining walls under 3-foot clear face, spillways, driveways, monument cases and covers, right-of-way markers, slabs & footings. Barriers, concrete barriers. Cement concrete repair. Concrete structures except bridges: cast-in-place median barrier, footings, pre-fabricated panels and walls, retaining walls, and ramps, foundations, and concrete slope protection.

### **Group No. 4 Specialized Concrete Repair**

Epoxy coatings, epoxy repair, masonry repair, masonry cleaning, special coatings, epoxy injection, gunite repair, and pressure grouting.

### **Group No. 5 Paving and Associated Construction**

General Paving; Bituminous and Portland cement concrete paving. Pavement Rehabilitation; chip seal and related work. Placing crushed surfacing materials and gravel, Asphalt paving, placing of hot bituminous pavement and/or replacement. Concrete paving; placing Portland cement concrete pavement. Placing of crushed materials with asphaltic application. Associated pavement work; Rubblizing, reclamation, rigid base course, flexible base course, bituminous pavement, bituminous pavement patching & repair, bituminous joint & crack sealing, milling, rumble strips, bituminous surface treatments, seal coats, rigid pavement, rigid pavement patching & repair, diamond carbide grinding, spall repair, sawing & sealing concrete or bituminous, roadway joint rehabilitation. Parking lots; construction of roadways, paved trails and parking areas for light traffic.

### **Group No. 6 Road Construction and Rehabilitation: Local Roads & Streets and non-freeways**

Construction work to improve serviceability and extend the service life of existing roadways and streets and to enhance safety. Work is usually accomplished within the existing right of way. Work may include minor upgrading of geometric features such as roadway widening, minor horizontal re-alignment to accommodate the approach roadway width. Resurfacing, restoration & rehabilitation work on non-freeways which include mill & resurface, bridge approach work, concrete joint repair, safety upgrades, shoulder widening, shoulder paving or other work along existing alignment within the existing ROW. Examples: Roadway excavation, embankment formation, modification of ground surface by cuts & fills, alignments, grading, profiles, cross-sections, excavating of earth materials and the placement of drainage structures, minor widening reconstruction, pavement overlays, structure excavation, general site development.

### **Group No. 7 Road Construction and Rehabilitation: Limited Access Highways, freeways, and major reconstruction of non-freeway state routes.**

Limited access freeways with enclosed drainage, grade separations, urban and freeway-to-freeway interchanges, service roads, retaining walls, noise walls etc. Work proposed on the approximate alignment of an existing route that meets the geometric criteria for a new facility. Major reconstruction of non-freeway state routes involving multiple construction stages, substantial maintenance and protection of traffic for extended durations, horizontal and vertical realignment, and major utility coordination. Work includes projects that provide substantial changes in the general geometric character of a highway, such as widening to provide additional through travel lanes, horizontal or vertical re-alignment, etc. Pavement resurfacing and reclamation projects in rural and suburban areas with grade separations, interchanges, ramp acceleration & deceleration lanes. The work may include drainage improvements, revised horizontal and vertical alignments, utility conflicts, ROW acquisition and complex staging up to and including full roadway construction/reconstruction on new alignment. Rehabilitation of existing main lanes, structures, construction of HOV lanes, new interchanges, new rest areas and noise walls, and installation, rehabilitation, etc. of signs, pavement markings, striping, etc. on freeways. Installation of specialty walls/slopes: counterfort walls, mechanically stabilized earth, stabilized slopes, soil nailing. Drilling & Blasting, Anchors, drilling, Permanent Tie-Back Anchor, installation of permanent rock and soil anchors, soldier piles and timber lagging. Soldier pile tie-back anchor wall construction. Pile-driving, driving concrete, steel, and timber piles. Cofferdam & pumping. Tunnels and construction of underground conduit without the continuous disturbance of ground surface.

**Group No. 8 Minor Bridges - Check**  **New/Replacement Construction or**  **Rehabilitation**

Minor Bridges are bridges with spans lengths not exceeding 50 feet (center to center of cap) and total length not exceeding 200 feet. A Minor Bridge shall not contain any type of structure listed under Intermediate Bridges or Major Bridges. Construction and Rehabilitation of Minor Highway, Railroad, and pedestrian bridges and work incidental thereto. Rebar installation, concrete placement, erection of steel / precast concrete / timber members, bridge removal / demolition, minor deck or substructure repairs, bearing devices, expansion devices, shoring & sheeting, pile driving, bridge rail. Examples: concrete box culverts, precast concrete beam bridges, single span steel beam bridges, pedestrian bridges, timber bridges.

