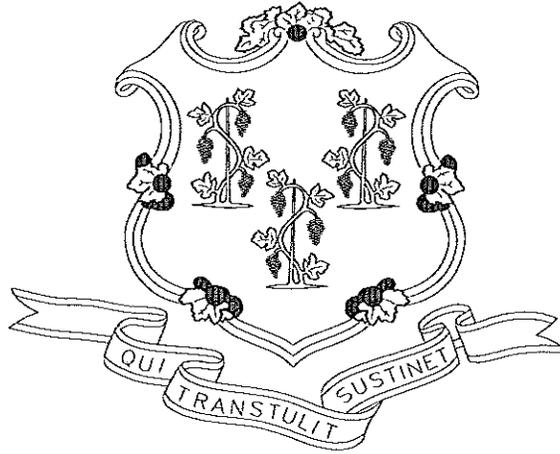


AGENCY ADMINISTERED PROJECTS PROCEDURE MANUAL



Prepared by

STATE OF CONNECTICUT DEPARTMENT OF PUBLIC WORKS

Approved by: Raeanne V. Curtis Date: 05/05/2010
Raeanne V. Curtis
Commissioner



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1.0

General Requirements



1.0 General Requirements

1.1 Overview

1.1.1 Purpose

In accordance with the requirements of the Connecticut General Statutes (C.G.S. § 4b-52) all designated Client Agencies must formally request and receive approval from the Commissioner of Public Works to self administer a project based upon the following statutory limitations.

Client Agency Project Administration Statutes	
1.1.1.1	<p>Constituent Unit of the State System of Higher Education Requires the approval of the Commissioner of Public Works for repairs, alterations or additions involving expense to the State of Two Million Dollars (\$2,000,000) or less in accordance with C.G.S. § Sec. 4b-52.</p> <p>Exception: A Constituent Unit of the State System of Higher Education does not require the approval of the Commissioner of Public Works for the repairs, alterations or additions involving expense to the State of One Hundred Thousand Dollars (\$100,000) or less. Such repairs, alterations or additions may be made to any State building or premises under the supervision of a constituent unit of the State System of Higher Education. Under the terms of section 4b-11, any contract for any such construction, repairs or alteration may be entered into by a Constituent Unit of the State System of Higher Education.</p>
1.1.1.2	<p>All Other Client Agencies: Requires the approval of the Commissioner of Public of Public Works for the repairs, alterations or additions involving expense to the State of Five Hundred Thousand Dollars (\$500,000) or less.</p> <p>Exception: The Department of Environmental Protection does not require the approval of the Commissioner of Public of Public Works to make or contract for the making of any alteration, repair or addition to such other real asset under its control and management involving an expenditure of more than (\$500,000) Five Hundred Thousand Dollars but not more than (\$1,000,000) One Million Dollars in accordance with C.G.S. § Sec. 22a-6.</p> <p>Exception: The Judicial Department does not require the approval of the Commissioner of Public Works for the repairs, alterations or additions involving expense to the State of One Hundred Thousand Dollars (\$100,000) or less. Such repairs, alterations or additions may be made to any State building or premises under the supervision of the Office of the Chief Court Administrator and any contract for any such construction, repairs or alteration may be entered into by the Office of the Chief Court Administrator.</p>

1.1.2 Client Agency Project Administration and Phase Responsibilities

The conditions for approval to self administer a project include but are not limited to a Client Agency having the capability of assuming all of the following responsibilities for either of the following options.

Client Agency Project Administration and Project Phase Responsibilities	
1.1.2.1	<p>In-House Design / Bid / Construction Administration Option: For In-house design and self administration of the renovation, repair or alteration to any State facility the Client Agency shall assume <u>all</u> of the following responsibilities:</p> <ul style="list-style-type: none"> 1.1.2.1.1 Project Initiation – See Section 2.00 of this Manual for detail requirements. 1.1.2.1.2 Design Phase – See Section 3.00 of this Manual for detail requirements. 1.1.2.1.3 Bid Phase - See Section 4.00 of this Manual for detail requirements. 1.1.2.1.4 Construction Phase - See Section 5.00 of this Manual for detail requirements.



Client Agency Project Administration and Project Phase Responsibilities (continued)	
1.1.2.2	A/E Design / Bid / Construction Administration (C.A.) Option: To self administer the renovations, repairs or alteration to any State facility the Client Agency shall assume all of the following responsibilities: 1.1.2.2.1 Project Initiation – See Section 2.00 of this Manual for detail requirements. 1.1.2.2.2 Design Phase – See Section 3.00 of this Manual for detail requirements. 1.1.2.2.3 Bid Phase - See Section 4.00 of this Manual for detail requirements. 1.1.2.2.4 Construction Phase - See Section 5.00 of this Manual for detail requirements.
1.1.2.3	C.A. or Bid & C.A. only option: 1.1.2.3.2 Bid Phase - See Section 4.00 of this Manual for detail requirements. 1.1.2.3.3 Construction Phase - See Section 5.00 of this Manual for detail requirements.

1.2 Client Agency Project Administration Approval Process

A Client Agency must complete and submit a Client Agency Project Initiation Request & DPW B100S Submittal 115 to be approved to self administer a project:

1.2.1 Client Agency Project Initiation Request / DPW B100S Submittal Form

The following Table outlines the required information that a Client Agency must provide to DPW for approval consideration to self administer a project. The form must be completed in its entirety and submitted to:

Agency Administered Projects (AAP) Unit
 Department of Public Works
 165 Capitol Avenue, Rm. 482
 Hartford, CT 06106

Table of Required Information for Client Agency Project Initiation Request / DPW B100S	
Part 1 Client Agency Project Initiation Request	
1.0	Project Initiation Date
2.0	To: Chief Architect
3.0	Client Agency Name
4.0	Client Agency Head Name/Title
5.0	Project Title
6.0	Project Address
7.0	Client Agency Head Signature
8.0	Client Agency Requests Project/Contract by Agency
9.0	Information for Client Agency for Administered Project Requests Only
10.0	Client Agency Contacts
Part 2 Department of Public Works B100S (Supplement to OPM B100)	
Section A:	Administrative Data
1.0	Client Agency Number
2.0	Date Project Initiated
3.0	Has the Original OPM B-100 been changed?
4.0	Requested Substantial Completion Date
5.0	Project Categories
6.0	Bond Act & Section
7.0	Other Funding Sources
8.0	Funding Comments
Section B:	Technical Data:



	1.0 Is facility required to be occupied during construction?
	2.0 Non-compliance codes Citations, regulations, statutes, and etc.
	3.0 Mandates
	4.0 Is municipal participation required or anticipated?
	5.0 Site Conditions & History
	6.0 Site Utility Data
	7.0 Existing Building Data
	8.0 Site Development Detail
	9.0 Work Under Other Contracts That Impact Proposed Project
Part 2 Department of Public Works B100S (Supplement to OPM B100)	
Section C:	Design Issues:
	1.0 Building Use Data
	2.0 Special Needs
	3.0 Image/Impression
	4.0 Compatibility with External Site
	5.0 Technology Needs
	6.0 Flexibility
	7.0 Employee/Client Interaction
	8.0 Interior Environmental Quality
Section D:	Technical Data & Section Design Issues
Section E:	Project Budget Detail:

