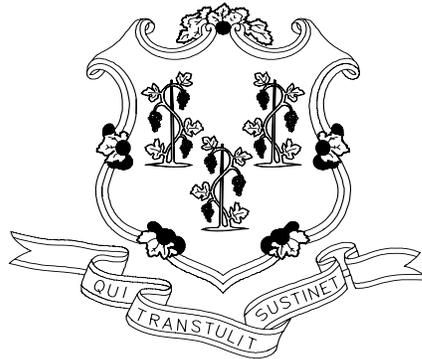




**State of Connecticut • Department of Public Works  
Bureau of Design & Construction • 165 Capitol Ave., Hartford CT 06106**

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# ***Selection and Bidding Procedure Manual***



***February 28, 2005***

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298F	Affidavit - Contract
299F	Affidavit - Contract - No Previous Bid or Proposal
204F	Formal QBS Interview Observer Certification
205F	Affidavit - Non-disclosure
206F	Certification By Agency Official or Employee Authorized to Execute Contracts
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261F	Firm Not Selected Letter
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**1.0**

**GENERAL REQUIREMENTS**

**1.0 GENERAL REQUIREMENTS**

**1.1 OVERVIEW**

**1.1.1 Purpose**

The State of Connecticut Department of Public Works (DPW) has developed the selection and bidding procedures in this Manual to aid DPW and the public in understanding how contracts are awarded on an impartial, equitable and rational basis. The procedures are intended to insure the integrity of all selection and bidding methods and to define the duties and responsibilities of the various participants. In some instances, the procedures may be stricter than the legislation requires. **Deliberate manipulation of contracts to avoid compliance or deviation from these procedures is not allowed.**

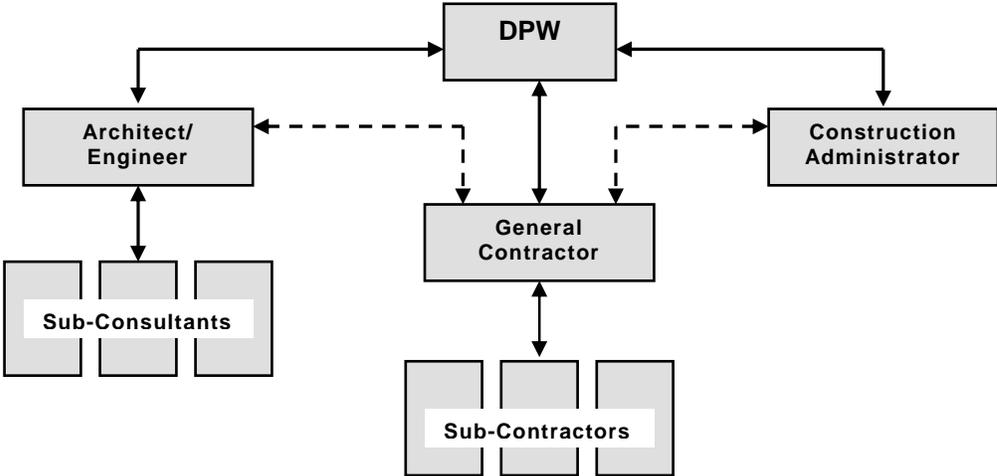
**1.1.2 Project Delivery System Options**

At the Project Development Stage, DPW and the User Agency jointly develop the scope, and budget, and determine the appropriate project delivery system for a specific project. The choice of the appropriate project delivery system is of prime importance because it enables DPW to achieve project goals such as innovation, quality, schedule performance, cost conformance, and sustainability. The following are the DPW project delivery systems options available for the construction of all infrastructure projects:

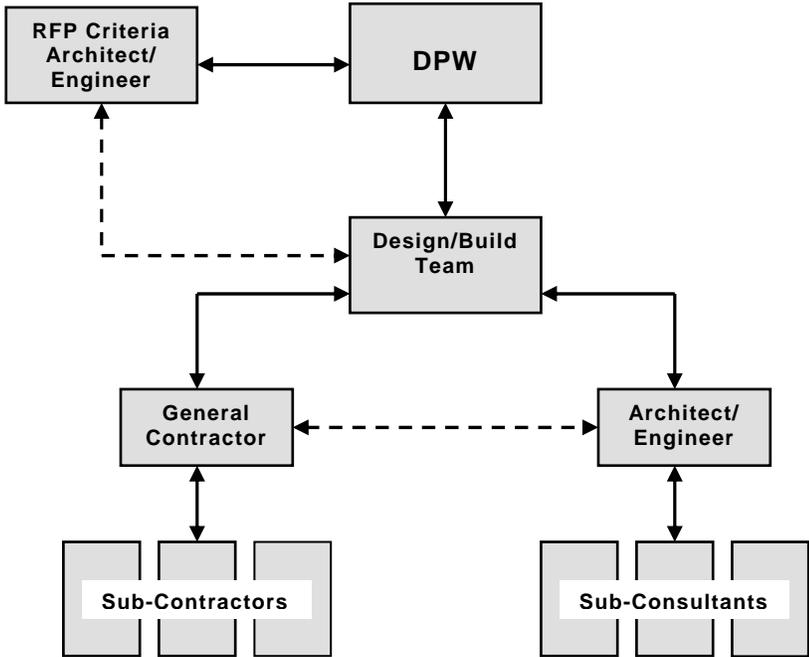
**Design/Bid/Build:**  
 This is the traditional option that is utilized to deliver approximately 90% of all DPW projects.

Architects/engineers and professional consulting services are selected through the applicable **Formal, On-call or Informal Qualification Based Selection** method and a contract is awarded a contract to develop design and construction documents that meet the goals, scope, and budget of DPW. A Construction Administrator can be selected through the same methods to represent the DPW during Construction.

- Based on the completed construction documents, a contractor is selected through the applicable **Formal or Informal Competitive Sealed Bid** method where the responsible general contractor with the lowest qualified bid (cost) is awarded the contract to build the project.



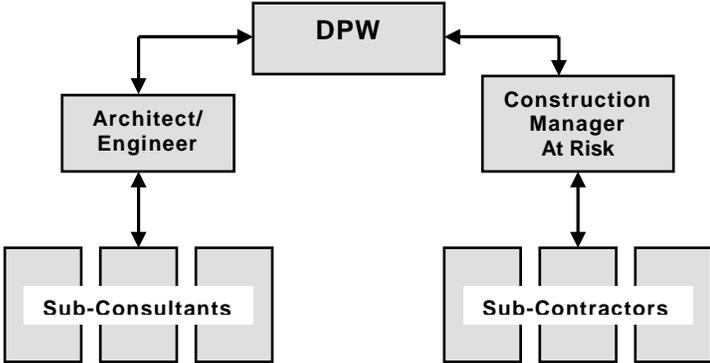
<p><b>Design/Build:</b> This option is utilized to deliver less than approximately 5% of DPW projects and can only be utilized when a project is authorized by the DPW Commissioner and when it meets the following feasibility criteria:</p>
<p><b>Feasibility Criteria:</b></p> <ul style="list-style-type: none"> <li>√ Project has a clearly defined scope, design basis, and performance requirements;</li> <li>√ Project is free from complicated issues such as utility conflicts, right-of-way acquisition, hazardous materials, wetland and environmental concerns, or other such issues;</li> <li>√ Project has room for innovation in the design and construction;</li> <li>√ Project is not an emergency project or project has tight time constraints;</li> <li>√ Project involves a significant design effort and the potential to save cost and time in the design.</li> </ul>
<ul style="list-style-type: none"> <li>• Architects/engineers and professional consulting services are selected through the applicable <b>Formal, On-call or Informal Qualification Based Selection</b> method and are contracted to develop a Request for Proposal (RFP) that contains criteria that meet the design and construction goals, program, and budget of DPW.</li> <li>• A design/build team of contractors and architects/engineers are selected through the applicable <b>Formal Selection</b> method and compete in a <b>Competitive Sealed Proposal Selection</b> based on DPW's RFP.</li> <li>• The final design/build team is selected through the <b>Competitive Sealed Proposal Selection</b> method. The Design/Build team with the "Best Value" proposal is contracted to design and build the building.</li> </ul>



# Selection and Bidding Procedure Manual

**Construction Manager At Risk:**  
 This option is utilized to deliver less than approximately 5% of DPW projects and can only be utilized when a project has been authorized by the State Legislature through special legislation.

- Architects/engineers and professional consulting services are selected through the applicable **Formal, On-call and Informal Qualification Based Selection** method and are awarded a contract to develop design and construction documents that meet the goals, scope, and budget of DPW.
- A construction manager is selected through the applicable **Formal Qualification Based Selection** method and is awarded a contract to provide the professional services of a construction manager and a general contractor.
- The construction manager selects multiple prime contractors with “**Competitive Sealed Bid**” method. The construction management services & construction are provided to DPW on a guaranteed maximum price, fixed price, or other means of defining a contract with lowest qualified bid (cost) is contracted to build the building.



### 1.1.3 Selection and Bidding Methods

Within the various project delivery systems are several different types of selection and bidding methods that can be utilized for soliciting and evaluating Offers, Proposals and Bids for procurement of services and construction for the project.

The following are the Selection and Bidding Methods available for use for the award of all DPW professional service and construction contracts:

**Formal Qualifications Based Selection (CGS §4b-55):**  
 For Architectural/Engineering & Professional Consultant Services

- **Constituent Unit of the State System of Higher Education:** Anticipated Consultant services fee is estimated to exceed \$300,000  
and
- Anticipated construction cost is estimated to exceed \$2,000,000.

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- **All Other User Agencies:** Anticipated consultant service fee is estimated to exceed \$50,000  
and
- Anticipated construction cost is estimated to exceed \$500,000.

# Selection and Bidding Procedure Manual

<b>Informal Qualifications Based Selection:</b> For Architectural/Engineering & Professional Consultant Services
<ul style="list-style-type: none"><li>• <b>Constituent Unit of the State System of Higher Education:</b> Anticipated Consultant services fee is \$300,000 or <u>less</u> <b>and</b></li><li>• Anticipated construction cost is \$2,000,000 or <u>less</u>.</li></ul>
<ul style="list-style-type: none"><li>• <b>All Other User Agencies:</b> Anticipated consultant service fee is \$50,000 or <u>less</u> <b>and</b></li><li>• Anticipated construction cost is \$500,000 or <u>less</u>.</li></ul>

<b>On-Call Qualifications Based Selection:</b> For Architectural/Engineering & Professional Consultant Services
<ul style="list-style-type: none"><li>• <b>Constituent Unit of the State System of Higher Education:</b> Anticipated Consultant services fee is \$300,000 or <u>less</u> <b>and</b></li><li>• Anticipated construction cost is \$2,000,000 or <u>less</u>.</li></ul>
<ul style="list-style-type: none"><li>• <b>All Other User Agencies:</b> Anticipated consultant service fee is \$50,000 or <u>less</u> <b>and</b></li><li>• Anticipated construction cost is \$500,000 or <u>less</u>.</li></ul>

<b>Formal Competitive Sealed Bidding - CGS §4b-91 through 4b-95:</b> (For Lowest Responsible and Qualified Bidder Determination)
<ul style="list-style-type: none"><li>• Anticipated construction is estimated to cost more than \$500,000.</li></ul>

<b>Informal Competitive Sealed Bidding Method - CGS §4b-91 through 4b-95:</b> (For Lowest Responsible and Qualified Bidder Determination)
<ul style="list-style-type: none"><li>• Anticipated construction is estimated to cost more \$500,000 or less.</li></ul>

<b>Competitive Sealed Proposal Selection - CGS § 4b-24:</b> (For Design/Build Best Value Determination)
<ul style="list-style-type: none"><li>• Anticipated construction is estimated to cost more than \$500,000.</li></ul>

<b>Special Legislation Procurement - CGS §4b-91 and 4b-58:</b> (For projects authorized by the State Legislature through special legislation.)
<ul style="list-style-type: none"><li>• No limits.</li></ul>

<b>Emergency Condition - CGS §4b-52(c):</b> (For specific, designated projects)
<ul style="list-style-type: none"><li>• Anticipated Project Costs Exceed \$500,000 then Governor's written consent is required.</li><li>• Anticipated Project Costs less than \$500,000 then DPW Commissioner's written consent is required.</li></ul>

# Selection and Bidding Procedure Manual

## 1.2 CONTRACTOR AFFIDAVITS

### 1.2.1 State of Connecticut, Department of Public Works (CT DPW) – Affidavits for Contractors

Various affidavits are required by DPW Policy, statutes, and Governor Rell’s Executive Order No. 1 (7-1-04) and instructions of 4/7/05. These affidavits require the disclosure of certain gifts, campaign contributions, and consulting agreements in the following:

Situations Requiring Specific Types of
Contractors Pursuing a Contract;
Contractors Awarded a Contract;
Selection Panel Members Participating the Selection Process
Consulting Agreement Affidavit

All Affidavits are posted the on the CT DPW web site:

<http://www.ct.gov/dpw/site/default.asp>

Types of CT DPW Gift/Campaign Contribution Certification Disclosure Affidavits	Affidavit Submittal Requirements
<b>Bid / Proposal Affidavit</b> Gift / Campaign Contribution Affidavit <a href="#">Affidavit - Bid / Proposal (296F)</a>	A Contractor who anticipates the contract value, for the specific project, will be \$500,000 or more, must submit this type of affidavit with their Offer, Bid or Proposal.
<b>Bid/Proposal Affidavit</b> <b>Consulting Agreement Affidavit</b> <a href="#">Affidavit – Consulting Agreement (294F)</a>	A contractor who anticipates the contract value, for the specific project, will be more than \$50,000, must submit this type of agreement with their bid or Proposal. <b>Note:</b> The dollar threshold for triggering the Consulting Agreement Affidavit is different than other types of affidavits.
<b>Contract Affidavit</b> Gift/Campaign Contribution Affidavit <a href="#">Affidavit - Contract (298F)</a>	A Contractor who anticipates the contract value, for the specific project, will be \$500,000 or more, must execute this type of Affidavit at the time the contract is executed.
<b>Contract Affidavit – No Previous Bid or Proposal</b> Gift/Campaign Contribution Affidavit to Accompany Large State Contracts <a href="#">Affidavit - Contract No Previous Bid or Proposal (299F),</a>	If a contract by amendment, commission letter or change order obtains a value of \$500,000 or more, and no prior Affidavit - Bid/Proposal was submitted for this contract the contractor shall immediately submit an Affidavit – Contract No Previous Bid or Proposal.
<b>Annual Contract Affidavit</b> Annual Contract Affidavit to Update the Gift/Campaign Contribution Affidavit that Accompanies Large State Contracts <a href="#">Affidavit - Annual Contract (297F)</a>	A contractor who is awarded a large state contract with a value \$500,000 or more in a calendar or fiscal year shall update the affidavit on an annual basis.

**NOTE:**  
 - All Contractors must add the CT DPW Project Number (Example: BI-AA-111) and CT DPW Contract Number (Example: BI-AA-111- A) in the Upper right hand corner of each individual affidavit form and must attach the required certificates of authority.

## 1.2.2 State of Connecticut Department of Public Works (CT DPW) – Non-disclosure Affidavit

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Offerors pursuing a contract with CT DPW must submit a CT DPW - Non-disclosure Affidavit with their initial submittal of any offer, bid or proposal. [Non-disclosure Affidavit \(205F\)](#)

NOTE:

Each CT DPW Non-disclosure Affidavit must be accompanied by a DPW Certificate of Authority.

## 1.2.3 Notification of Compliance Requirements for Affidavits

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A Legal Notice shall alert all potential Contractors of the submittal requirements for all Types of Affidavits.

All advertisements will include the following language:

1. *"If the value of the contract is expected to exceed \$500,000.00, a Bid / Proposal Affidavit shall be submitted with your bid or proposal. An affidavit may be submitted regardless of the expected contract value. Please see GCS Subsection 4-25(d) in making your decision."*
2. *"If the value of the contract is expected to exceed \$50,000.00, a consulting Agreement Affidavit shall be submitted with your bid or proposal. An affidavit may be submitted regardless of the expected contract value."*

NOTE:

Failure of a Contractor to complete and submit any and all required Affidavits, along with all of the other required documents, by the deadline in the Legal Notice or Advertisement shall be grounds for a Non-responsive determination.

## 1.2.4 Questions Concerning Affidavits and Fair talk

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Questions concerning the affidavits can be directed to the DPW Legal Services Division.

**1.3 STATE AGENCY OFFICIAL OR EMPLOYEE CERTIFICATION**

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**1.3.1 State of Connecticut Department of Public Works (CT DPW) –  
Certification By Agency Official or Employee Authorized to Execute Contracts**

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State statutes requires that a CT DPW - Certification By Agency Official or Employee Authorized to Execute Contracts must be signed by the state agency official or employee who is authorized to execute the Contract if the specific contract exceeds \$500,000.

**The State Agency Official or Employee Certification states:**

<b>“To the best of my knowledge, the selection of the most qualified firm was not the result of any of the following:”</b>
Collusion;
Giving of a gift or the promise of a gift;
Compensation;
Fraud;
Inappropriate influence or undue pressure from any person.

[Certification By Agency Official or Employee Authorized to Execute Contracts \(206F\)](#)

**1.3.2 Selection Panel Member Certification Language**

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Selection Panel members and all Agency Observers shall also complete a Certification.

Both Certifications include the language below, to be followed by the signature of the Panel member or Agency Representative Observer(s).

I certify that I have not communicated information with any contractor prior to the advertisement of CT DPW Project No. \_\_\_\_\_ and will not communicate information through notification of the final selection that is not available to the general public and which would result in a contractor receiving information that is not available to other contractors. I further certify that my rating of the person, firm or corporation of the aforementioned state contract was not the result of collusion, the giving of a gift, or the promise of a gift, compensation, fraud, or inappropriate influence from any person.

**1.4 COMMUNICATIONS AND CODE OF CONDUCT**

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**1.4.1 No Conflicts of Interest**

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All individuals selected to serve on a selection panel or review bids shall evaluate their relationship with the Bidders or Proposing Firms and ensure that they have no potential conflict of interests.

<b>Conflicts of Interest Include:</b>	
<b>1.</b>	a financial interest in a company that will be submitting a proposal or is being interviewed or is bidding on a contract;
<b>2.</b>	a financial interest in a company that is part of a team submitting a proposal or a company that is a sub consultant or subcontractor for the project;
<b>3.</b>	a close family member or fiancé or fiancée who has a financial interest in a company that is submitting a proposal or bid,
<b>or</b>	
<b>4.</b>	having a financial interest in a company that is part of a team that is trying to obtain a contract, or is a subcontractor or sub consultant for a contract that is being sought.

See section 1.4.7 for the procedure should an individual believe that there is or could be a conflict of interest

**1.4.2 No Gifts**

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Individuals who participated directly, extensively and substantially in a selection or bid process shall not accept any gift, including, but not limited to, favors and services from a person or firm seeking to do business with DPW.

**1.4.3 No Influence**

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There shall be no actions taken by any officials or individuals, either within or outside CT DPW, to attempt to influence the impartial and independent actions of a Selection Panel. If this does occur or a CT DPW employee learns of such an impropriety, the employee is directed to contact CT DPW's Integrity Officer.

**1.4.4 Fair talk (a/k/a "No Talk")**

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All participants in any selection or bidding process, including user agency representative(s), shall not communicate with any potential Offeror prior to, during or upon conclusion of the entire Selection or Bidding process, with the exception of information necessary to complete the selection process.

During the submittal period and throughout the entire selection or bidding process, all inquiries on a particular project or contract bidding and selection process should be referred to the DPW Selection Unit or, for questions concerning competitive sealed bidding, to the DPW Procurement Supervisor.

### **1.4.5 Questions and Answers or Addenda**

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Requests from potential Offerors for more information than is contained in the RFQ Advertisement should be submitted in writing to the DPW Project Manager. The request must be received at least five (5) business days prior to the advertised response deadline.

All questions, answers, and/or addenda, as applicable, will be posted on the DPW web site, faxed, and/or e-mailed to all Offerors. Questions may be deferred to the pre-interview or pre-bid conference, if applicable.

### **1.4.6 Notification and Debriefing with Unsuccessful Offerors**

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Offerors inquiring as to their status will be directed to wait for formal notification via letter from DPW. This notification will identify who to contact for follow-up. Designated DPW managers or an authorized designee are exclusively responsible for discussing any aspect of a Selection or Bidding process with an interested Offeror after a Selection or Bidding process is concluded, including conducting a debriefing with Offerors who were not successful.

### **1.4.7 Recusal Option**

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If a conflict of interest could arise by a state official's or employee's participation on a selection panel or in the bidding process, such official and employee shall recuse him or herself from the panel. Conflicts of interests include, but are not limited to, those conflicts identified in 1.4.1. "Financial interests" include, but is not limited to, the receipt or promise of gifts, favors, services or anything of monetary value from such company or person acting on behalf of such company.

A state official or employee who believes a conflict of interest may exist should immediately consult with DPW's Integrity Officer. To avoid tainting the selection process, the state official or employee shall not tell any others about the possible conflict of interest unless directed to do so by the Integrity Officer.

**2.0**

**SELECTION AND BIDDING METHODS**

**2.1 FORMAL SELECTION:  
For Architectural/Engineering And Professional Consultant Services**

**2.1.0 Selection Procedure Flow Chart**



# Selection and Bidding Procedure Manual

## 2.1.1 Preparing the RFQ Advertisement and Legal Notice

The DPW Project Manager (PM) shall conduct a formal RFQ Meeting with the User Agency to review project scope, cost, schedule, etc., to extract critical project specific information for the preparation of the Request for Qualifications Advertisement and Legal Notice as follows:

<b>RFQ Meeting Agenda</b>	
	<ul style="list-style-type: none"> <li>Extract critical project-specific information applicable to this Request for Qualifications.</li> </ul>
	<ul style="list-style-type: none"> <li>Make any adjustments to default rating points for the screening criteria or the interview criteria within the allowable point range (see the Screening and Interview Point Tables below).</li> </ul>
	<ul style="list-style-type: none"> <li>According to what is allowed by statute, the Head of User Agency shall designate representative(s) to serve on the Screening and Interview Panels. The Agency may also designate up to two (2) Agency Observers for the Interview. Such observers must be present for the entirety of all Interviews and cannot vote. However the Observers(s) cannot participate in the Q &amp; A following the presentations or any discussion by the selection panel concerning the interviews and must fill out a Formal QBS Interview Observers Certification. <a href="#">Formal QBS Interview Observer Certification (204F)</a></li> </ul>

<b>PM Preparation Steps for RFQ Advertisement and Legal Notice</b>	
Step 1	Complete RFQ Advertisement <a href="#">Formal RFQ WEB Advertisement (207F)</a>
Step 2	Complete RFQ Legal Notice <a href="#">Formal RFQ Legal Notice (See 208F)</a>
Step 3	Submit the completed RFQ Advertisement and RFQ Legal Notice to their Supervising Project Manager (SPM) for review and approval.
Step 4	Complete RFQ Transmittal <a href="#">Formal RFQ Transmittal (209F)</a>
Step 5	Upon approval by the SPM, the PM shall transmit these documents to the Selection Unit.

The Selection Unit will verify that the content of the RFQ Advertisement and RFQ Legal Notice conform to the minimum content requirements.

### Screening Criteria Point Table:

Criteria Number	Screening Criteria Categories	Default Rating Points	Allowable Point Range
1	Firm's Experience with Projects of Similar Size and Scope to this Project	35	35-45
2	Firm's Organizational / Team Structure	30	25-35
3	Firm's Past Performance Record	20	NA
4	Firm's Partnering Experience	15	10-20
<b>Maximum Points Per Screening Panel Member</b>		<b>100</b>	<b>100</b>

# Selection and Bidding Procedure Manual

### EXAMPLE 1: Screening Criteria Categories Grade Point Value Calculations

Criteria Number	Screening Criteria Categories (Default Rating Points)	Grade Point Values			
		A = 100%	B = 80%	C = 60%	F = 0%
1	Firm's Experience with Projects of Similar Size and Scope to this Project	35	28	21	0
2	Firm's Organizational / Team Structure For This Project	30	24	18	0
3	Firm's Past Performance Record	20	16	12	0
4	Firm's Partnering Experience	15	12	9	0

### Interview Criteria Point Table:

Criteria Number	Interview Criteria Categories	Default Rating Points	Allowable Point Range
1	Firm's Problem Solving Capabilities	30	25-35
2	Firm's Organizational / Team Structure for this Project	25	20-30
3	Firm's Past Performance Record	20	NA
4	Firm's Approach to this Project	15	10-20
5	Firm's Project Oversight Capabilities	10	5-15
<b>Maximum Points Per Interview Panel Member</b>		<b>100</b>	<b>100</b>

### EXAMPLE 2: Interview Criteria Categories Grade Point Value Calculations

Criteria Number	Interview Criteria Categories (Default Rating Points)	Grade Point Values			
		A = 100%	B = 80%	C = 60%	F = 0%
1	Firm's Problem Solving Capabilities	30	24	18	0
2	Firm's Organizational / Team Structure for this Project	25	20	15	0
3	Firm's Past Performance Record	20	16	12	0
4	Firm's Approach to This Project	15	12	9	0
5	Firm's Project Oversight Capabilities	10	8	6	0

NOTE:  
Adjustment of the Default Rating Point Weight for the Past Performance Criteria is not applicable to either the Screening or Interview Criteria Categories.