**Group No. 9 Intermediate Bridges - Check**  **New/Replacement Construction or**  **Rehabilitation**

Intermediate bridges are bridges with span lengths exceeding 50 feet (center to center of cap) or those including continuous spans, or curved steel girders, or on a limited access highway and contain none of the types of structures listed under Major Bridges. Construction and Rehabilitation of Intermediate Highway, Railroad and pedestrian bridges and work incidental thereto. Rebar installation, concrete placement, erection of steel / precast concrete / timber members, bridge removal / demolition, deck or substructure repairs, bearing devices, expansion devices, shoring & sheeting, pile driving, bridge rail. Examples described above.

**Group No. 10 Major Bridges – Check**  **New/Replacement Construction or**  **Rehabilitation**

Bridges which include, but not limited to the following; bascule, lift, or swing spans, drilled shafts larger than 30” in diameter, multi-level roadways, concrete segmental construction, steel truss construction, cable stayed construction, bridges of conventional construction which are over a water opening of 500 feet or more, cast-in-place post-tensioned superstructures, bridges which include long spans over 200 feet, spliced concrete girders, steel box girders.

*Construction and Rehabilitation of Major Highway, Railroad and pedestrian bridges and work incidental thereto.* Rebar installation, concrete placement, erection of steel / precast concrete / timber members, bridge removal / demolition, deck or substructure repairs, bearing devices, expansion devices, shoring & sheeting, pile driving, bridge rail. Examples described above.

**Group No. 11 Bridge Painting**

Painting, blast cleaning & coatings. SSPC certificates required. Priming, surface preparation, application of finish coats, containment and disposal.

**Group No. 12 Marine repairs, Marine Construction or Salvaging**

Riprap and Rock Walls: mortar, rubble, and masonry walls, rock retaining walls, and placing of large broken stone on earth surfaces for protection against the action of water. Drainage channels, erosion protection, drainage spillways & ancillary structures, docks, breakwaters, harbor structures & roadway systems, underwater construction, underwater utilities. Pile driving or extraction; construction, repair and demolition of piers and wharfs; dredging; bulkheads and jetties; and work incidental thereto. Construction & repair of timber, concrete and steel bulkheads, fender systems, and dolphins.

**Group No. 13 Traffic Control & Illumination/Electrical**

Installation, removal & modification of traffic signals or traffic signals related equipment, including other construction incidental thereto. Installation, removal & modification of highway illumination, navigational lighting, airfield lighting, airfield guidance, obstruction lighting, and movable bridge systems and equipment, including light standards, foundations, conduits, duct banks, handholes, junction boxes, cables, power distribution and control cabinets w/foundations, wiring connections and miscellaneous electrical apparatus associated with each system.

**Group No. 14 Signing Delineation**

Permanent Traffic Signs & Structures, installation of roadway & highway delineators, guide posts. Roadway Signing, traffic signal support structures. Traffic Accommodations & Control: Impact attenuators, installation of approved protective systems filled with sand, water, foam, or other substances which prevent errant vehicles from impacting roadside hazards.

**Group No. 15 Intelligent Transportation Systems (ITS)**

Traffic monitoring stations (Installation of piezo sensors, loop detectors, conduits, conductors, cable, handholes, junction boxes, service and control cabinets, foundations, power and telephone /communications), Camera monitoring systems (CCTV), Traffic Flow monitors, Highway Advisory Radios, Systems (HAR), Dynamic Message Signs (DMS), Integrated Communication Systems, Environmental sensing stations, Variable message signs. Design and installation of fiber optic based communication systems.

**Group No. 16 Pavement Markings**

Thermoplastic markings, stripes, bars, letters, symbols, etc., traffic buttons, lane markers, guide posts. Pavement markings; includes delineators, traffic stripe painting and painted and/or thermoplastic pavement markings. Pavement Markings for highways, streets, airports and parking lots.

**Group No. 17 Incidental Construction: Fencing**

Standard highway fencing (wire, chain link, etc.), noise barrier fences.

**Group No. 18 Incidental Construction: Guide Rail**

Construction of a rail secured to uprights and erected as a barrier between, or beside lanes of a highway. Standard guide rail, bridge rail, impact attenuator.

**Group No. 19 Incidental Construction: Bridge Joints and Membranes**

Construction and rehabilitation of bridge joints and membrane systems.

**Group No. 20 Incidental Construction: Temporary traffic control**

Temporary precast barrier, traffic drums, cones and delineators, construction signs.

**Group No. 21 Railroad Construction**

Construction of railroad sub grade, placing of ballast, ties and track, at grade crossings and other items related to railroad work.