- 1.2.2 DPW Evaluation of the completed Client Agency Project Initiation Request**
 A completed Client Agency Project Initiation Request / DPW B100S Submittal 115 shall be evaluated by DPW Chief Architect and the Agency Administered Projects Unit to determine if the Client Agency has qualified and experienced staff members cable of self administering all of the requirements of all of the Project Phases as noted above:
- 1.2.2 DPW Approval of the Client Agency Project Initiation Request**
 If the DPW determines that the completed Client Agency Project Initiation Request & DPW B100S Submittal 115 demonstrates that the Agency has understanding of the scope of the project and has qualified and experienced staffing, including a staff member with formal training in the current code, i.e., CT licensed (or has plan agreed to by DPW to provide code review), capable of self administering all phases of project, then, the Chief Architect may grant approval of the Client Agency's request. The Chief Architect will do so with a letter to the Head of the Agency forwarding a copy of the approval to the Requestor, the DPW Agency Administered Projects Unit and to the appropriate Team Supervisor.
- 1.2.4 Request Rejection:**
 If the DPW finds that the completed Client Agency Project Initiation Request & DPW B100S Submittal 115 does not demonstrate an understanding of the scope of the project and/or adequate qualified and experienced staffing to self administer all phases of the project DPW shall reject the Client Agency's request with a letter to the Agency's Head.
- 1.2.4.1 The DPW shall also return a rejected Client Agency Project Initiation Request & DPW B100S Submittal 115 for re-submittal as a DPW administered project request. The DPW B100S portion of the form must be revised to include sufficient funds to cover DPW fees for administration of all phases of the project.
 - 1.2.4.2 The Client Agency may request a meeting with the DPW Chief Architect and Agency Administered Projects Unit to help them in determining adequate costs to cover DPW fees for the administration of all phases of the project.
 - 1.2.4.3 Failure to complete the paper work requirements on a project may jeopardize the approval of future projects.



2.0

Project Initiation Phase



2.0 Project Initiation

2.1 Project Initiation

2.1.1 DPW Project Initiation Services:

The DPW Agency Administered Project (AAP) Unit shall provide the following **no fee** services for the Project Initiation Phase for Client Agency Administered projects.

- 2.1.1.1 **Request a Capital Project Number:**
Submit Request For Capital Project Number to DPW Financial Unit to obtain a Project Number.
- 2.1.1.2 **DPW Prolog System:**
Initiate a Prolog Project Input (if required).
- 2.1.1.3 **Consultant Selection Process:**
Initiate the On-Call Consultant Selection Process in accordance with the DPW Selection and Bidding Manual 010;

Note:

The On-call Consultant QBS process is the only process available for the selection of Consultants for Agency Administered Projects. Any Consultant requested by the Client Agency will be chosen from the current DPW "On-Call" list for the appropriate discipline required.

- 2.1.1.3.1 **Project Scope Development:**
Meet with the Agency to draft a Consultant Project Initiation Scope Meeting Agenda for use in the Scope Meeting with the Consultants.
- 2.1.1.3.2 **Consultant Project Initiation Scope Meeting:**
Conduct a Consultant Project Initiation Scope Meeting with the Client Agency Representative and Consultant.
- 2.1.1.3.3 **Fee Negotiation:**
Conduct all Fee Negotiations with the Consultant in consultation with the Client Agency.
- 2.1.1.3.4 **Task Letters or Contract Submittals:**
Write Task Letters against "On-call" Contracts and process them as appropriate.

Note:

The DPW Agency Administered Projects Unit shall forward copies of commission letters or on-call contract/task letters, as applicable, to the Client Agency's Authorized Representative.

2.2.1 Client Agency Project Initiation Responsibilities:

When DPW grants approval for a Client Agency to self administer a project the Client Agency shall assume Project Initiation Phase responsibilities that include all of the items noted above in 2.1.1:

- 2.2.1.1 **Project Scope Development:**
Client Agency shall work with the DPW AAP Unit to draft the Consultant Project Initiation Scope Meeting Agenda for a Scope Meeting with Consultants.
- 2.2.1.2 **Fee Negotiation:**
The Client Agency shall work with the DPW AAP Unit to conduct an equitable Fee Negotiation with the Consultant.
- 2.2.1.3 **Hazardous Material Inspection/Abatement Requests**
Prior to the beginning of the Design Phase of a project the Client Agency must submit a **Hazardous Material Inspection/Abatement Request H810** to the DPW Technical Services Environmental Unit (TSEU) with a copy to the AAP Unit notifying them of the upcoming project, its location, scope, and schedule. The DPW TSEU shall directly assist the Client Agency incorporate any hazardous material inspection and/or abatement requirements into the project plans and specifications if required. The AAP Unit will not authorize or approve of a project until this requirement is met.



2.3 Transfer of Funds

2.3.1 Funding

Funding may be provide in four ways:

- 2.3.1.1 Bond Commission Approval – funds are transferred to the Client Agency directly from OPM
- 2.3.1.2 From DPW - funds are transferred from a DPW account through the use of a B – 07
- 2.3.1.3 From a Client Agency's Own Funds – i.e. use of Operating or General Funds
- 2.3.1.4 From a Federal Grant (i.e. Stimulus Funds) –

Note: see Section 7 for more detail

2.3.2 Client Agency Authorized Bids

All Client Agencies shall submit copies of all bid results and supporting documents to the Agency Administered Projects Unit for review as follows:

- 2.3.2.1 Projects over \$50,000 dollars must be submitted on an individual basis.
- 2.3.2.2 Projects between \$0 and \$50,000 dollars should be retained by the Agency for review by the State Auditors & / or DPW Agency Administered Projects Unit.

2.3.3 Purchase Order

Work can not begin on a project until a valid Purchase Order has been issued and all Bonds and Certificates of Insurance are in place. Purchase orders are not valid until entered into the State CORE system under the Office of the State Comptroller.

2.3.4 Bond Commission Approval

Upon Bond Commission approval, DPW Project Accounting will request allotment of funds. Upon approval and posting of bond funds, Agency Administered Projects Unit will give the Client Agency permission to award and administer the project (or group of projects).

Note: see Section 7 for more detail



3.0

Design Phase



3.0 Design Phase

3.1 DPW Agency Administered Unit Design Phase Services

The DPW AAP Unit shall provide the following Design Phase no fee services for all Client Agency Administered projects. DPW AAP Unit shall:

- 3.1.1 **Task Letters or Commission Letters:**
 Write and manage the processing and approval of all Task Letters and Commission Letters for all AA Projects whether On-call, Informal or Formal Contracts.

3.2 Client Agency Design Phase Administration Responsibilities:

When DPW grants an approval for a Client Agency to self administer a project then the Client Agency Design Phase responsibilities include but are not limited to the following:

- 3.2.1 **Design Phase Meetings:**
 The Client Agency shall be responsible for scheduling and coordination of all design phase meetings (after the Task Letter is written) and for the facilitation of the meetings with the Consultant and the Consultant's staff.

Note:
 A Client Agency shall not allow a Consultant to proceed with the work until the Department of Public Works has notified the Consultant that their task letter has been approved.

- 3.2.2 **Design Phase Submittal Reviews:**
 The Client Agency is responsible for the review, verification and approval of all of the Consultant's submittals and deliverables to determine that they are in accordance with Consultant's contract and all of the applicable requirements of the DPW Consultants Procedure Manual 040M 02-June 08, including but not limited to Sections 2.5.1, 2.5.3, and 2.5.4.

- 3.2.3 **Code Plan Reviews:**
 The Client Agency must have a staff member with a current CT Building Code Official License (or have an alternate plan agreed to by DPW, such as the use of a CT licensed Code Consultant) to review all design phase project plans and specifications and to inspect the construction to determine that the construction is in accordance with the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut.