**2.1.2 Publication: Legal Notice (Newspaper)**

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<b>State Statutes Legal Notice Requirements</b>
<ul style="list-style-type: none"> <li>• Publication in one (1) newspaper having a circulation in each county of the state.</li> <li style="text-align: center;"><b>and</b></li> <li>• Publication at least two (2) weeks prior to the deadline for submitting the Formal QBS Booklets.</li> </ul>

[Formal RFQ Advertising Publication Standard \(210G\)](#)

The Legal Notice will include the advisement that all Formal QBS Booklets must be submitted at the designated location and the deadline for submitting an offer. Any QBS Booklets received after the scheduled deadline shall be deemed non-responsive for this contract and shall be returned to the Firm unopened.

**2.1.3 Posting: RFQ Advertisements Web Sites**

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In accordance with the Governor’s Executive Order No. 3 (12-15-04), the RFQ Advertisement shall be posted on the Department of Administrative Services (DAS) "State Contracting Portal" website. The DAS website shall act as the single electronic portal for purposes of posting all contracting opportunities with state agencies in the executive branch and all higher education agencies and institutions. The RFQ Advertisement also shall be posted on the DPW web site and shall be sent to various trade and professional associations, which may post it on their respective web sites. The RFQ Advertisement shall contain more detailed project information than the legal notice and shall provide interested parties with a link to the legal submittal requirements and instructions to obtain the requisite forms, including the affidavit forms.

<b>Advertisement Web Sites</b>	
<b>CT DAS Web Site:</b> (State Contracting Portal)	<a href="http://www.das.state.ct.us/busopp.asp">http://www.das.state.ct.us/busopp.asp</a>
<b>CT DPW Web Site:</b>	<a href="http://www.ct.gov/dpw">http://www.ct.gov/dpw</a>

**2.1.4 Formal QBS Submittal Requirements**

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Interested Firms shall send their Formal QBS Booklets to the DPW Selection Unit as specified in the Web Advertisement and Formal QBS Submittal Requirements. All submittals shall include, but not be limited to, the following:

<b>Types of Formal QBS Submittal Requirements</b>	
<u><a href="#">Formal QBS Submittal Requirements (215L)</a></u>	
Table of Contents	Affidavits
Letter of Interest	Insurance Requirements
Formal QBS Email Registration	SF 330 Part I - CT DPW
Professional & Business Qualifications	SF 330 Part II - CT DPW

Each Firm must comply with all submittal requirements, as described in the Legal Notice and Advertisement along with the completed content checklist from the Formal QBS Submittal Requirements for verification. All submittals will be tracked and stored in a central location at DPW.

**2.1.5 Review of the Formal QBS Booklets for Compliance: Grounds for a Non-Responsive Designation**

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All Formal QBS Booklets shall be reviewed by the Selection Unit staff for compliance with of the Advertisement and Formal QBS Submittal Requirements. All Formal QBS Booklets must be submitted at the designated location by the deadline. Any Formal QBS Booklets received after the scheduled closing time will be returned to the Firm unopened. There will be **no exceptions**. A copy of this transmittal will be filed.

Firms who fail to submit the Formal QBS Booklets with all of required information or do not submit this information in the specified format at the designated location by the deadline will be deemed Non-Responsive for this project. Such Firms will be notified of this in writing. [Non Responsive Letter \(223F\)](#)

Submittals can be found non-responsive at any point during the selection process.

**2.1.6 Grounds for Ineligibility Determination**

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A Firm may be deemed ineligible for a specific project at any point during the selection process. The reasons include, but are not limited to, the following.

<b>Grounds for Ineligibility</b>
Firms are currently allowed to hold no more than two (2) formal Contracts with DPW. (Not applicable to currently held On-call and Informal Contracts)
Firm is not properly licensed in the State
Firm is not properly insured
Firm has been disqualified

Firms deemed ineligible will be notified in writing. [Ineligibility Determination Letter \(221F\)](#)

**2.1.7 Assignment to Serve as Screening and Interview Panel Members**

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All submittals shall be evaluated according to the DPW Qualification Based Selection (QBS) process and procedures. A screening panel will review properly submitted Formal QBS Booklets and establish a list of firms to be interviewed by a separate interview panel. For each project, the DPW Commissioner shall designate a Screening Panel and a separate Interview Panel of five (5) voting members. [QBS Panel Member Email Notification \(250F\)](#)

Each Panel will consist of five (5) persons as follows:

- **DPW:** Four (4) current or retired employees shall be randomly assigned to serve on each Panel from a pool of technically qualified persons that have been appointed by the DPW Commissioner. The same DPW persons will not serve on both the Screening and Interview Panel for a specific project.
- **User Agencies:** One (1) user agency representative appointed by the user agency head shall serve only for deliberations involving the specific project. The user agency representative can serve on both the screening and interview panels if the user agency desires.

# Selection and Bidding Procedure Manual

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- **Constituent Unit of the State System of Higher Education:** For Connecticut Health and Education Facilities Authority (CHEFA) projects, both panels shall consist of five (5) persons each: three (3) DPW current employees and two (2) user agency representatives appointed by the agency head of the User Agency.

The DPW Commissioner shall designate one member of the screening panel to serve as the Chair. For the interview panel, the DPW Project Manager will serve as the voting Chair. DPW may also provide technical experts approved by the Chief Architect or Chief Engineer that can serve as a resource to panel members.

## 2.1.8 Screening Panel Meeting: Screening Panel Members Responsibilities

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**Mandatory Screening Panel Meeting:** There will be a mandatory screening panel meeting for all screening panel members that will be coordinated and facilitated by the DPW Project Manager.

NOTES:

1. The Project Manager will only serve as a facilitator for Task #1 of the screening panel meeting, but is not a voting member.
2. The Project Manager must leave the screening panel meeting at the conclusion of Task # 1.

**Screening Panel Tasks:** At this mandatory meeting the screening panel members shall have the responsibility to accomplish the following tasks:

<b>Task No. 1 – Screening Panel Members Receive Overview of the following:</b>
Project Specific Information, (Overview by the Project Manager and User Agency Representative);
Any Unique Or Technical Issues (Overview by the Project Manager and/or Applicable Expert)
Screening Rating Guidelines <a href="#"><i>Formal QBS Screening Rating Guidelines (251G)</i></a> (Overview by a Process Management Unit staff)

<b>Task No. 2 - Screening Panel Members Review the following Screening Documents</b>
Formal QBS Booklets;
RFQ - Legal Notice;
RFQ - Advertisement;
Firms Past Performance Evaluation Folder (Past Performance Evaluations for each Firm);
Screening Rating Sheet <a href="#"><i>Formal QBS Screening Rating Sheet (251F)</i></a>

NOTES:

1. The Selection Unit Staff Member must leave the screening panel meeting after delivering the **Screening Documents** and must not be present during Task # 2.
2. None of the above screening documents shall be allowed to be removed from DPW for review at any time prior to or during the Screening Stage.

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Task No. 3 – Evaluate/Rate All Submittals
Screening Panels Members shall utilize the Screening Rating Guidelines and the Screening Rating Sheet to rate the following Screening Criteria for all submittals: <a href="#">Formal QBS Screening Rating Guidelines (251G)</a> <a href="#">Formal QBS Screening Rating Sheet (251F)</a>
Screening Criteria Categories
Firm’s Experience with Projects of Similar Size and Scope to this Project
Firm’s Organizational / Team Structure For This Project
Firm’s Past Performance Record
Firm’s Partnering Experience

- NOTES:
1. Panel members must rate the submittal qualifications of each individual firm against the screening guideline rating criteria (point values modified as applicable).
  2. Panel members must not rate individual submittal qualifications in comparison to each other.

The Screening Panel Chair shall collect all Screening Rating Sheets for computation by the Selection Unit.

## 2.1.9 Computing Final Screening Scores and Parity Points

**Computations:**

- A member of the Selection Unit staff shall compute the final scores of each Firm.
- Another member of the Selection Unit staff, not involved in the original screening computation, shall independently check the original screening computation for accuracy and the completed work sheet shall be signed by both Selection Unit staff members.  
[Formal QBS Screening Rating Calculation Sheet \(253F\)](#)

**Parity Points:**

- In an effort to open the process and increase competition, “Parity Points” shall be automatically awarded to any Firm who has not been selected to work with DPW in the last five (5) years. The Firm shall receive twenty- five (25) parity points added to the sum total of their final calculated Screening Rating Point score. This is a 5% increase in the sum total Screening Point Total.

## 2.1.10 Notification to All Firms

**Summary of Results and Approval:** Prior to notification to all Firms, the Selection Unit will prepare a list for the commissioner of firms the Screening Panel recommends for interview (“shortlist”). No fewer than four (4) firms will be recommended for interview unless the recommendation is accompanied by a written justification from the Supervisor of the Selection Unit, and approved, in writing, by the Commissioner. The shortlist must be reviewed by the DPW Deputy Commissioner of the Bureau of Design & Construction and approved by the DPW Commissioner.

**Notification to Short-Listed Firm’s:** The Selection Process Unit shall send an Invitation to Interview by mail, fax or e-mail containing the following: [Short-listed Invitation to Interview Letter \(222F\)](#)

Notification Information
Invitation to Interview
Interview Location, Date, & Time
Interview Format
Site Visit - Location, Date, & Time; (If Applicable)

# Selection and Bidding Procedure Manual

Review Location and List of other Relevant Project Reference Documents ( If Applicable)

- NOTES:
1. The DPW Project Manager will have a set of the other “Relevant Project Reference Documents” available at DPW for the short-listed Firms to review at DPW anytime prior to the interview.
  2. Questions and answers should be handled pursuant to the direction provided in Section 1.4.5.

**Notification to Other Firms:** The Selection Process Unit shall send letters of regret by mail, fax or email containing the following information as applicable:

- Non-responsive Notification shall contain reason(s) explaining why they were deemed non-responsive for this project. [Non-Responsive Letter \(223F\)](#)
- Not Shortlisted Notification shall indicate that they were not short-listed and offer an opportunity to debrief once the final contract is signed. [Short-listed Letter – Regrets \(224F\)](#)

### 2.1.11 Preparation of Past Performance Evaluation Folders for Interview

The DPW Project Manager is responsible for acquiring information on the past performance of each short-listed Firm as follows:

PM Past Performance Evaluation Tasks	
<b>Step 1:</b>	Review of the DPW past performance evaluations of all Firms. <ul style="list-style-type: none"> <li>• If past performance evaluations are available for all Firms then end with Step 1. Step 2 is then optional.</li> <li>• If past performance evaluations are not available for <u>all</u> Firms then proceed to Step 2.</li> </ul>
<b>Step 2</b>	Check two (2) phone references for each short-listed Firms <ul style="list-style-type: none"> <li>• The focus will be on obtaining feedback on a limited list of critical indicators of A/E performance using a structured telephone interview process. Records of the phone interviews shall be placed in the Firm’s Past Performance Evaluation Folder. <a href="#">Phone Reference Documentation (230F)</a></li> </ul>

- Notes:
1. The DPW Project Manager shall verify that all of the above evaluations and phone reference forms are in the Firm’s Past Performance Evaluation Folders. (Process Management Unit Files).
  2. **Do** make use of any applicable phone reference information previously collected for this firm.
  3. **Do not** call any phone reference in the Firm’s Past Performance Evaluation Folders that previously has been called for a project of similar size and scope.
  4. The Selection Unit Staff shall deliver the Past Performance Evaluation Folders prior to the mandatory interview panel meeting for review by the interview panel members.