**Group No. 22 Railroad Construction Electrical**

Construction of overhead Catenaries, substations, switches, and signals.

**Group No. 23 Landscaping/Environmental Improvements**

Roadside: Landscaping roadside, including seeding, hydro seeding, mulching, sodding, and ground cover planting, topsoil application, and other construction related thereto. Site Landscaping: topsoil application, including planting of trees, shrubs and all ground covers on various types of sites, selective tree removal, trimming, seeding, insecticide application, weed control, liming, soil binder & soil supplements, irrigation. Wetland mitigation, creation, plantings and removal of invasive species.

**Group No. 24 Environmental**

Environmental/Hazardous Waste Removal, Stockpile, Sewage pumping stations. The containment, cleanup, removal and disposal of debris, hazardous, controlled/toxic materials, including water.

**Group No. 25A Vertical Construction**

The undertaking of general contracts for the construction of buildings (i.e. new construction, renovation, rehabilitation, alteration, addition, etc.). The work includes a variety of construction practices, requires some

coordination of subcontractors and utilities, requires basic equipment, and tends to have short, one season (spring - fall) construction durations. Includes those designs that are conventional in character, require minimum design based on pre-engineered components/systems, and that pose minimum effort by the design professional. Examples include basic building structures without interior finishes, small renovations, minor ADA compliance upgrades, salt sheds, small maintenance facilities, small train station renovations, warehouses, ceiling replacement, pre-engineered components, recreation facilities, etc. Note: If you are prequalified for General Building Construction under Group 25B and/or Group 25C, you are prequalified for Group 25A.

**Group No. 25B Vertical Construction**

The undertaking of general contracts for the construction of buildings (i.e. new construction, renovation, rehabilitation, alteration, addition, etc.). The contract must include a variety of construction practices, major coordination of subcontractors and utilities. May require specialized equipment and / or trades, and may have multiple year construction durations. Includes most of the structures that normally have occupied spaces. These all require normal mechanical/electrical systems for today’s standards of operation for quality space, security and environmental comfort. Examples include larger Maintenance facilities, train station projects, parking garages, major renovations, multiple site work / renovation coordination, office buildings, general classroom and administrative offices, college buildings, auditoriums and maintenance buildings, bus maintenance and storage facilities. Note: If you are prequalified for General Building Construction under Group 25B, you are automatically prequalified for Group 25A.

**Group No. 25C Vertical Construction**

The undertaking of general contracts for the construction of buildings (i.e. new construction, renovation, rehabilitation, alteration, addition, etc.). The contract must include a variety of construction practices, major coordination of subcontractors, tenants, operations, and public in occupied areas, requires integrated scientific or complex mechanical/electrical equipment in order for them to function, and are typically multiple year construction durations. Examples include hospitals, chemistry buildings, historic preservation to a landmark structure, and/or any other structure that is truly one of a kind within the State’s inventory. Other examples include threshold buildings, airport buildings / terminals, marine structures, train maintenance buildings and train stations, parking garages. Note: If you are prequalified for General Building Construction under Group 25C, you are automatically prequalified for Group 25A and Group 25B. There may be specific projects within this classification that require a major contractor registration from the Department of Consumer Protection.

**Please rate the subject project by using the following numeric scale. Place a checkmark in the appropriate box for each category number.**

**(NA) Not Applicable, (1) Excellent, (2) Good, (3) Fair, (4) Poor**

**A Quality of work**

1. Quality of Prime/Sub Contractor’s work:

NA	1	2	3	4

**B Performance of Work:**

- 1. Adherence to Contract Specifications & Plans
- 2. Compliance with Limits of Operations
- 3. Timely response to Field Directives
- 4. Compliance with Maintenance & Protection of Traffic


- C 1. Adequate Equipment to Perform Work
- 2. Timely Ordering of Material
- 3. Timeliness in Addressing Punch List Items / Unacceptable Work
- 4. Adequate Staffing of Job
- 5. Timely Notification of Possible Delays
- 6. Timely Submission of Shop Drawings


D. Implementation of Federal, State and Local Policies, Procedures and Regulations:

- 1. Compliance with Environmental Requirements
- 2. Prompt Payment to Subcontractors/Suppliers
- 3. Compliance with Labor Standards
- 4. Compliance with AA/EEO Requirements
- 5. Compliance with Training Requirement


E Procedural / Administrative:

- 1. Quality of Supervisory Personnel
- 2. Relationship with Subcontractors
- 3. Cooperation with Other Contractors
- 4. Quality of Housekeeping, Job Cleanliness
- 5. Cooperation with Field Engineer, Authority Personnel, Consultant
- 6. Attendance at Job Meetings
- 7. Timely Submission of Payrolls/AA Reports etc.
- 8. Knowledge of Department Standards
- 9. Knowledge of Work Performed


Remarks and/or comments regarding the above:


Thank you for your help in providing us with this information. CTDOT will reciprocate at any time you need similar information about a prequalified contractor that has performed work for this Department.