Agency Administered In-house Design Option - exception:

The in house design option is the same except that If the Client Agency does not have a staff member that has a current CT Building Code Official's License or have a plan agreed to by DPW, such as the use of a CT licensed Code Consultant to review all in-house design phase project plans and specifications and to perform construction inspections then they may request that DPW perform the reviews and inspections (or establish a plan acceptable to DPW to perform or have these reviews performed). The Client Agency must also identify appropriate funds in their Client Agency Project Initiation Request / DPW B100S Submittal 115 to cover the DPW Code Unit Fees for the plan reviews and construction inspection(s). A DPW fee is required for these services and funding must be in place prior to making the request for these services. Design Phase Reviews and Construction Inspections must be requested and scheduled, in writing, with the DPW Code Unit a minimum of two (2) weeks in advance of the date required.

- 3.2.4 **Letter to Proceed:**
 A Client Agency shall not allow a Consultant to proceed with the work until the DPW AAP Unit has issued a Letter to Proceed 309 to the Consultant and/or the Consultant has signed the Task Letter or Commission Letter.

- 3.2.5 **Equipment and System Standards:**
 If the Client Agency has equipment and system standards they must formally transmit these standards to the Consultant and document the transmittal.



- 3.2.6 **Single Source Specifications:**
The Client Agency must submit **Requests for Single Source Specifications Approval** to the DPW AAP Unit for approval by the DPW Sole Source Committee (SSC).
- 3.2.7 **Construction Budget Review and Approval:**
The Client Agency must review and approve the Consultants construction estimate for compliance with the projects construction budget at end of each phase and/or prior to the beginning of the next project phase;
- 3.2.8 **General Requirements:**
The Client Agency shall meet with the Consultant to coordinate the editing of the General requirements for, but not limited to the following:
3.8.1 Construction Staging Areas;
3.8.2 Project Phasing;
3.8.3 Site Access and Storage;
3.8.4 Construction Utility access;
3.8.5 Identification of work done by other contractors;
3.8.6 Security;
3.8.7 Starting of Systems and System Commissioning
- 3.2.9 **Consultants Project Progress Compliance:**
The Client Agency shall monitor the Consultant's project progress for compliance with the requirements of the Consultants Task Letter or Contract.
- 3.2.10 **Consultant Invoice Payments Approvals:**
The Client Agency shall pay all invoices for Consultant services. The Agency shall notify the DPW AAP Unit when the consultant is paid in full. If the DPW Accounting Unit is holding the funds the Client Agency shall, on the original copy of the invoice note its approval of the work and the amount, have the project manager sign and date it and forward it (the approved invoice) to the DPW AAP Unit. **The agency is responsible for this process. Unapproved Invoices sent to DPW will be returned to the originator. The Signature of the Agency Representative certifies that** all of the Consultant's services have been performed in accordance with the contract.
- 3.2.11 **Performance Evaluation of Consultant Services**
Submit a copy of a completed DPW **Performance Evaluation of Consultant Services** to DPW Agency Administrated Projects Unit prior to proceeding to the Bid Phase Administration Procedures outlined in this Manual. On projects over One Hundred Thousand Dollars (\$100,000) an evaluation should be submitted anytime the Agency is displeased with the Consultant's performance.
- 3.2.12 **Certificate of Compliance for Agency Administered Projects:**
The Client Agency Head designated on the Client Agency Project Initiation Request / DPW B-100S Submittal 115 and the A/E of Record must sign and submit a copy of the **Certificate of Compliance 715** certifying Part "1" - Design Phase that the *"described project has been designed in substantial compliance with requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut"* and submit a copy of the Certificate to DPW AAP Unit prior to proceeding to the Bid Phase Administration Procedures outlined in this Manual.



4.0

Bid Phase



4.0 Bid Phase

4.1 Pre-bid Responsibilities and Limitations

When DPW grants an approval for a Client Agency to self administer a project then the Client Agency Pre-Bid Phase responsibilities include but are not limited to the following:

4.1.1 Bid Phase Requirements of the DPW Consultant Procedure Manual:

The Client Agency shall administer the Bid Phase of the Consultant's contract in accordance with the applicable requirements of the DPW Consultants Procedure Manual 040M, dated 02-June-08, including but not limited to Section 2.5.5.

4.1.1.2 Affidavits:

For Affidavit requirements see Section 10.0, Consultants, General Contractors, and Design/Builders Affidavits, of this Manual. Also refer to the DPW web site for the latest Affidavit requirements and forms. These are the only acceptable forms.

4.1.2 Construction Cost Estimate/Contingency:

The Client Agency must receive a signed DPW **A/E Bid Data Statement 605F** from the Consultant that verifies the Construction Cost Estimate (Item #6). The Client Agency must confirm that this Construction Cost Estimate plus an additional ten percent (10%) construction contingency and all other related project costs do **not exceed** the Statutory limitations for the Client Agency Administered Projects, the amount indicated on the Client Agency Project Initiation Request or the DPW B100S Submittal 115.

Note:

A copy of the completed and signed **A/E Bid Data Statement 605F** must be submitted to the DPW AAP Unit.

4.1.3 Supplemental Bids:

DPW prohibits Client Agency Administered Bids from including any Supplemental Bids without prior approval, in writing, from DPW as to format, content and sequencing .

4.1.4 DAS Contractor Prequalification Process:

As applicable, The Client Agency must integrate the requirements of the DAS Contractor Prequalification procedures into the Bidding Documents. See DPW Department of Administrative Services (DAS) Pre-qualification Forms 00022.

4.1.5 Funds:

DPW prohibits the advertisement of Client Agency Administered Bids until all necessary project funds have been obtained. Source of funds must be identified and verified to DPW at the time of bidding.

4.1.6 Building and Fire code Inspections:

In accordance with C.G.S. § 29-252a all State agencies must comply with the State Building and Fire Code(s). The Client Agency shall have a staff member with a CT Building Code Official License to review all project plans and specifications during the design phase and to inspect the work during the Construction Phase. The Client Agency may establish a plan, agreed to by DPW, such as the use of a CT licensed Code Consultant to review and inspect the documents and the work).

4.1.6.1 In-house Design Option - Exception:

If the Client Agency does not have a qualified staff member (or a plan agreed to by DPW, such as the use of a Code Consultant with a CT Building Code Official License) to review all project plans and specifications during the design phase and to perform inspections during construction then they must identify appropriate funds in their Client Agency Project Initiation Request / DPW B100S Submittal 115 to cover the DPW Code Unit fees for these services. A DPW fee is required for these services and funding must be in place prior to making the request for services. Design Phase Reviews and Construction Inspections must be requested and scheduled, in writing, with DPW Code Unit a minimum of two (2) weeks in advance of the time that they needed.



4.1 Pre Bid Responsibilities and Limitations (continued):

4.1.7 Bid Process Administration;

The Client Agency must bid the project in accordance with its own procurement rules and be responsible for all of the Bid Phase administration costs and responsibilities including but not limited to the following:

4.1.7.1 Pre-bid Conference:

The Client Agency must coordinate and facilitate a Pre-bid Conference(s);

4.1.7.2 Advertisements and Document Printing:

The Client Agency is responsible for all bid costs such as Advertisement and Document Printing.

4.1.7.3 Addendums:

The Client Agency is responsible for coordination of all Bid Addenda (template);

4.1.7.4 Bid Proposal Reviews:

The Client Agency is responsible for the review of all 00020 (004013) Bid Proposals, for conformance with the requirements with 00100 (001116) Notice To Bidders and all the bid requirements such as Contractor/Subcontractor Qualifications, Affidavits, Named Subcontract Agreements, CHRO Regulations, Bonds, Insurance, etc.