**2.1.12 Interview Preparation: Panel Member Responsibilities**

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**Site Conference/Site Tour** (If Applicable to Specific Project):

<b>Attendance for Site Conference/Site Tour</b>
Attendance is Mandatory for Short-listed Firms
Attendance is Mandatory for DPW Project Manager & User Agency Representative
Attendance is Optional for Interview Panel Members

**Document Review:** All Interview Panel Members shall review the following materials for each Shortlisted Firm, at DPW, prior to the Interview:

<b>Interview Panel Member Document Review</b>
Original QBS Booklets
RFQ Legal Notice and RFQ Advertisement
Shortlisted Firms Past Performance Evaluation Folders

**2.1.13 Interview Panel Responsibilities: Day of The Interview**

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1. **Mandatory Pre-Interview Panel Meeting:** On the morning of the day of the scheduled Interviews and prior to the interview there will be a one (1) hour mandatory meeting of the Interview Panel. The Project Manager for the specific project shall facilitate the Pre-Interview Panel Meeting with assistance from the Process Management Unit to review the following Meeting Agenda items. The DPW PM shall also Chair the Interviews and lead all deliberations in accordance with the Chair Interview Guidelines. [Formal QBS Chair Interview Guidelines \(257G\)](#)

<b>Pre-Interview Panel Meeting Agenda</b>	
<b>Interview Protocols:</b>	The Process Management Unit shall provide brief training on how to conduct the interview, clarifying the format and the roles of attendees, as well as how to apply the Interview Rating Sheet Guidelines to objectively evaluate each firm. <a href="#">Formal QBS Interview Sequence Schedule (249G)</a> and <a href="#">Formal QBS Interview Rating Sheet (254F)</a> and <a href="#">Formal QBS Interview Sign-in Sheets (255F)</a>
<b>Project Overview:</b>	The Chair/Project Manager and User Agency Representative shall present any unique project specific issues to the panel members.
<b>Past Performance:</b>	The Chair/Project Manager shall briefly review the past performance of each firm to be interviewed, determined through review of the initial RFQ submittal, phone references from previous clients, and completed DPW evaluations.

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Notes:

1. Firms that change proposed subconsultant(s) named in their SF 330 – CT DPW prior to the date of their interview shall be deemed non-responsive and shall not be interviewed.
2. Firms that change proposed key personnel named in SF 330 – CT DPW prior to their interview must notify the Interview Panel members prior to the start of their interview and provide resume(s) for the Key person(s) of the firm or they shall be deemed non-responsive and shall not be interviewed.

2. **Interview Presentation:** The Firm will be given thirty (30) minutes to demonstrate that they possess the highest qualifications in relation to the scope and needs of this specific contract and project based on the following Interview Criteria Categories:

Interview Criteria Categories
Firm's Problem Solving Capabilities
Firm's Organizational / Team Structure for this Project
Firm's Past Performance Record
Firm's Approach to this Project
Firm's Project Oversight Capabilities

3. **During Each Interview:** Each panel member shall take notes on the presentation on the Interview Rating Sheet for the purposes of evaluating the presentation in relationship to the five Interview Criteria Categories.
4. **Questions & Answer Period:** Immediately following the Presentation, there will be fifteen (15) minutes of Questions and Answers (Q&A) allotted for follow up questions by the Interview Panel Members. The Firm's presentation and responses to the follow-up questions shall be evaluated and rated by the Interview Panel Members in accordance with the Interview Rating Standards.
5. **End of the Interview:** At the conclusion of the Q&A period, the Firm shall exit the interview room. After the Firm has exited the Interview, a brief discussion of the Interview Panel Members shall take place solely to discuss any question or answer that was confusing or not understood. Each panel member shall then individually note their rating of the firm on each of the five criteria on the Interview Rating Sheet, sign it form and give it to the Chair at the end of the interview.

NOTE:

Panel members must rate the presentation, qualifications, and follow-up Q & A's of each individual Firm against the screening guideline rating criteria (point values modified as applicable) rather than compared to the Presentation performance of other firms

6. **Conclusion of Each Individual Interview:** The Chair will record the grades on the Chair Interview Work Sheet and scan the grades to determine whether any panel member grades are within two (2) grades (example: A and C grades) of each other for a selection criteria category or if there were any responses deemed "Unacceptable/Not responsive" for any of the selection criteria category. The purpose of this scan is to look for any significant inconsistency in the ratings by the various panel members. [Formal QBS Chair Interview Work Sheet \(257F\)](#)

## Selection and Bidding Procedure Manual

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7. **Chair Ratings Scan:** If panel members are within one grade of each other, and there are no ratings of “F”, or “Unacceptable,” and there are no questions concerning the interview, then this interview evaluation is concluded and the next Interview Presentation shall begin.
8. **Rating Discrepancy:** If there is a discrepancy (if panelists are not within one grade of each other), the Chair will open a panel discussion. The purpose of this discussion is to enable the interview panel members to discuss all aspects of the Firm’s presentation and qualifications and to share information and justification for opinions. It is also to ensure there is a common understanding of questions and responses. The panel members may discuss any part of the presentation that was confusing or not understood.
9. **Discrepancy Resolutions:** As a result of this discussion, three things can occur:

<b>Discrepancy Resolutions:</b>	
1	It is possible a panel member may see justification for revising a grade based on the discussion. If so, the grade can be revised on the panel member’s Interview Rating Sheet and initialed, and revised on the Chair Interview Work Sheet. The panel member must document the reason for the change on their Interview Rating Sheet.
<b>or</b>	
2	A panel member may still choose not to change his or her grade. Then their original Grade shall remain. <i>(If a panel member has had a prior experience with the firm and as a result does not change his or her opinion regardless of the present information, this should be so noted in his or her comments).</i>
<b>and/or</b>	
3	Based on this discussion, other panel members may also chose to revise their scores, supplying a written justification for the change and initialing this Grade change on their Interview Rating Sheet.

**Note:**  
An authorized observer approved by the DPW Commissioner may monitor the Interview process.

10. **Conclusion of All Interviews and Panel Discussion Periods:** The Interview Panel is dismissed and the Chair delivers all Formal QBS Interview Rating Sheets, the Chair Interview Work Sheet and one (1) copy of each Firm’s Presentation Handout(s) to the Selection Unit. [Formal QBS Interview Rating Sheet \(254F\)](#) and [Formal QBS Chair Interview Work Sheet \(257F\)](#)

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## 2.1.14 Preparation of Recommendation for Selection

Step	Task
<b>Step 1</b>	
A	At the conclusion of the Interviews the Selection Process Supervisor shall receive all of the completed Formal QBS Interview Rating Sheets, the Chair Interview Worksheet, and one (1) copy of each Firms Interview Presentation Handout(s) from the DPW Project Manager/Chair. <a href="#">Formal QBS Interview Rating Sheet (254F)</a> and <a href="#">Formal QBS Chair Interview Worksheet (257F)</a>
B	DPW Project Manager/Chair shall also deliver copies of all Selection Process associated documents to the Selection Unit for their Records, including, but not limited to the following: <ul style="list-style-type: none"> <li>• Site Visit Agenda &amp; Sign-in sheet;</li> <li>• Interview Panel Substitution forms;</li> <li>• Firm Phone Reference Documentation Interview Sign-in sheets;</li> <li>• Any other documentation relevant to the Selection Process.</li> </ul>

Step (Continued)	Task (Continued)										
<b>Step 2</b>											
A	The Selection Unit shall enter each Grade (A or B or C or F) for each Interview Criteria Categories, for each Firm, from each panel member Interview Rating Sheet, into the Interview Rating Calculation Spreadsheet. <a href="#">Formal QBS Interview Rating Calculation Sheet (See 258F)</a>										
B	Compute the Interview Grade Point Values for each Firm.										
C	Compute 90% of each Firm's Interview Grade Points = Total Interview Grade Points.										
D	Compute 10% of each Firm's Screening Grade Points = Total Screening Grade Points										
E	Compute: <table style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <tr> <td style="padding-right: 20px;">Each Firm's Total Interview Grade Points</td> <td style="text-align: right;">+</td> <td style="padding-right: 20px;">Each Firm's Total Screening Grade Points</td> <td style="text-align: right;">=</td> <td style="padding-left: 20px;">Each Firm's final Total Selection Grade Points</td> </tr> <tr> <td colspan="5" style="text-align: center; border-top: 1px solid black;"> </td> </tr> </table>	Each Firm's Total Interview Grade Points	+	Each Firm's Total Screening Grade Points	=	Each Firm's final Total Selection Grade Points					
Each Firm's Total Interview Grade Points	+	Each Firm's Total Screening Grade Points	=	Each Firm's final Total Selection Grade Points							
<b>Step 3</b>											
A	A member Selection Unit staff shall compute the final scores of each Firm.										
B	Another member Selection Unit staff, not involved in the original screening computation, shall independently check the original screening computation for accuracy.										
C	The completed work sheet shall be signed by both Selection Unit staff members.										
<b>Step 3.1 For Final Ratings Tie Only</b>											
In case if of a tie in the Final Rating. <a href="#">Formal QBS Recommendation Protocol (259P)</a>											
A	The tied Firm that is more highly rated by the User Agency will be recommended for selection.										
B	The Selection Process goes to Step 4.										
<b>Step 4</b>											
<b>The three (3) firms with the highest final scores will be recommended in rank order to the commissioner for selection.</b>											

## **2.1.15 Final Selection by DPW Commissioner**

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The DPW Commissioner shall make the final selection from the list of most qualified firms submitted by Selection Unit. If the Commissioner does not select the highest rated Firm listed by the Interview Panel, he or she shall prepare a written explanation of such decision. The Commissioner shall also sign a certification as described in Section 1.3.1.

All Screening and Interview Documents shall be available for public inspection after execution of the negotiated contract with the selected Firm.

## **2.1.16 Notification to Short-listed Firms**

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After the DPW Commissioner has made the selection, the Selection Unit shall notify the successful Firm of the selection results. That Unit shall also notify all other Firms who interviewed but were not selected and will advise interview panel members of the results.

[Selection Letter - Congratulations \(260F\)](#) and [Interview Letter- Regrets \(261F\)](#)

## **2.1.17 Records**

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Hard copies of RFQ submittals reviewed by either the Screening Panel or the Interview Panel shall be returned to DPW. All documents will be filed with the Selection Unit.

[Selection Records Checklist \( 265L\)](#)

Completed Consultant phone interviews will be filed in the Consultant evaluation folder.

All rating information shall be treated as confidential and are not releasable until final contract signing and approval by the Office of the Attorney General. Upon execution of the contract, other Firms may request a copy of the screening and interview rating sheets.

## **2.1.18 Debriefing**

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All firms wishing to obtain feedback on their initial submittal or their interview presentation may do so by contacting the Selection Unit. The Process Unit Manager or another designee is exclusively responsible for conducting a debriefing with Firms who were not chosen.

## **2.1.19 Fee Negotiation and Contract Award**

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A Scope Meeting shall be conducted by the DPW Project Manager and the User Agency Representative with the Selected Firm to discuss the project scope and details of required services of the architect/engineer and their sub consultants. The selected Firm shall submit a detailed fee proposal and the fee shall be negotiated. A contract shall then be written and processed for approval. Prior to the start of work, all contracts must be approved by the DPW Commissioner and the Office of the Attorney General.

**3.0**

**GLOSSARY OF TERMS**

# Selection and Bidding Procedure Manual

Term	Definition				
<b>Addendum</b>	Means an addition to a completed written document.				
<b>Advertisement</b>	Means a procurement specification posted on an electronic public procurement website(s).				
<b>Affidavit</b>	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.				
<b>Allocated</b>	Amount approved by the Bond Commission for specific projects				
<b>Authorization</b>	Amount approved by the Legislature for a specific purpose.				
<b>Architect/ Engineer Services</b>	<p>Means:</p> <p>(1) Professional services of an architectural or engineering 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;</p> <p>(2) 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;</p> <p style="text-align: center;"><b>AND</b></p> <p>(3) Those other professional services of an architectural or engineering nature, or incidental services, that members of the architectural and engineering professions (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.</p>				
<b>Architectural/ Engineering and Professional Consultant Services Selection</b>	<p>Means procedures for soliciting and evaluating qualifications and past performance to hire a "consultant," as defined by CGS § 4b-55, which is a person who is registered or licensed to practice such person's profession in accordance with the applicable provisions of the general statutes, including, but not limited to, any:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; text-align: center;">                     architect;                      professional engineer;                      landscape architect and surveyor;                      accountant;                 </td> <td style="width: 50%; text-align: center;">                     interior designer;                      environmental professional;                      construction administrator or;                      planner or financial specialist;                 </td> </tr> </table> <p style="text-align: center;"><b>OR</b></p> <p>Soliciting "consultant services" as defined by CGS § 4b-55 to include those professional services rendered by:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; text-align: center;">                     architects;                      professional engineers;                      landscape architects;                      land surveyors;                      accountants;                 </td> <td style="width: 50%; text-align: center;">                     interior designers;                      environmental professionals;                      construction administrators;                      planners;                      financial specialists.                 </td> </tr> </table> <p>As well as incidental services that members of these professions and those in their employ are authorized to perform.</p>	architect; professional engineer; landscape architect and surveyor; accountant;	interior designer; environmental professional; construction administrator or; planner or financial specialist;	architects; professional engineers; landscape architects; land surveyors; accountants;	interior designers; environmental professionals; construction administrators; planners; financial specialists.
architect; professional engineer; landscape architect and surveyor; accountant;	interior designer; environmental professional; construction administrator or; planner or financial specialist;				
architects; professional engineers; landscape architects; land surveyors; accountants;	interior designers; environmental professionals; construction administrators; planners; financial specialists.				
<b>Best Value</b>	Means a selection evaluation process based on comparing and evaluating weighted qualitative criteria and total cost of the proposals in relation to the scope and needs of a specific project;				
<b>Bid</b>	Means a competitively priced offer made by a bidder in response to an Invitation for Bids;				
<b>Bidder</b>	Means a sole proprietor, partnership, firm, corporation or other business organization submitting a bid in response to an Invitation to Bid;				
<b>Bidding Documents</b>	Means the bidding requirements and the proposed contract documents, including any addenda issued prior to receipt of Bids;				
<b>Certification</b>	Means a formal assertion in writing to facts.				