Information submitted by: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date Signed: \_\_\_\_\_

Telephone: \_\_\_\_\_

Email Address: \_\_\_\_\_



## CONTRACTOR'S PREQUALIFICATION STATEMENT/APPLICATION (CON 16)

### UPDATE CERTIFICATION FORM

**Due June 1st (annually, excluding application year)**

**Instructions and Requirements:** A Contractor's Prequalification Statement/Application (CON 16), when approved by the Department, will be valid for a period of up to three State Fiscal Years (July 1 – June 30), beginning with the initial approval date by the Department, as long as the Department receives this Update Certification Form as required. Failure to comply will result in the contractor's Prequalification Statement being placed in an inactive (on hold) status until the Department receives and approves this Certification.

Prequalified contractors shall update their current approved Prequalification Statement/Application on an annual basis by submitting this Certification Form including all requested information listed below, due by June 1<sup>st</sup> of each year, excluding the application year. This Certification Form and the required attachments listed below, if applicable, must be submitted to, and approved by the Department prior to the contractor being issued a Bid Proposal Form (Dept. approval of a Request for Bid Proposal – Part C).

Contractors that intend to renew/continue their prequalification status must submit (re-apply) a new Contractor's Prequalification Statement/Application, due to the Department at least 30 days prior to the Firm's expiration date. The "renewal" period will be valid for the next three State Fiscal Years beginning on July 1, if the Firm's application is approved by the Department prior to, or on July 1, or beginning on the approval date by the Department, if the approval date is after July 1.

#### **Certification Section**

Please answer the questions and provide the following information listed below. Email this signed form including attachments, as a single pdf document, to [dotcontracts@ct.gov](mailto:dotcontracts@ct.gov).

**PRINT LEGAL NAME OF FIRM:** \_\_\_\_\_

1. The Firm's audited or reviewed Financial Statement (annual Non-consolidated) **must be submitted annually upon receipt from the firm's CPA.** Regular mail or email is acceptable.
2. Are there any revisions to your Firm's aggregate bonding capacity and/or bonding letter?  Yes  No If yes, please submit a revised letter from your surety company.
3. Are there any revisions to page 1 of the Firm's current application?  Yes  No If yes, please submit a complete revised page 1.
4. Are there any revisions to page 2, questions 2 – 9, of the Firm's current application?  Yes  No If yes, please submit a complete revised page 2 and any applicable attachments.
5. Are there any revisions to page 3, principal members, of the Firm's current application?  Yes  No If yes, please submit a complete revised page 3 and any applicable attachments.

6. Work Classifications (pages 4 – 8) – Is your Firm requesting approval for new work classification(s)?  
 Yes  No If yes, please submit revised pages 4 – 9, including #11, describing the work experience that justifies the Firm’s request.
7. **IF NO REVISIONS/CHANGES ARE NECESSARY**,  please check this box, sign and date this certification, and submit this form as a pdf document to the Contracts Unit’s central email address at [dotcontracts@ct.gov](mailto:dotcontracts@ct.gov). Make sure you have also submitted your Financial Statement as required in #1 above.

This Contractor’s Statement must be submitted in the name of a single firm.  
 It cannot be combined with other firms.

I do hereby certify and affirm that all of the information contained in this statement, including all attachments hereto, revising our current Prequalification Statement/Application (CON 16), including the declaration of ownership and organization, the Financial Statement and all supporting schedules and records of experience have been examined by me and to the best of my knowledge and belief are true and accurate. And I hereby authorize the banks, individuals, firms and corporations listed in this application and financial statement to provide to the Connecticut Department of Transportation any and all information requested in connection with this application.

NAME : \_\_\_\_\_

SIGNATURE : \_\_\_\_\_

TITLE : \_\_\_\_\_

Sworn and subscribed to before me on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
Year

\_\_\_\_\_  
 Name of Notary Public/ Commissioner of the Superior Court

(Notary seal)

My Commission Expires \_\_\_\_\_

CTDOT Use Only

Date approved by DOT: \_\_\_\_\_

Staff Initials: \_\_\_\_\_