4.1.7.5 Contract Signing:

4.2 Client Agency Bid Phase Administration Responsibilities

A Client Agency shall comply with the following specific requirements during the Bid Phase and comply with all applicable provisions of C.G.S. § 4b-91 through 4b-102. The Client Agency shall:

4.2.1.1 Client Agency Bid Forms:

Receive approval from the DPW AAP Unit that their Bidding forms are in compliance with DPW's Standard Bid Procedure (see Section 3.4 of this Manual).

4.2.1.2 Bid Information:

Review their Bid Documents to be sure all bidders are receiving the same bidding information such as quantities of materials, bid documents and specifications so as to insure that all bidders are being treated fairly and in an ethical manner.

4.2.1.3 Invitation to Bid:

The date and time of the Pre-bid Conference and of the Bid Opening must be clearly specified. DPW form 00010 (001116) Invitation to Bid can be found in the appendix if you wish to use it.

4.2.1.4 Bid Opening:

Assure that all Bid Proposals have the receipt date and time recorded and initialed.

4.2.1.5 Public Opening

All Bids must be opened in a public setting with at least one witness present.

4.2.1.6 Bid Bond:

Confirm that a Bid Bond in conformance with current State of Connecticut statutes is submitted for projects that exceed \$ 100,000 dollars.

4.2.1.7 Contract Award Delay:

Insure and confirm that the Invitation to Bid States that the contractor is required to hold their bid price for ninety (90) days.

4.2.1.8 Bid Extension

In the event that the contract award is delayed beyond the ninety (90) days, then the Client Agency must obtain written confirmation from the contractor agreeing to extend their bid without change of terms or conditions.

4.2.1.9 Contractor Prequalification Criteria:

Use DAS Prequalification for projects above Five Hundred Thousand Dollars (\$500,000). Contractor must be pre-qualified in the classification of the work the bid requires. The classification must be included in the Invitation to Bid



4.3 Client Agency Bid Phase Administration Responsibilities

The following Documents must be included in bid Packages sent to all potential bidders, for projects that are under \$500,000 dollars. The Client Agency must use:

- 4.3.1 **Bid Form:**
The Invitation to Bid for projects less than \$100,000 a Client Agency can utilize the **STO-93 Standard Quote Form**.
- 4.3.2 **Instructions to Bidders and Conditions of the Bid:**
The **Instructions to Bidders**. Minority Bidders requirements must be part of the Instructions to Bidders Form.
- 4.3.3 **General Conditions:**
The **General Conditions** as included in all DPW bids. See DPW website.
- 4.3.4 **Certificate of Insurance:**
The **Certificate of Insurance** for contractors for all projects involving labor and material must submit to the administering agency a Certificate of Insurance form covering Public Liability and Workers' Compensation and Surety Bonds covering performance, labor and materials prior to the commencement of work.

Note:

Require Surety Bonds for labor and materials are not required for projects costing less than \$50,000. The Client Agency administering the project is responsible for keeping a record of the bonds and for obtaining Consent of Surety to release the bonds upon 100% completion of the project.

- 4.3.5 **Standard Bid Bond:**
The **Standard Bid Bond** is required for projects over \$100,000 dollars.
- 4.3.6 **Prevailing Wage Rates:**
The **Prevailing Wage Certifications** for projects over \$100,000. C.G.S. § 32-53 requires contractors to pay prevailing wages as published by the State Labor Commissioner for projects with the following construction costs:
 - 4.3.6.1 New Construction - greater than \$400,000.
 - 4.3.6.2 Renovation projects - greater than \$100,000.

Note:

Projects costing less than the above amounts are not subject to the provisions of this statute. It is the responsibility of the Agency who is administering the project, to obtain prevailing wage rates, from the Labor Department, within thirty (30) days prior to the bid. Agencies can request wage rates through the Labor Department's web site www.ctdol.State.ct.us.

- 4.3.7 **Contractor's Minority Business Enterprises Utilization:**
Use **Contractor's Minority Business Enterprises Utilization Form** for projects over \$500,000.
- 4.3.8 **Formal Advertisement of Bid Notices:**
Use **Formal Advertisement of Bid Notice Form** to post the Advertisement in local newspapers - Public Act 99-75 requires that all project estimates that exceed \$500,000 must be advertised in the local newspaper. All bids, regardless of size, must be posted on DAS web site. The goal is to obtain a minimum of three (3) competitive bids; therefore as many potential bidders as possible should be notified of the bidding of a project.



4.4 DPW Bid Documents

The following DPW Bid Documents are recommended as the core documents for all bid packages. These are industry standard Construction Specification Institution (CSI) documents that have been formatted to contain the provisions of C.G.S. § 4b-91 through 4b-102 (required of CSU projects between Five Hundred Thousand (\$500,000) and Two Million Dollars (\$2,000,000) and are to be utilized as applicable for the specific Bid.

CSI No.	Table of DPW Bid Document Name
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NOTE: The following is provided to bring our format in line with the Construction Specification Institute's latest format.

NO. 1988	ORIGINAL SECTION TITLE	NO. 2004	UPDATED SECTION TITLE
00010	Invitation to Bidders	00 11 16	Invitation to Bid
00020	Bid Proposal Form	00 40 13	Bid Proposal Form
00024	Standard Bid Bond Form	00 43 16	Standard Bid Bond Form
00025	Special Unit Prices	00 43 24	Special Unit Prices
00030	General Contractor Bidder's Qualification Statement	00 45 14	General Contractor Bidder's Qualification Statement
00035	Subcontractor Bidder's Qualification Statement	00 45 17	Subcontractor Bidder's Qualification Statement
00040	Objective Criteria for Evaluating Qualifications of Bidders	00 45 15	Objective Criteria for Evaluating Qualifications of Bidders
00050	Subcontract Agreement Form	00 52 73	Subcontract Agreement Form
00100	Notice to Bidders	00 21 19	Notice to Bidders
00200	Prevailing Wage Rates/Contractor's Wage Certification/Payroll Certification	00 73 44	Prevailing Wage Rates/Contractor's Wage Certification/Payroll Certification
00300	Certificate of Insurance	00 62 16	Certificate of Insurance Form
00400	Set-Aside Contractor Schedule	00 73 27	Set-Aside Contractor Schedule
00500	Contract	00 52 03	Contract Form
00600	CHRO/Contract Compliance Regulations	00 73 38	CHRO/Contract Compliance Regulations
00700	General Conditions of the Contract for Construction	00 72 00	General Conditions of the Contract for Construction
00800	Supplementary Conditions	00 73 00	Supplementary Conditions
00900	Amendments	00 92 00	Amendments

4.5 Minority & Small Business Set-Aside Program Requirements

In accordance with C.G.S. § 4b-52 all Client Agencies that are granted approval to self administer bidding and construction of projects must comply with the following requirements:

4.5.1 Minority & Small Business Set-Aside Program

Apart from the exceptions shown below, construction contracts valued up to \$500,000 shall be offered first to contractors that are registered with the Department of Administrative Services' Minority & Small Business Set-Aside Program.