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<b>Competitive Sealed Bidding</b>	Means the procedures for soliciting and evaluating a bid that is submitted in response to a Invitation to Bid in a sealed envelope, to prevent disclosure of its contents before the deadline set for the receipt of all bids and the Public Bid Opening
<b>Competitive Sealed Proposal</b>	Means the procedures for soliciting and evaluating a proposal that is submitted, in response to a Request for Proposals, in a sealed envelope to prevent disclosure of its contents before the deadline set for the receipt of all proposals
<b>Construction Administrator</b>	Means an individual, partnership, firm, corporation or other business organization under contract or employed by DPW commissioned and/or authorized to oversee the fulfillment of all requirements of the Work.
<b>Contract</b>	Means all types of legally binding DPW procurement agreements, regardless of what they may be called.
<b>Contractor</b>	Means any person, firm or corporation having a contract with DPW.
<b>Construction</b>	Means 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.
<b>Construction Manager at Risk</b>	Means a project delivery system where a construction manager provides both construction management and general contractor services for the project. These services are provided to DPW based on a guaranteed maximum price, fixed price, or other means defined in a contract.
<b>Design/Bid/Build (D/B/B)</b>	Means a project delivery system in which DPW sequentially awards separate contracts, the first for architectural and engineering services to design the project and the second for construction of the project in accordance with the design
<b>Design/Build (D/B)</b>	Means a project delivery system in which DPW enters into a single D/B Contract with a Proposer for the design and construction of an infrastructure facility on a total cost basis in accordance with CSG § 4b-24 (4).
<b>Emergency Procurement</b>	Means an expedited procedure for awarding 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.
<b>Firm</b>	In conjunction with architect-engineer services, means any individual, partnership, corporation, association, or other legal entity permitted by Title 20 of the CGS and the CT Department of Consumer Protection to practice the professions of architecture or engineering.
<b>General Contractor</b>	Means any person, firm or corporation, under direct contract with the Department of Public Works, responsible for performing the Work
<b>Gift</b>	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 exempted by CGS § 1-79, except subdivision (e) (12) of that section.
<b>Infrastructure Facility</b>	Means a building, structure, or networks of buildings, structures, pipes, controls and equipment that provide for public services, including, but not limited to government office buildings, public schools and universities, courthouses, prisons, public parking facilities and equipment
<b>Interview Panel for Consultant Selection</b>	Means a panel of five (5) designated persons, consisting of four (4) current or retired DPW employees and one (1) user agency representative appointed by the user agency, that evaluates and submits a list of recommended consultants in rank order for selection to the DPW Commissioner. For the CT Health and Educational Facilities Authority Construction Services Panel (CHEFA), the panel of five consists of three (3) current DPW employees and two (2) user agency representatives.
<b>Interview Panel for Design Build teams or Special Legislation Contractors</b>	The panel of six (6) designated persons, consisting of two (2) user agency representatives, three (3) current DPW employees, and one (1) neutral that evaluates and submits a list of recommended design build teams or special legislation contractors in rank order for selection to the DPW Commissioner
<b>Invitation to Bid</b>	Means all documents, whether attached or incorporated by reference, utilized for soliciting bids
<b>Legal Notice</b>	Means a procurement specification posted as a publication in a newspaper(s) of general circulation
<b>Non-Responsive Designation</b>	Means a person, firm or entity that has submitted a bid, proposal or offer that does not conform to the requirements of the Advertisement or the submittal requirements..
<b>Offer</b>	Means to submit a bid, proposal or offer to DPW.

## Selection and Bidding Procedure Manual

<b>Offeror</b>	Means a person, firm, corporation, or other legal entity that submits qualifications, a bid or a proposal.
<b>On-Call Contract</b>	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.
<b>Pre-Bid or Pre-Interview Conference</b>	Means a meeting held with prospective Offerors prior to submission of bids, proposals, or offers to review, discuss, and clarify technical considerations, specifications, and standards relative to the proposed procurement.
<b>Procurement</b>	Means contracting, buying, purchasing, renting, leasing, or otherwise acquiring of any supplies, services, interest in real property or construction. It also includes all functions that pertain to obtaining any supply, service, or construction, including description of requirements, solicitation for selection, and preparation and award of contract, and all phases of contract administration.
<b>Proposal</b>	Means a 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.
<b>Public Bid Opening</b>	Means 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.
<b>Qualification Based Selection (QBS)</b>	Means a selection process based on comparing and evaluating weighted criteria of qualifications and performance of Offers in relation to the scope and needs of a specific project. Contract award is based first on a selection of the highest qualifications and second on the negotiation of a fair and reasonable fee.
<b>Real Property</b>	Means any land, all things growing on or attached thereto, and all improvements made to buildings and structures located on the land.
<b>Request For Proposals (RFP)</b>	Means all documents, whether attached or incorporated by reference, utilized for soliciting proposals. 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 Offerors.
<b>Request for Qualifications (RFQ)</b>	All documents, whether attached or incorporated by reference, utilized for soliciting offers for qualifications. This may include, but is not limited to, all existing drawings and other project-related documents to be made available to potential Firms for the design and construction of an infrastructure facility as may be appropriate to the applicable project delivery method.
<b>Responsible</b>	Means a 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.
<b>Screening Panel for Formal Selection</b>	Means a panel of state employees, consisting current or retired DPW employees and user agency representative(s), who are responsible for the preliminary evaluation of Requests for Qualifications for the creation of a shortlist of Firms.
<b>Screening Panel for Design Build Teams or Special Legislation Contractors</b>	Means a panel of designated persons, consisting of user agency representatives appointed by the user agency head, current DPW employees, and a neutral person. set forth in section CGS§ 4b-51. The panel shall screen all submitted proposals and submit a list of recommended design build teams or special legislation contractors for interview to the DPW Commissioner.
<b>Shortlist</b>	The list of Firms determined to be the most qualified by the Screening Committee for Consultant Selection or the Screening Panel for Design Build Teams or Special Legislation Contractors.
<b>Special Legislation Project</b>	A project that is legislatively excluded from compliance with legislatively authorized processes OR a project where the General Assembly approves legislation authorizing an exception to the competitive bidding process.
<b>State Agency</b>	Means any office, department, board, council, commission, institution or other agency in the executive, legislative or judicial branch of state government.
<b>State Employee</b>	Means any employee 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.
<b>Submittals</b>	Means documents submitted in response to the Advertisement or Legal Notice or submitted in response to the contract requirements, including but not limited to, materials, studies, samples, manufacturer's data, or other such items submitted to DPW by the Contractor for the purpose of approval or other action, as required.

**Selection and Bidding  
Procedure Manual**

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<b>Task Letter</b>	Means a supplement to an On-Call Contract used to specify the specific scope of work, fee, and duration of time for a defined task.
<b>User Agency</b>	Means a state agency that is the recipient of services and is not authorized by law to contract for the Construction of Infrastructure Facilities (CGS § 4b-51) or Architectural/Engineering and Professional Consultant Services (CGS § 4b-55)
<b>Work</b>	Means all construction and services required by a Contract, including all labor, materials, equipment and services provided, or to be provided, by the Contractor to fulfill the Contractor's obligations. The Work may constitute the whole or a part of the Project

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**END**

**4.0**

**APPENDIX A**  
**DPW REFERENCED DOCUMENTS**

Contract No: Type/Print Number  
Project No: Type/Print Number

## Affidavit - Consulting Agreements

All state contractors, vendors, consultants or other entities seeking to conduct business with the State of Connecticut who anticipate entering into, or renewing, an agreement for procurement of goods or services having a total value to the state of more than fifty thousand dollars in a calendar or fiscal year (hereinafter "agreement") shall disclose any and all consulting agreements, whether written or oral, to the head of the contracting agency (hereinafter "such agency").

"Consulting agreement" means any written or oral agreement to retain the services, for a fee, of an individual or business entity for the purposes of:

- (1) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State of Connecticut, or
- (2) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or
- (3) any other similar activity related to the procurement agreement.

"Consulting agreement" does not include those agreements or services registered under the provisions of Chapter 10 of the Connecticut General Statutes (Code of Ethics for Lobbyists).

Such disclosure affidavit shall be required if any duties of the consultant include communication concerning business of such agency, whether or not direct contact with a state agency, state official and state employee is expected or made. The disclosure affidavit shall include the name of the consultant, the consultant's firm, whether the consultant is a former state employee or public official (if so, indicate the consultant's former agency and termination date), the basic terms of the consulting agreement, and a brief description of the services to be provided. The disclosure affidavit shall be amended whenever such entities enter into any new consulting agreements during the term of the procurement agreement.

I, \_\_\_\_\_ (name, title, and company name) disclose the following consulting agreements (if not applicable, indicate "none"):

- 1.
- 2.
- 3.

I understand that this information shall be updated, as necessary, during the pendency of this, or any other contract that I may have with the State of Connecticut.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Subscribed and Sworn before me this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

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

# Applicable Connecticut Firm Resolutions and/or Certifications

<b>CORPORATION CERTIFIED RESOLUTION</b>	<b>F-1</b>
<p>I, _____, Secretary of _____, a corporation organized and existing under the laws of the State of _____ (the "Company"), do hereby certify that the following is a true and correct copy of a resolution duly adopted at a meeting of the Board of Directors of the Company duly held and convened on _____, 200____, at which meeting a duly constituted quorum of the Board of Directors was present and acting throughout, and that such resolution has not been modified, rescinded or revoked, and is at present in full force and effect:</p> <p><b>RESOLVED:</b> That _____, a _____ of _____ is empowered and authorized, on behalf of the Company, to execute and deliver contracts and amendments thereto, and all documents required by the Connecticut State Properties Review Board and the Office of the Attorney General associated with such contracts and amendments.</p> <p><b>IN WITNESS WHEREOF</b>, the undersigned has affixed his/her signature and the corporate seal of the Company this ____ day of _____, 200____.</p> <p style="text-align: center;"><b>[or, if the corporation has no seal.]</b></p> <p><b>IN WITNESS WHEREOF</b>, the undersigned has affixed his/her signature this ____ day of _____, 200____. <b>(The Company has no corporate seal.)</b></p> <p style="text-align: right;"><b>Print name</b> _____ <b>Its: Secretary</b> _____</p> <p><b>(Corporate Seal)</b></p>	

<b>LLC CERTIFIED RESOLUTION</b>	<b>F-2</b>
<p>I, _____, a _____ of _____ LLC, a limited liability company organized and existing under the laws of the State of _____, (the "Company"), hereby certify: (i) that _____ is run by _____; (ii) that _____ is a _____ of _____; and (iii) that as such, _____ is not prohibited or limited by the articles of organization from binding the LLC, and is empowered and authorized, on behalf of the Company, to execute and deliver contracts and amendments thereto, and all documents required by the Connecticut State Properties Review Board and the Office of the Attorney General associated with such contracts and amendments.</p> <p><b>IN WITNESS WHEREOF</b>, the undersigned has affixed his/her signature and the seal of the LLC this ____ day of _____, 200____.</p> <p style="text-align: center;"><b>[or, if the LLC has no seal ...]</b></p> <p><b>IN WITNESS WHEREOF</b>, the undersigned has affixed his/her signature this ____ day of _____, 200____.</p> <p><b>(The LLC has no seal.)</b></p> <p style="text-align: right;"><b>Print Name:</b> _____ <b>It's: Member/Manager</b> _____</p> <p><b>(If the LLC has a seal, place it here)</b></p>	

# Applicable Connecticut Firm Resolutions and/or Certifications

## PARTNERSHIP CERTIFICATION

F-3

I, \_\_\_\_\_, the undersigned, do certify that I am a general partner of \_\_\_\_\_ a \_\_\_\_\_ (state) partnership, and I do further certify that \_\_\_\_\_ is a general partner of said partnership, and, as such, is empowered and authorized on behalf of the partnership to execute contracts and amendments thereto and all documents required by the Connecticut State Properties Review Board and the Office of the Attorney General associated with such contracts and amendments.