4.5.1.1 If less than \$95,000, at least two bids must be received before a contract can be awarded.

4.5.1.2 Greater than \$95,000, at least three bids must be received before a contract can be awarded.

4.5.2 If, after a good faith effort to reach a sufficient number of potential set-aside bidders, only one bid is received, the agency may:

4.5.2.1 Re-bid the project, including non-set-aside contractors, or



- 4.5.2.2 Request a waiver of the re-bid from DPW. A waiver may be granted based on a demonstration of a good faith effort to reach a sufficient number of potential set-aside bidders and or extraordinary circumstances relating to the project.
- 4.5.3 A minimum of 6.25 percent (6.25%) of each contract awarded to a Small Business Enterprise shall be reserved for Minority Business Enterprises (MBE). Note: Minority Business Enterprises includes Women Business Enterprises (WBE).

4.6 Minority & Small Business Set-Aside Program Requirements (continued):

4.6.2 Minority & Small Business Set-Aside Program – Exceptions:

- 4.6.2.1 If a construction project is awarded to a DAS/On-Call service contractor.

Note: Since DPW does not have authority to grant exemptions no further effort is made to define possible exceptions. However, if an exception is received from an appropriate authority this must be received in writing and DPW must receive a copy.



5.0

Construction Phase



5.0 Construction Phase

5.1 Construction Phase Administration Responsibilities

When a Client Agency receives approval to self administer the Construction Phase of a project the Client Agency's responsibilities include but are not limited to the following:

- 5.1.1 Attendance at job meetings;
- 5.1.2 Review and approval substitution/equals;
Exception –An Agency can not approve an item that can not be competitively bid. If an item is unique, i.e., Sole or Single Source DPW must approve its use.
- 5.1.3 Review and approval shop drawings;
- 5.1.4 Review and approval RFI's;
- 5.1.5 Review and approval Change Orders;
- 5.1.6 Review and approval of Proposal Requests;
- 5.1.7 Coordination of special inspections;
- 5.1.8 Approval of Substantial Completion;
- 5.1.9 Review and approval of contractors payment;
- 5.1.10 Approval of reductions in retainage;
- 5.1.11 Approval of Architects requests for payment;
- 5.1.12 Coordination of code compliance inspections & approvals;
- 5.1.13 Coordination of approval of Certificate of Compliance;
- 5.1.14 Coordination and administration of closeout procedures;
- 5.1.15 Coordination of Final Closeout.

5.2 Construction Administration – Specific Requirements

A Client Agency must comply with the following specific requirements during the Construction Phase of a Project:

- 5.2.1 **Construction Phase Requirements of the DPW Consultant Procedure Manual:**
The Client Agency must administer the construction phase of the project in accordance with the requirements of this Manual and all applicable requirements of the DPW Consultants Procedure Manual 040M including but not limited to Sections 2.5.6.
- 5.2.2 **Approvals/Certificates:**
Agencies are responsible for obtaining all applicable permits and approvals from the State Building Inspector, State Fire Marshal, Department of Health Services, Department of Environmental Protection, Department of Transportation and the State Traffic Commission and in the case of demolition, the Municipality.
- 5.2.3 **Contractors Invoices:**
Agencies are responsible for the review and approval of all of the contractor's monthly invoices. All contractor payment requisitions on projects exceeding \$500,000 must include a "Lien Waiver" from each prime subcontractor. If a project exceeds \$100,000 a copy of each approved invoice is required and if over \$500,000 a copy of each approved invoice is required to be sent to DPW along with copies of the Lien Waivers.
- 5.2.4 **Change Orders:**
In cases where additional work must be initiated, the Agency must forward the following to the DPW Agency Administered Projects Unit: (only if the Change Order exceeds either \$10,000 dollars or the 10% contingency authorized):
 - 5.2.4.1 One copy of the Change Order Request
 - 5.2.4.2 One copy of the Contractors Change Order Proposal
 - 5.3.4.3 The design professional's approval of the Change Order
 - 5.2.4.4 A cover letter explaining the need for the Change Order and why it exceeds the ten percent (10%) maximum
 - 5.2.4.5 The source of the funds necessary to pay for the Change Order
 - 5.2.4.6 All requests for Change Order approval will be dealt with on a case-by-case basis and will require the above information before they will be acted on.



Note: Agencies not never exceed the authorized construction amount via change order without the approval of DPW.

5.3 Construction Administration – Specific Requirements (continued):

5.3.5 Project Completion:

5.3.5.1 Certificate of Compliance:

5.3.5.1.1 Client Agency:

All Projects (whether completed or not) must have a **Certificate of Compliance, Form 715F**, for the Construction portion of the project. This must be signed by the Client Agency's authorized representative certifying that to the best of that person's knowledge "the completed project -described above is in substantial compliance with the approved plans and specifications and the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut."

5.3.5.1.2 Design Professional:

The design professional must also certify on **Form 715F, Certificate of Compliance**, that, to the best of his knowledge, "the completed Construction portion of the project described above is in substantial compliance with the approved plans and specifications and the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut."

5.3.5.1.3 Contractor:

The Contractor must also certify, on **Form 715F, "Certificate of Compliance"**, that, to the best of his knowledge, the portion of the construction finished on "the project described above is in substantial compliance with the approved plans and specifications and the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut."

5.3.5.1.4 Certificate of Compliance Submittal:

The original of each "**Certificate of Compliance**" (**Form 715F**) shall be submitted to the DPW AAP Unit. A copy of each "**certificate of compliance**" must be sent to the Office of State Building Inspector and to the DPW Code Unit.

5.3.5.2 Certificate of Acceptance: (see definition in Glossary)

5.3.5.2A Certificate of Substantial Completion: (see definition in Glossary)

5.3.5.3 Contractor's Surety:

The Client Agency must also gain Consent of Surety contact the Contractor's surety company for release of the performance, labor and material bonds (where applicable).

5.3.5.4 Report to the Legislature:

The awarding Client Agency i.e. the Agency signing the construction contract must file a report yearly with the legislature per Connecticut General Statute (C.S.S. Chapter 60 Section 4b. 101a)

5.3.5.5 Contractor Performance Evaluation:

Within sixty (60) days of substantial completion provide the DPW AAP Unit with a **Contractor Performance Evaluation - Form 782F** and with the "**Certificate of Acceptance**"



6.0

Emergency Projects



6.0 Emergency Projects

In accordance with C.G.S. § 4b-52(c) when the Commissioner of Public Works declares that an emergency condition exists at any State facility, and that the condition would adversely affect public safety or the proper conduct of essential State government operations, the Commissioner may employ such assistance as may be required to restore the facility(s) to the control of its management, and the Commissioner may so act upon the request of a State agency, to restore facilities to the control of the management of such facility, without inviting bids as required in subsection 4.1 of this section.

6.1 Written Consent of the Governor for Expenditure of More than \$500,000

The Commissioner may not take any action requiring the expenditure of more than five hundred thousand dollars (\$500,000) to restore any facility under this subsection:

6.1.1 Without the written consent of the Governor, and

6.1.2 Until the Commissioner has certified to the Joint Committee of the General Assembly having cognizance of matters relating to legislative management that the project is of such an emergency nature that an exception to subsection 5.1.1 and 5.1.2 of this section is required.

6.1.2.1 Certification shall include input from all affected agencies, detail the need for the exception and include any relevant documentation.

6.1.3 The provisions of this subsection shall not apply if any person is obligated under the terms of an existing contract with the State to render such assistance.

6.1.4 The Annual Report of the Commissioner shall include a detailed Statement of all expenditures made under this subsection.

6.2 Estimated Cost Of Repairs Less Than \$10,000.00

The Client Agency's Authorized Representative is authorized by DPW, to perform emergency building repairs (i.e. repair steam line, roof leak) up to \$10,000 dollars without DPW's approval. DPW's AAP Unit will require a quarterly report to be submitted on all emergency repairs that were under the \$10,000 dollar limit, with a copy of the report to be given to DPW Client Agency's Assistant Director of Project Management.