IN WITNESS WHEREOF, the undersigned has affixed his/her signature this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_\_.

Print name: \_\_\_\_\_

Its: General Partner \_\_\_\_\_

## CERTIFICATE OF AUTHORITY - LIMITED LIABILITY PARTNERSHIP

F-4

I, \_\_\_\_\_, a Partner of \_\_\_\_\_, LLP a Limited Liability Partnership organized and existing under the laws of the State of Connecticut, hereby certify that the following resolution was duly adopted at a meeting by all of the Partners of said Limited Liability Partnership, duly held on the \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_\_.

Resolved, that \_\_\_\_\_ is a Partner of \_\_\_\_\_, LLP and is hereby authorized to make, execute, and approve on behalf of this Limited Liability Partnership any and all contracts and amendments thereto, and all documents required by the Connecticut State Properties Review Board and the Office of the Attorney General associated with such contracts and amendments.

**AND I DO FURTHER CERTIFY** that the above resolution has not been in any way altered, amended, revoked, or repealed and is now in full force and effect.

**In witness whereof**, I hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_\_.

Print name: \_\_\_\_\_

Its: \_\_\_\_\_

(Seal here)

# Applicable Connecticut Firm Resolutions and/or Certifications

<b>CERTIFICATE OF AUTHORITY - LIMITED PARTNERSHIP</b>	<b>F-5</b>
<p>I, _____, the undersigned, do hereby certify that I am a General Partner of _____ (name of partnership and address), a _____ (state) partnership and I do hereby further certify that _____, in his/her capacity as a General Partner of said partnership is authorized to sign any and all contracts and amendments to contracts and all documents required by the Connecticut State Properties Review Board and the Office of the Attorney General associated with such contracts and amendments on behalf of the said partnership. I do further certify that the above authorization has not been amended or revoked and was in full force and effect on _____ and continues to be in full force and effect as of the present time.</p> <p>Dated this _____ day of _____, _____.</p> <p style="text-align: center;"><b>Print name:</b> _____</p> <p style="text-align: center;"><b>Its: General Partner</b> _____</p>	

<b>CERTIFICATE OF AUTHORITY - DESIGN BUILD</b>	<b>F-6</b>
<p>I, _____, the undersigned, do hereby certify that I am _____ (Name of Certifying Officer) the _____ (Title of Certifying Officer), of _____ (Name of Corporation), a _____ (State of Incorporation) corporation, and that the following resolution was duly adopted on _____ (Date of Adoption of Resolution), _____, at a duly called and held meeting of the Board of Directors of said corporation:</p> <p>Resolved, that _____ (Name of Signer of Contract Documents), in _____ (his/her) capacity as _____ (Title of Signer of Contract Documents) of _____ (Name of Corporation), is fully authorized to execute and sign on behalf of the corporation all bonds, contracts and amendments thereto, and all documents required by the Connecticut State Properties Review Board and the Office of the Attorney General in connection with the _____ and to affix the Corporate Seal on such documents.</p> <p>(Project Title and Number)</p> <p>I do further certify that the above resolution has not been amended or revoked and is now in full force and effect.</p> <p>Dated this _____ day of _____, 200____.</p> <p style="text-align: center;"><b>Print name:</b> _____</p> <p style="text-align: center;"><b>Its:</b> _____</p> <p><b>Affix Corporate Seal Here)</b> _____</p>	

Contract No: Type/Print Number  
Project No: Type/Print Number

## Affidavit - Bid / Proposal

I, Type/Print Name, Title and Name of Firm or Corporation, hereby swear that during the two-year period preceding the submission of this bid or proposal that neither myself nor any principals or key personnel of the submitting firm or corporation who participated directly, extensively and substantially in the preparation of this bid or proposal nor any agent of the above gave a gift, as defined in Conn. Gen. Stat. §1-79(e), including a life event gift as defined in Conn. Gen. Stat. §1-79(e)(12), to (1) any public official or state employee of the state agency or quasi-public agency soliciting the bids or proposals who participated directly, extensively, and substantially in the preparation of the bid solicitation or preparation of request for proposal or (2) to any public official or state employee who has supervisory or appointing authority over the state agency or quasi-public agency soliciting the bid or proposal, except the gifts listed below:

Please check here if no such gifts were given:

Name of Benefactor	Name of Recipient	Gift Description	Value	Date of Gift
List information here				

Further, neither I nor any principals or key personnel of the submitting firm or corporation who participated directly, extensively and substantially in the preparation of this bid or proposal know of any action to circumvent this gift/campaign contribution affidavit.

Further, during the two-year period preceding the submission of this bid or proposal, neither I nor any principals or key personnel of the submitting firm or corporation who participated directly, extensively and substantially in the preparation of this bid or proposal nor any agent of the above gave a contribution to a candidate for statewide public office or the General Assembly, as defined in Conn. Gen. Stat. §9-333b, except as listed below:

Please check here if no such contributions were given:

Contributor	Recipient	Amount/Value	Date of Contribution	Contribution Description
List information here				

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_

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

Contract No: Type/Print Number  
Project No: Type/Print Number

## Affidavit - Annual Contract

I, Type/Print Name, Title and Name of Firm or Corporation, hereby swear that during the two-year period preceding the date of the instant affidavit that neither myself nor any principals or key personnel of the contracting firm or corporation who participated directly, extensively and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation or award of the subject contract, nor any agent of the above, gave a gift, as defined in Conn. Gen. Stat. § 1-79(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), to (1) any public official or state employee of the state agency or quasi-public agency who executed or participated directly, extensively, and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation or award of the subject contract or (2) to any public official or state employee who has supervisory or appointing authority over the state agency or quasi-public agency who executed the subject contract, except the gifts listed below:

Please check here if no such gifts were given:

Name of Benefactor	Name of Recipient	Gift Description	Value	Date of Gift
List information here				

Further, neither I nor any principals or key personnel of the contracting firm or corporation who participated directly, extensively and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation or award of the subject contract know of any action to circumvent this gift/campaign contribution affidavit.

Further, during the two-year period preceding the date of the instant affidavit, neither I nor any principals or key personnel of the contracting firm or corporation who participated directly, extensively and substantially in the preparation of the bid or proposal (if applicable) or in the negotiation or award of the subject contract, nor any agent of the above, gave a contribution to a candidate for statewide public office or for the General Assembly, as defined in Conn. Gen. Stat. § 9-333b, except the contributions list below:

Please check here if no such contributions were given:

Contributor	Recipient	Amount/Value	Date of Contribution	Contribution Description
List information here				

Sworn as true to the best of my knowledge and belief subject to the penalties of false statement.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_

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

Contract No: Type/Print Number  
Project No: Type/Print Number

**Affidavit - Contract**

I, Type/Print Name, Title and Name of Firm or Corporation, hereby swear that between the date the affidavit was signed accompanying the bid or proposal for this contract and the date this contract was executed neither myself nor any principals or key personnel of the submitting firm or corporation who participated directly, extensively and substantially in the preparation of the bid or proposal or in the negotiation or award of the subject contract, nor any agent of the above, gave a gift, as defined in Conn. Gen. Stat. § 1-79(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), to (1) any public official or state employee of the state agency or quasi-public agency soliciting the bids or proposals who participated directly, extensively, and substantially in the preparation of the bid solicitation or preparation of request for proposal or in the negotiation or award of the subject contract or (2) to any public official or state employee who has supervisory or appointing authority over the state agency or quasi-public agency soliciting the bid or proposal, except the gifts listed below:

Please check here if no such gifts were given:

Name of Benefactor	Name of Recipient	Gift Description	Value	Date of Gift
List information here				

Further, neither I nor any principal or key personnel of the submitting firm or corporation who participated directly, extensively or substantially in the preparation of the bid or proposal or in the negotiation or award of the subject contract know of any action to circumvent this gift/campaign contribution affidavit.

Further, between the date the affidavit was signed accompanying the bid or proposal for this contract and the date this contract was executed, neither I nor any principal or key personnel of the submitting firm or corporation who participated directly, extensively and substantially in the preparation of the bid or proposal or in the negotiation or award of the subject contract, nor any agent of the above, gave a contribution to a candidate for statewide public office or the General Assembly, as defined in Conn. Gen. Stat. § 9-333b except the contributions listed below:

Please check here if no such contributions were given:

Contributor	Recipient	Amount/Value	Date of Contribution	Contribution Description
List information here				

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
Signature Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_

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

# Affidavit - Contract- No Previous Bid or Proposal

Contract No: Type/Print Number  
Project No: Type/Print Number

## Affidavit - Contract- No Previous Bid or Proposal

I, Type/Print Name, Title and Name of Firm or Corporation, hereby swear that during the two-year period preceding the date this contract was executed that neither myself nor any principals or key personnel of the contracting firm or corporation who participated directly, extensively and substantially in the negotiation or award of this contract, nor any agent of the above, gave a gift, as defined in Conn. Gen. Stat. § 1-79(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), to (1) any public official or state employee of the state agency or quasi-public agency who executed or participated directly, extensively, and substantially in the negotiation or award of this contract or (2) to any public official or state employee who has supervisory or appointing authority over the state agency or quasi-public agency executing this contract, except the gifts listed below:

Please check here if no such gifts were given:

Name of Benefactor	Name of Recipient	Gift Description	Value	Date of Gift
List information here				

Further, neither I nor any principals or key personnel of the contracting firm or corporation who participated directly, extensively and substantially in the negotiation or award of this contract know of any action to circumvent this gift/campaign contribution affidavit.

Further, during the two-year period preceding the execution of this contract, neither I nor any principals or key personnel of the contracting firm or corporation who participated directly, extensively and substantially in the negotiation or award of this contract, nor any agent of the above, gave a contribution to candidate for statewide public office or the General Assembly, as defined in Conn. Gen. Stat. § 9-333b, except the contributions list below:

Please check here if no such contributions were given:

Contributor	Recipient	Amount/Value	Date of Contribution	Contribution Description
List information here				

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_

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

# Formal QBS Interview Observer Certification

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## Formal QBS Interview Observer Certification

I certify that I have not communicated information with any Firm prior to the advertisement of DPW Project No. Print Project Number and will not communicate information until notification of the final selection that is not available to the general public and which would result in a Firm receiving information that is not available to other Firms.

I further certify that I have not attempted to influence the selection of a particular Firm.

---

(Signature)

---

(Date)

---

(Print Name)

# Affidavit - Non-Disclosure

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## Affidavit - Non-Disclosure

I, \_\_\_\_\_  
(print name) (Title and Company)

certify and affirm, under penalty of false statement, the following:

Prior to the date of advertisement and through the notification of final selection, I have received no information from a public official or state employee that is not available, to the best of my knowledge, to the general public and/or other Offerors concerning any construction, reconstruction, alteration, remodeling, repair or demolition concerning,

No agent or employee of \_\_\_\_\_ has received information.  
(Offeror Name)

from a public official or state employee that is not available to the general public and/or other Offerors concerning any construction, reconstruction, alteration, remodeling, repair or demolition concerning:

DPW Project No:

This Offeror has been arrived at independently, without collusion, consultation, communication or agreement that could result in my gaining an unfair advantage.

Sworn as true to the best of my knowledge and belief, false statement punishable under law:

\_\_\_\_\_  
(Signature) (Date)

\_\_\_\_\_  
(Print Name and title)

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200

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

My Commission expires on \_\_\_\_\_

Attachment: Certificate of Authority: Authorizing the Person Signing This Affidavit.