Note:

In the event of an emergency exceeding the \$10,000 dollar limit the Client Agency must contact the DPW's Agency Administered Projects Unit as soon as is feasible.



7.0

Transfer of Funds



7.0 Transfer of Funds

7.1 Funding

Funding may be provide in four ways:

- 7.1.2 Bond Commission Approval – funds are transferred to the Client Agency directly from OPM through a transfer invoice
- 7.1.2 From DPW - funds are transferred from a DPW account through the use of a B – 107
- 7.1.3 From a Client Agency's Own Funds – i.e. use of Operating or General Funds
- 7.1.4 From Federal Sources &/ or Grants – full, matching or partial funding

7.2 Client Agency Authorized Bids

All Client Agencies shall submit copies of all bid results and supporting documents to the Agency Administered Projects Unit for review as follows:

- 7.2.1 Projects over \$50,000 dollars must be submitted on an individual basis.
- 7.2.2 Projects between \$0 and \$50,000 dollars should be retained by the Agency for review by the State Auditors & / or DPW Agency Administered Projects Unit.

7.3 Purchase Order

Work can not begin on a project until a valid Purchase Order has been issued and all Bonds and Certificates of Insurance are in place. Purchase orders are not valid until entered into the State CORE system under the Office of the State Comptroller.

7.4 Bond Commission Approval

Upon Bond Commission approval, DPW Project Accounting will request allotment of funds. Upon approval and posting of bond funds, Agency Administered Projects Unit will give the Client Agency permission to award and administer the project (or group of projects) as follows:

- 7.4.1 The Client Agency shall accept either OPM's or DPW's Transfer Invoice and process such invoice through the appropriate Client Agency account established to accept funds transferred for Client Agency Administered Projects.
- 7.4.2 DPW's Transfer Invoices shall be for the amount of the construction bid only. Funds for change orders will be the responsibility of the Client Agency.
- 7.4.3 The Client Agency is responsible for the processing of all payments on the project under the Client Agency's business rules and payment processing procedures.
- 7.4.4 All Agencies that request Transfer Invoices for project funds from DPW will be required to submit a bid tabulation form to DPW showing the names of all contractors invited to bid and all responses from the contractors. Agency's contract compliance officer shall include any waiver authorizations to the bid tabulation memo. This is in addition to, not in place of, other requirements contained herein. If a Client Agency has stricter standards than contained herein then the Client Agency's Standards shall apply.



8.0
Quarterly
and
Annual Reports



8.0 Annual Reports

8.1 All Projects

Each Client Agency Chief Administrative Officer must file electronically an annual report summarizing, the projects completed and the status of the bond funds allotted for each project. This report must be filed with the co-chairs of Finance Revenue and Bonding Committee on or before January 1st. of each year. The first Report was due January 1, 2002.

Note:

A copy of this report must be provided to the Secretary of the State Bond Commission, the Commissioner of the Department of Public Works and the DPW APP Unit.

8.2 Client Agency Administered Projects in Excess of \$500,000

When an Agency Administered Project exceeds \$500,000 the Agency must comply with the requirements of C.G.S. §4b – 101a which States.

- 8.2.1 Not later than January 1, 2006, and annually thereafter, each awarding authority shall prepare a report on the status of the following:
 - 8.2.1.1 Any ongoing project for the construction, reconstruction, alteration, remodeling, repair or demolition of any public building which is estimated to cost more than five hundred thousand dollars (\$500,000) and is paid for, in whole or in part, with State funds, or
 - 8.2.1.2 Any property management contract awarded by the Department of Public Works which has an annual value of One Hundred Thousand Dollars (\$100,000) or more.
- 8.2.2 The awarding authority shall submit the report to the Governor and the Joint Standing Committees of the General Assembly having cognizance of matters relating to government administration and finance, revenue and bonding.
- 8.2.3 The report shall be submitted in accordance with C.G.S. §11-4a. The first report submitted after a contract is awarded shall indicate the following:
 - 8.2.3.1 When, where and how the request for bids was advertised;
 - 8.2.3.2 Who bid on the project(s);
 - 8.2.3.3 The provisions of law that governed the award of the contract and if there were any deviations from standard procedure in awarding the contract;
 - 8.2.3.4 The names of the individuals who had decision-making authority in awarding the contract, including, but not limited to, the individuals who served on any award panel;
 - 8.2.3.5 If an award panel was used, whether the recommendation of the panel was followed and, if applicable, the reason why such recommendation was not followed;
 - 8.2.3.6 Whether the awarding authority has any other contracts with the contractor who was awarded the contract, and if so, the nature and value of the contract; and
 - 8.2.3.7 Any provisions of law that authorized or funded the project.



8.3 Completion/Status Reports

In accordance with C.G.S. § 3-21d the Chief Administrative Officer of each Client Agency which manages agency administered construction projects in excess of \$10,000, must file a report with the Secretary of the State Bond Commission no later than 90 days following completion of the project. Completion is defined as receipt of a Certificate of Occupancy or upon final payment to the contractor whichever comes first. This report must include the final cost of the project, the amount and reason for any funds to be held in retainage and the amount of bond funds unexpended, if any. DPW – AAP Unit is to receive a copy.

8.4 Report Information / Deadline

In an effort to comply with this statute, all Agencies receiving permission to Agency Administer a project(s) from DPW, must provide the following information to DPW's Agency Administered Projects Unit within thirty (30) days of the end of each quarter of the fiscal year:

- 8.4.1 A 'Status Report' on each project for which "Permission" was granted.
- 8.4.2 The report must reference the Project Number, Title, and the DPW-PR-1 #.
- 8.4.3 This report must include the percentage completion, an estimated date by which the project will be complete and the final cost and final payment date of any projects completed during the quarter.
- 8.4.4 A listing (if applicable) of all balances of unexpended bond funds that remain from completed projects.

Note:

DPW will report all unexpended bond fund balances to the Secretary of the State Bond Commission for possible reuse or referral to the General Assembly as determined by the Bond Commission Secretary.



9.0
DAS
On-Call
Trade Contractor
Services



9.0 DAS On-Call Trade Contractor Services

When utilizing DAS/On-Call Trade Contractor Services, the Department of Public Works shall require the following:

9.1 Projects That Exceed \$50,000 Dollars

If a projects exceeds \$50,000 dollars, the Agency must submit a Client Agency Project Initiation Request / DPW B100S Submittal 115, together with all of the required supporting project/contract initiation documentation for approval to self administer a project to DPW, as Stated in Section 1.2 of this Manual.

9.2 Projects That Exceed \$10,000 Dollars but are Less Than \$50,000 Dollars

If a project exceeds \$10,000 dollars but is less than \$50,00 dollars the Client Agency may choose to use either Client Agency Project Initiation Request / DPW B100S Submittal 115, or a Client Agency Project Initiation Request / Letter

9.3 Projects Less Than \$10,000 Dollars

Projects that are awarded and are less than \$10,000 shall be documented on a spreadsheet and submitted to DPW, with the Client Agency's quarterly construction status report i.e. for September 30th, for December 31st, for March 31st and June 30th of each year.

9.4 A Project With Multiple Contractors

If a project involves the use of multiple contractors, the total value of the purchase orders can not exceed \$95,000 dollars.

9.5 DAS/On-Call Trade Contractors

The DAS Contract Supplement #3 lists contract services for the following trade services. If a trade service is not included in said contract, upon request to DAS, a supplement to the existing contract can be added to include a new trade service.