## Certification By Agency Official or Employee Authorized to Execute Contracts

### Certification By Agency Official or Employee Authorized to Execute Contracts

I,           Type/Print Name and Title          , am authorized to execute the attached contract on behalf of the           Type Agency Name          . I hereby certify that the selection of the person, firm or corporation for the attached large state contract was not the result of collusion giving the of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200 \_\_\_\_\_

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

# Formal RFQ WEB Advertisement

State of Connecticut  
 Department of Public Works  
 165 Capitol Avenue, Hartford, CT 06106

Formal Request for Qualifications (RFQ) Web Advertisement			
<b>ADV. NO.:</b> see instructions		<b>WEB ADVERTISEMENT Date:</b> see instructions	
<b>Type of Consultant Services:</b>	see instructions		
<b>DPW Contract Number:</b>	see instructions		
<b>Project Title:</b>	see instructions		
<b>Project Location:</b>	see instructions		
<b>User Agency Name</b>	see instructions		
<b>Project Delivery Method:</b>	<input type="checkbox"/> Design/Bid/Build	<input type="checkbox"/> Design/Build	
<b>Project Description:</b>	see instructions		
<b>Designated Services:</b>	see instructions		
<b>Formal QBS Submittal Requirements:</b>	1. Use <a href="http://www.ct.gov/dpw/site/default.asp">http://www.ct.gov/dpw/site/default.asp</a> to link to the DPW website.		
<b>Affidavit Requirements:</b>	1. In accordance with Governor Rell's Executive Order No. 1: If a Firm anticipates the contract value, for the specific project, will be \$500,000 or more, they must submit a DPW Bid / Proposal Affidavit with their Offer, Bid or Proposal. An affidavit may be submitted regardless of the expected contract value. 2. A DPW - Non-disclosure Affidavit must be submitted with their Offer, Bid or Proposal.		
<b>Qualifications Based Selection (QBS):</b>	The selection process is based on comparing and evaluating weighted criteria of qualifications and performance of Offers in relation to the scope and needs of a specific project. Contract award is based first on a selection of the highest qualifications and second on the negotiation of a fair and reasonable fee. For the screening phase of the this selection the following are the rating point weights for the screening criteria categories:		
	<b>Criteria Number</b>	<b>Screening Criteria Categories</b>	<b>Rating Points</b>
	1	Firm's Experience with Projects of Similar Size and Scope to this Project	see instruct
	2	Firm's Organizational / Team Structure	see instruct
	3	Firm's Past Performance Record	20
	4	Firm's Partnering Experience	see instruct
	<b>Maximum Points Per Interview Panel Member</b>		<b>100</b>
<b>Qualification Submittal Deadline and Location:</b>	Deadline for the receipt of submittals is <b>3 p.m., day of week, month, day , 200year.</b>  State Office Building Department of Public Works Room 261 165 Capitol Avenue Hartford, Connecticut 06106  <b>Note:</b> Failure to submit all Formal QBS Submittal Requirements for this contract by the above Deadline, in the required format, and at the designated location will result in the Firm being deemed Non-Responsive for consideration on this contract.		

# Formal RFQ WEB Advertisement

<b>Requests for Information:</b>	<p>Responses to requests for more specific contract and project information than is contained in this Advertisement shall be limited information that is available to all firms and that is necessary to complete this selection process.</p> <p><b>All requests for information must be sent in <u>writing</u> to:</b></p> <table><tr><td data-bbox="430 409 868 665"><i>For general selection requirements:</i> <b>DPW Selection Unit Supervisor</b> Thomas Lowell Room 261 165, Capitol Avenue Hartford, Connecticut 06106 Fax: 860 713-7272 Email: <a href="mailto:thomas.lowell@po.state.ct.us">thomas.lowell@po.state.ct.us</a></td><td data-bbox="868 409 933 665"><b>OR</b></td><td data-bbox="933 409 1495 665"><i>For this selection and project:</i> <b>DPW Project Manager</b> see instructions see instructions 165 Capitol Avenue Hartford, Connecticut 06106 Fax: see instructions Email: see instructions</td></tr></table>	<i>For general selection requirements:</i> <b>DPW Selection Unit Supervisor</b> Thomas Lowell Room 261 165, Capitol Avenue Hartford, Connecticut 06106 Fax: 860 713-7272 Email: <a href="mailto:thomas.lowell@po.state.ct.us">thomas.lowell@po.state.ct.us</a>	<b>OR</b>	<i>For this selection and project:</i> <b>DPW Project Manager</b> see instructions see instructions 165 Capitol Avenue Hartford, Connecticut 06106 Fax: see instructions Email: see instructions
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# Formal RFQ WEB Advertisement Instructions

State of Connecticut  
 Department of Public Works  
 165 Capitol Avenue, Hartford, CT 06106

<b>Formal Request for Qualifications (RFQ) Web Advertisement</b>	
<b>ADV. NO.:</b> <i>Insert Contract Number</i>	<b>WEB ADVERTISEMENT Date:</b> <i>Insert Date</i>
<b>General Statement:</b>	The State of Connecticut, Department of Public Works, Bureau of Design & Construction, requests submittals of qualifications for "Architectural/Engineering and Professional Consulting Services" as specified for the project below.
<b>Consultant Services:</b>	<i>Insert consultant services required for this contract such as Architect, Architect/Engineer, Engineer, Construction Administrator, etc.</i>
<b>DPW Contract Number:</b>	<i>Insert Contract Number (Not Project Number)</i>
<b>Project Name:</b>	<i>Insert Concise Name of the Project</i>
<b>Project Location:</b>	<i>Insert Name of Facility, Building, Campus, Etc.        Insert Street Address        Insert Town or City</i>
<b>User Agency Name</b>	<i>of User Agency</i>
<b>Project Delivery Method:</b>	<input type="checkbox"/> Design/Bid/Build <input type="checkbox"/> Design/Build <i>Check the Project Delivery Method.</i>
<b>Project Description:</b>	<i>Insert a <b>brief</b> yet <b>concise</b> narrative that includes, but is not limited to the following types of project information:</i> <ul style="list-style-type: none"> <li>• <i>required consultant service;</i></li> <li>• <i>objective or proposed use of the facility;</i></li> <li>• <i>physical parameters (number of stories, GSF, NSF, etc.);</i></li> <li>• <i>anticipated construction cost;</i></li> <li>• <i>state the manner in which the program <b>was</b> or <b>will be</b> developed;</i></li> <li>• <i>important descriptive information such as required demolitions, renovations, additions, new construction, green building goals (LEEDS), etc.;</i></li> <li>• <i>any special characteristics or needs of the project such as energy, environmental or historic preservation requirements, etc.;</i></li> <li>• <i>any additional or unique project considerations and/or limitations i.e., user agency groups, schedule milestones, and funding/budgeting, etc.</i></li> </ul>
<b>Designated Services:</b>	<i>Insert a <b>brief</b> yet <b>concise</b> description of designated services, beyond Basic Services, that shall be required for this project, including, but limited to the following types of services:</i> <ul style="list-style-type: none"> <li>• <i>surveys, borings, geotechnical reports, etc.;</i></li> <li>• <i>feasibility studies;</i></li> <li>• <i>programming;</i></li> <li>• <i>interior Design/space planning;</i></li> <li>• <i>kitchen design;</i></li> <li>• <i>etc.</i></li> </ul>
<b>Submittal Requirements:</b>	1. Use <a href="http://www.ct.gov/dpw/site/default.asp">http://www.ct.gov/dpw/site/default.asp</a> to link to the DPW website.
<b>Affidavit Requirements:</b>	1. In accordance with Governor Rell's Executive Order No. 1: If a Firm anticipates the contract value, for the specific project, will be \$500,000 or more, they must submit a DPW Bid / Proposal Affidavit with their Offer, Bid or Proposal. An affidavit may be submitted regardless of the expected contract value. 2. A DPW - Non-disclosure Affidavit must be submitted with their Offer, Bid or Proposal.

# Formal RFQ WEB Advertisement Instructions

<p><b>Qualification Submittal Deadline and Location:</b></p>	<p>Deadline for the receipt of submittals is <b>3 p.m., day of week, month, day, 200year.</b></p> <p>State Office Building          Department of Public Works          Room 261          165 Capitol Avenue          Hartford, Connecticut 06106</p> <p><b>Note:</b> Failure to submit all required forms and documents by the above Deadline, in the required format, and at the designated location will result in the Firm being deemed Non-Responsive for consideration on this project.</p>																				
<p><b>Qualifications Based Selection:</b></p>	<p>The selection process is based on comparing and evaluating weighted criteria of qualifications and performance of Firms in relation to the scope and needs of a specific project. Contract award is based first on a selection of the highest qualifications and second on the negotiation of a fair and reasonable fee. For the screening phase of the this selection the following are the rating point weights for the screening criteria categories:</p> <table border="1" data-bbox="430 745 1487 1033"> <thead> <tr> <th data-bbox="430 745 548 804">Criteria Number</th> <th data-bbox="548 745 1372 804">Screening Criteria Categories</th> <th data-bbox="1372 745 1487 804">Rating Points</th> </tr> </thead> <tbody> <tr> <td data-bbox="430 804 548 863">1</td> <td data-bbox="548 804 1372 863">Firm's Experience with Projects of Similar Size and Scope to this Project</td> <td data-bbox="1372 804 1487 863"><i>Insert Points</i></td> </tr> <tr> <td data-bbox="430 863 548 921">2</td> <td data-bbox="548 863 1372 921">Firm's Organizational / Team Structure</td> <td data-bbox="1372 863 1487 921"><i>Insert Points</i></td> </tr> <tr> <td data-bbox="430 921 548 980">3</td> <td data-bbox="548 921 1372 980">Firm's Past Performance Record</td> <td data-bbox="1372 921 1487 980"><b>20</b></td> </tr> <tr> <td data-bbox="430 980 548 1033">4</td> <td data-bbox="548 980 1372 1033">Firm's Partnering Experience</td> <td data-bbox="1372 980 1487 1033"><i>Insert Points</i></td> </tr> <tr> <td colspan="2" data-bbox="430 1033 1372 1071">Maximum Points Per Interview Panel Member</td> <td data-bbox="1372 1033 1487 1071"><b>100</b></td> </tr> </tbody> </table>			Criteria Number	Screening Criteria Categories	Rating Points	1	Firm's Experience with Projects of Similar Size and Scope to this Project	<i>Insert Points</i>	2	Firm's Organizational / Team Structure	<i>Insert Points</i>	3	Firm's Past Performance Record	<b>20</b>	4	Firm's Partnering Experience	<i>Insert Points</i>	Maximum Points Per Interview Panel Member		<b>100</b>
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<p><b>Requests for Information:</b></p>	<p>Responses to requests for more specific project information than is contained in this Advertisement shall be limited information that is available to all Firms and that is necessary to complete this selection process.</p> <p><b>All requests must be sent in <u>writing</u> to:</b></p> <table data-bbox="430 1176 1487 1396"> <tr> <td data-bbox="430 1176 893 1396"> <p><b>DPW Selection Unit Supervisor</b>            Thomas Lowell            Room 261            165, Capitol Avenue            Hartford, Connecticut 06106            Fax: 860 713-7272            Email: <a href="mailto:thomas.lowell@po.state.ct.us">thomas.lowell@po.state.ct.us</a></p> </td> <td data-bbox="893 1176 974 1396" style="text-align: center; vertical-align: middle;"> <p><b>OR</b></p> </td> <td data-bbox="974 1176 1487 1396"> <p><b>DPW Project Manager</b>  <i>Insert Project Manager's Name</i>  <i>Insert Room Number</i>            165 Capitol Avenue            Hartford, CT 06106            Fax: <i>Insert Fax Number</i>            Email: <i>Insert Email Address</i></p> </td> </tr> </table>			<p><b>DPW Selection Unit Supervisor</b>            Thomas Lowell            Room 261            165, Capitol Avenue            Hartford, Connecticut 06106            Fax: 860 713-7272            Email: <a href="mailto:thomas.lowell@po.state.ct.us">thomas.lowell@po.state.ct.us</a></p>	<p><b>OR</b></p>	<p><b>DPW Project Manager</b>  <i>Insert Project Manager's Name</i>  <i>Insert Room Number</i>            165 Capitol Avenue            Hartford, CT 06106            Fax: <i>Insert Fax Number</i>            Email: <i>Insert Email Address</i></p>															
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# Formal RFQ Legal Notice