Commodity Class	Subclass	Description:
0600 - 006	Trade Labor	Carpenter's Services
0600 - 016	Trade Labor	Electrician's Services
0600 - 027	Trade Labor	Maintenance Services (General)
0600 - 033	Trade Labor	Painter's Services
0600 - 036	Trade Labor	Plumber's Services
0600 - 056	Trade Labor	BY AC Emergency Repair Services Only
0600 - 057	Trade Labor	Boiler/Burner Repair Emergency Only
0600 - 059	Trade Labor	Duct Cleaning Services Emergency Only
0600 - 060	Trade Labor	Glaziers & Glazier Services
0600 - 061	Trade Labor	BY AC Emergency Repair Only
0600 - 062	Trade Labor Services	Locksmith Services Emergency Only
0600 - 063	Trade Labor Services	Masonry Services
0600 - 064	Trade Labor Services	Overhead Door Repair Services
0600 - 066	Trade Labor Services	Roofing Services
0600 - 067	Trade Labor Services	Sand Blasting Services
0600-068	Trade Labor Services	Terrazo, Tile & Marble Finishing "
0600 - 069	Trade Labor Services	General Contracting Services Other



9.6 Client Agency Administering Of Multiple Renovation Projects

If an Agency is administering multiple renovation projects within the same building, or buildings, (campus type facility) and the required renovations are within the same time frame, an Agency shall not issue construction purchase orders to DAS/On-Call trade contractors that exceed a total amount of \$95,000. If initial construction estimates are in excess of \$95,000, the project(s) shall be bid out through the informal bid process. The informal process requires three (3) bid responses.

Note:

A Client Agency may not 'divide' a project into multiple parts to avoid the provisions of this Manual or the C.G.S..

Note:

DPW can assist Client Agencies in developing plans and specifications. DPW will require a DPW fee for said services.

9.7 DAS/On-Call Trade Contractors Purchase Orders

Purchase orders that are awarded to DAS/On-Call trade contractors, other than those issued via the bid process, shall be in a "Not to Exceed" dollar amount vs. a lump sum price. Hourly rates and material mark-ups shall be paid in accordance with DAS/On-Call Trade Service contract.

9.8 Sub-contractor Prohibition / Authorization

Per said DAS contract, the use of sub-contractors is prohibited unless authorized in writing by DAS/Procurement Services Unit.

9.9 Encourage Maximum Participation By DAS/On-Call Trade Service Vendors

Agencies shall use discretion to ensure that no 'one' vendor(s) is/are continually awarded Purchase Orders from either the DAS/On-Call Trade Service Contract or through the Informal Bidding process. All efforts shall be made by agency's facility managers to identify and notify qualified contractors and sub-contractors, for performing agency administered projects.



10.0
Consultants
and
General Contractors
Affidavits



10.0 Consultants, General Contractors Affidavits

Various types of affidavits are required to be submitted by Consultants, General Contractors and Design/Builders by CT DPW policy, CT statutes, and Executive Orders issued by the Governor. These affidavits require the disclosure of certain gifts, campaign contributions and consulting agreements.

"Official" DPW Affidavit Forms and Instructions can be accessed from the CT DPW Website www.ct.gov/dpw as required for Qualification Based Selections, Competitive Sealed Bids, and Competitive Sealed Proposals.

The RFQ Legal Notice and RFQ Web Advertisement shall alert all potential Consultants, General Contractors, and Design/Builders to the affidavit submittal requirements, and will provide web links to the required forms posted on the DPW web site.

More information concerning affidavits can be found by going directly to the DPW web page at www.ct.gov/dpw and clicking on the Affidavits link and then selecting the Introduction link and General Advice for Filling out Affidavits and Resolutions/Certificates of Authority link. No forms, other than those posted on the DPW web page, shall be used by a Consultant, General Contractor or Design/Builder.

Questions concerning the affidavits can be directed to the CT DPW Legal Services Division at 860-713-5662.

10.1	<p>Client Agency Affidavit responsibilities The Client Agency administering a project is responsible for obtaining and maintaining all required affidavits required of the Consultant or of the contractor and whether in the proposal, design, bid or construction phase. The Client Agency must submit a copy of all affidavits to the Agency Administered Projects Unit.</p> <p>Note: DPW is responsible for selecting and contracting with all Consultants. DPW will, therefore, obtain the first set of affidavits required from the Consultant for their contract. Thereafter the enforcement of affidavit requirements is the responsibility of the Client Agency.</p>
10.2	<p>Questions Concerning Affidavits and Fair Talk Questions concerning the affidavits can be directed to the CT DPW Legal Services Division. (860) 713-5662.</p> <p>Note: The latest Affidavit requirements may be obtained on the DPW website under "Affidavits and other Legal Forms".</p>



11.0

Glossary

Abbreviations

Definitions



11.0	Glossary of Terms
11.1 Abbreviation	Description
AG	Attorney General
ACT	Administrator of Client Teams
AAP	Agency Administered Project Unit
AAPA	Agency Administered Project Unit Administrator
Comm.	Commissioner of the Department of Public Works
C A	Chief Architect
DC	Deputy Commissioner
DFP (or CFO)	Director of Financial Planning (or Chief Financial officer)
SSC	Sole Source Committee
APM	Assistant Project Manger
ASPM	Associate Project Manager
PM	Project Manager
SPM	Supervising Project Manager
ADPM	Assistant Director of Project Management
DPM	Director of Project Management
11.2 Term	Definition
Addendum	An addition or a correction to a completed written document.
Advertisement	A procurement specification posted on an electronic public procurement website(s) or in a newspaper.
Affidavit	Means a Statement of facts which is sworn to (or affirmed) before an officer who has authority to administer an oath (e.g. a notary public). The person making the signed Statement takes an oath that the contents are, to the best of their knowledge, true. It is also signed by a notary or some other officer that can administer oaths, affirming that the person signing the affidavit was under oath when doing so.
Allocated	Amount approved by the Bond Commission for specific projects.
Authorization	Amount approved by the Legislature for a specific purpose.
Architect, Engineer or Professional Consultant	(1) Is a person who provides Professional services of an architectural, engineering or other nature, as defined by State law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide those services.
	(2) Is a person who provides Professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property.
	and



	(3) Those other professional services of an architectural or engineering nature, or incidental professional services, that members of the architectural, engineering or other profession (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.										
Architectural/ Engineering or Professional Consulting Services	Those services performed by a professional, as defined above, including but not limited to, any: of the following:										
	<table border="1"> <tr> <td>architect;</td> <td>interior designer;</td> </tr> <tr> <td>professional engineer;</td> <td>environmental professional;</td> </tr> <tr> <td>landscape architect and surveyor;</td> <td>construction administrator or;</td> </tr> <tr> <td>accountant;</td> <td>planner or financial specialist;</td> </tr> </table>	architect;	interior designer;	professional engineer;	environmental professional;	landscape architect and surveyor;	construction administrator or;	accountant;	planner or financial specialist;		
architect;	interior designer;										
professional engineer;	environmental professional;										
landscape architect and surveyor;	construction administrator or;										
accountant;	planner or financial specialist;										
	or										
	and "Consultant services" as defined by C.G.S. § 4b-55 to include those professional services rendered by:										
	<table border="1"> <tr> <td>architects;</td> <td>interior designers;</td> </tr> <tr> <td>professional engineers;</td> <td>environmental professionals;</td> </tr> <tr> <td>landscape architects;</td> <td>construction administrators;</td> </tr> <tr> <td>land surveyors;</td> <td>planners;</td> </tr> <tr> <td>accountants;</td> <td>Financial specialists.</td> </tr> </table>	architects;	interior designers;	professional engineers;	environmental professionals;	landscape architects;	construction administrators;	land surveyors;	planners;	accountants;	Financial specialists.
architects;	interior designers;										
professional engineers;	environmental professionals;										
landscape architects;	construction administrators;										
land surveyors;	planners;										
accountants;	Financial specialists.										
	As well as incidental services that members of these professions and those in their employ are authorized to perform.										
Selection	The process by which a determination is made as to which Professional will give the 'best value' (defined below) for a given task.										
Bid	Is a competitively priced offer made by a bidder in response to an Invitation for Bids.										
Bidder	The sole proprietor, partnership, firm, corporation or other business organization submitting a bid in response to an Invitation to Bid.										
Certification	Means a formal assertion in writing to facts.										
Certificate of Acceptance	A document issued by the Owner to the Contractor stating that all Work specified in the Certificate of Acceptance has been completed and accepted by the Owner." This is a legal document determining the start date of the time limitations for adjudication of claims.										
Client Agency	The agency, school, or academy that is taking advice from DPW and availing themselves of DPW services as they are not authorized by law to contract for the Construction of Infrastructure Facilities (C.G.S. § 4b-51) or Architectural/Engineering and Professional Consultant Services (C.G.S. § 4b-55).										
Contract	Is any type of legally binding DPW procurement agreements.										
Contractor	Is any person, firm or corporation having a contract with DPW such as general contractors, design/builders, or Consultants.										
Construction	Is the process of building, altering, repairing, improving, or demolishing any public infrastructure facility, including any public structure, public building,										



	or other public improvements of any kind to real property. It does not include the routine operation, routine repair, or routine maintenance of any existing public infrastructure facility, including structures, buildings, or real property.
Emergency Procurement	The procedure of expediting the award of a contract made necessary by a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services.
Firm	In conjunction with architect-engineer services, means any individual, partnership, corporation, association, or other legal entity permitted by Title 20 of the C.G.S. and the CT Department of Consumer Protection to practice the professions of architecture or engineering.
General Contractor	Means any person, firm or corporation, under direct contract with the Department of Public Works, responsible for performing the Work.
Gift	Means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. Gift shall not include those items exempted by C.G.S. § 1-79, except subdivision (e) (12) of that section.
Invitation to Bid	Is the collection of all of the documents, whether attached or incorporated by reference, utilized for soliciting bids.
Legal Notice	Is the posting of a procurement specification as a publication in a newspaper(s) of general circulation.
Notification of Completion	Normally issued when all work is done and in conjunction with final payment and receipt of waivers and releases.
On-Call Contract	Means a contract for a specific type of architectural-engineering/professional Consultant service with a maximum fee and supplemented by task letter to define the specific assignment scope, fee, and contract time duration.
Pre-Bid Conference	Means a meeting held with prospective Offerers prior to submission of bids, proposals, or offers to review, discuss, and clarify technical considerations, specifications, and standards relative to the proposed procurement.
Proposal	The document putting forth a description of services that could include, but is not limited to, design and construction services, and costs prepared in response to a Request for Proposal.
Public Bid Opening	Is the process of opening and reading bids at the time and place specified in the Invitation for Bids and conducted in the presence of anyone who wishes to attend.
Request For Proposal (RFP)	Contains all of the documents, whether attached or incorporated by reference, utilized for soliciting a proposal. This may include, but is not limited to, description of legal requirements, program requirements, technical requirements, and other Project-related documents to be made available to potential Offerers.
Responsible	The party whether person, firm or other entity that has the capability in all respects to perform fully the contract or agreement requirements, and has the integrity and reliability which will assure good faith performance.
State Employee	Any employee of the State of Connecticut whether in the executive, legislative or judicial branch of State government, whether in the classified or unclassified service and whether full or part-time, and any employee of a quasi-public agency, but shall not include a judge of any court, either elected or appointed.
Task Letter	A Task Letter is a supplement to an On-Call Contract used to specify the specific scope of work, fee, and duration of time for a defined task.



Client Agency	The agency, school, or academy that is taking advice from DPW and availing themselves of DPW services as they are not authorized by law to contract for the Construction of Infrastructure Facilities (C.G.S. § 4b-51) or Architectural/Engineering and Professional Consultant Services (C.G.S. § 4b-55).
Work	All of the construction and services required by a Contract, including all labor, materials, equipment and services provided, or to be provided, by the General Contractor to fulfill the General Contractor's obligations. The Work may constitute the whole or a part of the Project.

END



12.0

Appendices

of

Referenced Documents



12.0 Appendix

AAPU #	1.0 Forms	DPW #	# pages
.01	DPW Supplement to OPM-100	115F	6
.02	Instructions for B - 100 S	115F	7
.03	Request for a Project of less than \$50,000	---	1
.04	Hazardous Material / Abatement Request (with notes)	H 800	2
.05	Asbestos Funding Request (with notes)	H 801	2
.06	Letter to Proceed (sample)	309 F	1
.07	Performance Evaluation of Consultant Services	314 F	2
.08	DAS Pre-qual Form	----	7
.09	A / E Bid Data Statement	---	2
.10	CHRO Requirements	258	1
.11	A / E Consultants Manual (Request as needed) (02-June-08)	605 F	2
.12	Minority Business Enterprises (MBE)	---	1
.13	Trade Services Agreement	---	2

AP #	2.0 Statute	C.G.S.	# pages
.01	Alterations, Repairs of Additions to Real Estate	4b - 51	1
.02	Construction, Repairs, Alterations or Additions to State Premise	4b - 52	3
.03	Supervision and Security of State Property	4b - 11	1
.04	Commissions and Agencies to File Reports	11 - 4a	1
.05	Demolition	29-406	1
.06	Codes Applicable to All Agencies	29-252a	3
.07	Unexpended Bond Funds	3 - 21d	1
.08	Building, Fire and Demolition Codes	Ch 541	1
.09	Non-discrimination and Affirmative Action	4a-60	2
.10	Awards Concerning Minority Business Enterprises (MBE)	4a-61	1



.11	State Properties Review Board (SPRB)	4b-1	1
.12	Contracting for Consultant Services	4b-58	1
.13	Contracting for Design Professional Services (Cover Only)	4b-61	1

AAP #	3.0 Public Act(s)	DPW #	# pages
99-75	An Act Concerning State Building Projects	---	9
01-7	An Act concerning Unexpended Bond Proceeds (14 pgs)(1& 8 only)	---	2
04-141	Prequalification Requirements (Cover Only) (See DAS website)	---	1

AAP #	4.0 Certifications	DPW #	# pages
.01	Certificate of Compliance (non-threshold)	715	1
.02	Certificate of Acceptance	782	1
.03	Letter from Commissioner of Public Safety	---	1
.04	Certificate of Insurance – Requirements for	00090	1
.05	Certificate of Liability Insurance	---	1

AAP #	5.0 Bonds	DPW #	# pages
.01	Bid Bond	---	1
.02	Performance Bond	---	2
.03	Labor and Material Bond	---	2

AAP #	6.0 Supplements	DPW #	# pages
.01	Environmental Requirements, Permits and other Considerations	---	4
.02	General Conditions of the Construction Contract (Contact DPW)	---	---
.03	State Property Review Board Requirements	---	1
.04	DAS Contractor Evaluation (see DAS Website)	---	---
.05	DAS Trade(s) Agreement (see DAS Website)	---	---
.06	Prequalification Requirements (see DAS Website)	---	---

END