<b>REQUEST FOR QUALIFICATIONS (RFQ) – LEGAL NOTICE</b>	
<b>ADV. NO.:</b> <u>see instructions</u>	<b>PUBLIC NOTICE DATE:</b> <u>see instructions</u>
<b>State of Connecticut • Department of Public Works • 165 Capitol Avenue, Hartford, CT 06106</b>	
<b>General Statement:</b>	In accordance with statutory requirements, the State of Connecticut, Department of Public Works is publishing this Legal Notice for the following Request for Qualifications (RFQ).
<b>Web Advertisements:</b>	For details and the Formal QBS Submittal Requirements for this contract see: <a href="http://www.das.state.ct.us/busopp.asp">http://www.das.state.ct.us/busopp.asp</a> to link to the DAS State Contracting Portal. <b>OR</b> <a href="http://www.ct.gov/dpw/site/default.asp">http://www.ct.gov/dpw/site/default.asp</a> to link to the DPW website.
<b>Type of Consultant Services:</b>	see instructions
<b>DPW Contract Number:</b>	see instructions
<b>Project Title:</b>	see instructions
<b>Project Location:</b>	see instructions
<b>Qualification Submittal Deadline and Location:</b>	Deadline for the receipt of QBS Booklets is <b>3 p.m., day of week, month, day , 200year.</b>  State Office Building Department of Public Works Room 261 165 Capitol Avenue Hartford, Connecticut 06106  <b>Note:</b> Failure to submit Formal QBS Booklets by the above Deadline, with the required contents and format, and at the designated location will result in the Offeror being deemed Non-Responsive for consideration on this project.
<b>Bid / Proposal Affidavit:</b>	In accordance with Governor Rell's Executive Order No. 1: If a Firm anticipates the contract value, for the specific project, will be \$500,000 or more, they must submit this type of affidavit with their Offer, Bid or Proposal. An affidavit may be submitted regardless of the expected contract value.
<b>Requests for Information:</b>	Responses to requests for more specific project information than is contained in this Advertisement shall be limited information that is available to all Offerors and that is necessary to complete this selection process.  <b>All requests for information must be sent in <u>writing</u>.</b> <i>For general selection requirements:</i> <b>DPW Selection Unit Supervisor</b> Thomas Lowell Room 261 165, Capitol Avenue Hartford, Connecticut 06106 Fax: 860 713-7272 Email: <a href="mailto:thomas.lowell@po.state.ct.us">thomas.lowell@po.state.ct.us</a>  <i>For this selection and project:</i> <b>DPW Project Manager</b> see instructions see instructions 165 Capitol Avenue Hartford, Connecticut 06106 Fax: see instructions Email: see instructions
<b>James T. Fleming - Commissioner Department of Public Works</b>	<b>Date:</b> <u>see instructions</u>

_____ (PM Name)	_____ (PM Signature)	_____ (Date)
(SPM Name) <b>Bruce Bockstael</b>	_____ (SPM Signature)	_____ (Date)
(Administrator of Client Teams)	_____ (Signature)	_____ (Date)

# Formal RFQ Legal Notice Instructions

<b>REQUEST FOR QUALIFICATIONS (RFQ)</b>	
<b>ADV. NO.:</b> <u>Insert DPW Contract Number</u>	<b>PUBLIC NOTICE DATE:</b> <u>Insert date</u>
<b>State of Connecticut • Department of Public Works • 165 Capitol Avenue, Hartford, CT 06106</b>	
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<b>Web Advertisements:</b>	or details and the Formal QBS Submittal Requirements for this contract see: <a href="http://www.das.state.ct.us/busopp.asp">http://www.das.state.ct.us/busopp.asp</a> to link to the DAS State Contracting Portal. <b>OR</b> <a href="http://www.ct.gov/dpw/site/default.asp">http://www.ct.gov/dpw/site/default.asp</a> to link to the DPW website.
<b>Type of Consultant Services:</b>	<i>Insert consultant services required for this contract such as Architect, Architect/Engineer, Engineer, Construction Administrator, etc.</i>
<b>DPW Contract Number:</b>	<i>Insert Contract Number (Not Project Number)</i>
<b>Project Title:</b>	<i>Insert Concise Name of the Project</i>
<b>Project Location:</b>	<i>Insert Name of Facility, Building, Campus, Etc.        Insert Street Address        Insert Town or City</i>
<b>Qualification Submittal Deadline and Location:</b>	Deadline for the receipt of QBS Booklets is <b>3 p.m., day of week, month, day , 200year.</b>  State Office Building Department of Public Works Room 261 165 Capitol Avenue Hartford, Connecticut 06106  <b>Note:</b> Failure to submit QBS Booklets by the above Deadline, with the required contents and format, and at the designated location will result in the Offeror being deemed Non-Responsive for consideration on this project.
<b>Bid / Proposal Affidavit:</b>	In accordance with Governor Rell's Executive Order No. 1: If a Firm anticipates the contract value, for the specific project, will be \$500,000 or more, they must submit this type of affidavit with their Offer, Bid or Proposal. An affidavit may be submitted regardless of the expected contract value.
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<b>James T. Fleming - Commissioner Department of Public Works</b>	
<b>Date:</b> <i>Insert Date of Advertisement</i>	

_____ (PM Name)	_____ (PM Signature)	_____ (Date)
_____ (SPM Name) <b>Bruce Bockstael</b>	_____ (SPM Signature)	_____ (Date)
_____ (Administrator of Client Teams)	_____ (Signature)	_____ (Date)

<b>Date:</b>	insert date
<b>To:</b>	<b>Tom Lowell, RA – Selection Supervisor</b>
<b>From:</b>	PM name
<b>Contract Number</b>	project number
<b>Selection Type:</b>	

1. **Adjusted Rating Points:** This selection requires adjusted rating points for the Screening and/or Interview Criteria Categories as indicated in the tables below:

Criteria Number	Screening Criteria Categories	Default Rating Points	Allowable Point Range	Adjusted Rating Points
1	Firm's Experience with Projects of Similar Size and Scope to this Project	35	35-45	Adjusted Points
2	Firm's Organizational / Team Structure	30	25-35	Adjusted Points
3	Firm's Past Performance Record	20	NA	NA
4	Firm's Partnering Experience	15	10-20	Adjusted Points
<b>Maximum Points Per Interview Panel Member</b>		<b>100</b>	<b>100</b>	<b>100</b>

Criteria Number	Interview Criteria Categories	Default Rating Points	Allowable Point Range	Adjusted Rating Points
1	Firm's Problem Solving Capabilities	30	25-35	Adjusted Points
2	Firm's Organizational / Team Structure for this Project	25	20-30	Adjusted Points
3	Firm's Past Performance Record	20	NA	NA
4	Firm's Approach to this Project	15	10-20	Adjusted Points
5	Firm's Project Oversight Capabilities	10	5-15	Adjusted Points
<b>Maximum Points Per Interview Panel Member</b>		<b>100</b>	<b>100</b>	<b>100</b>

2. **Agency Representative Designation:** The User Agency has designated the following Screening and Interview Panel Members and a maximum of two (2) Agency Observers as indicated in the tables below:

Panel Type	User Agency Representative Information
	<b>Voting Panel Member</b>
Screening Panel Name:	
Email Address:	
Screening Panel Name: (CSU 2 <sup>nd</sup> . CHEFA Person)	
Email Address:	
	<b>Interview Panel Member</b>
Interview Panel Name:	
Email Address:	
Interview Panel Name: (CSU 2 <sup>nd</sup> . CHEFA Person)	
Email Address:	
	<b>Non Voting Observer Panel Member</b>
Interview Panel Name:	
Email Address:	
Interview Panel Name:	
Email Address:	

3. **Site Visit Conference:** This selection requires a Site Visit for the Shortlisted Firms at least 14 calendar days prior the Interview. Attendance is mandatory for Short-listed Firms and for the DPW Project Manager & User Agency Representative. Attendance and is optional for Interview Panel Members.

Date of Conference:	Insert Date
Time of Conference:	Insert Time A.M. P.M.
Location of Conference:	Insert Address

4. **Reference Documents** (studies, master plans, etc): The following Reference Documents will be available for Shortlisted Firms for inspection by appointment with the DPW Project Manager.

Reference Document	Reference Document

\_\_\_\_\_ (Print PM Signature)                      \_\_\_\_\_ (PM Signature)                      \_\_\_\_\_ (Date)

\_\_\_\_\_ (Print SPM Signature)                      \_\_\_\_\_ (SPM Signature)                      \_\_\_\_\_ (Date)

**Attachments:**  RFQ Legal Notice,  RFQ Web Advertisement

**cc:** A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair  
Agency Representative Name/Title - Using Agency Name  
Interview Panel Member Name - DPW Interview Panel Member  
Interview Panel Member Name - DPW Interview Panel Member  
Interview Panel Member Name - DPW Interview Panel Member  
SPM Name - DPW SPM  
File: Project File Color/Number

# RFQ Advertising Publication Standards

## The Requests For Qualification (RFQ) Advertising Publication Standards:

**State of Connecticut Web sites:** In accordance with the Governor's Executive Order No. 3 (12-15-04) the RFQ Advertisement shall be posted on the Department of Administrative Services (DAS) "State Contracting Portal" Web site. The DAS Web site shall act the single electronic portal for purposes of posting all contracting opportunities with state agencies in the executive branch and all higher education agencies and institutions. The RFQ Advertisement shall also be posted on the DPW Web site.

RFQ Advertisement Web Sites	
<b>DAS Web site:</b> (State Contracting Portal)	<a href="http://www.das.state.ct.us/busopp.asp">http://www.das.state.ct.us/busopp.asp</a>
<b>DPW Web site:</b>	<a href="http://www.ct.gov/dpw">http://www.ct.gov/dpw</a>

RFQ Advertisements shall also be sent to various trade and professional associations, who may post it on their respective web sites. The RFQ Advertisement shall contain more detailed project information than posted the RFQ Legal Notice and shall provide interested parties with a link to the CT DPW QBS Submittal Requirements.

**Other Typical Publications:** The Selection Unit also forwards the advertising request to the Bidding and Contracts Unit for publication. In accordance with CSG § 4b-91 DPW utilizes the following three (3) main newspapers to post legal notices for all selections:

Typical Publications
Hartford Courant
Northeast Minority News
Hartford Inquirer
Note: This list is from the CT DPW Procurement Unit's "Newspaper Vendors Ad List".

The CT DPW RFQ Advertising Standards are in accordance the all of the requirements of the Connecticut State Statutes.

## Formal QBS Submittal Requirements

### General Requirements

1. Submit two (2) Formal QBS Booklets per contract as follows:
2. One (1) Formal QBS Booklet shall have a cover and back with 8-1/2"x11 clear vinyl covered (GBC Clear Rounded Clear Heavy- Round 8<sup>3/4</sup>" x 11<sup>1/4</sup>", heavy weight transparent, round corners, GBC Product # 2514500 or equivalent). A white, 1" maximum, Plastic Binding Comb (GBC CombBind® GBC Product # 4000115 or equivalent). Each section of the RFQ Submittal Booklet shall be divided by white, 8 tabs labels, 9" x 11" (GBC Presentation Tabs™, Customizable Index Tabs, GBC Product # 9675045 or equivalent).
3. One (1) Formal QBS Booklet shall have an 8-1/2"x11", white, clear vinyl covered, 3-ring binder; 1" maximum. (1" Avery Durable Reference View Binders - Slant Ring , White, Avery Item # 9301 or equivalent). Each section of the RFQ Submittal Booklet shall be divided by 8-1/2" x 11", white three-hole punched, 8 tab style label dividers (Avery WorkSaver Big Tab Insertable Tab Dividers with White Paper, Laser/InkJet, 8 Tabs per Set, Clear, 3-Hole Punched, Avery Item # 11124 or equivalent).
4. Insert all required information as specified. A firm that does not submit any required information must insert brief statement in its place in the appropriate Division of the Booklet explaining why it was not used in the submittal.
5. Each Formal QBS Booklet shall contain all of required information; in the specified format; at the designated location; by the deadline; or the Firm shall be deemed Non-Responsive for this project.

*End of Instructions for General Requirements.*

### Cover Page

1. Insert one Cover page into each Formal QBS Booklet with the following information:  
(Exactly as per the web advertisement for this contract.)

**Formal QBS Booklet**

**Type of Consultant Services**

**DPW Contract Number**

**Project Name**

**Project Location**

**QBS Submittal Due Date**

*End of Instructions for Cover Sheet.*

# Formal QBS Submittal Requirements

## Formal RFQ Submittal Booklet Cover Page and Division Tab Sequence

*Binder Comb*

*Division Tabs*

**Formal QBS Booklet**

**Architectural/Engineering  
Consultant Services**

**BI-RS-123**

**New Science Building  
Southern Connecticut State University  
New Haven, CT**

**February 28, 2005**

**Table of Contents**

**Letter of Interest**

**QBS Email Registration**

**Credentials**

**Affidavits**

**Insurance**

**SF330 Part I  
CT DPW**

**SF330 Part II  
CT DPW**

# Formal QBS Submittal Requirements

Check	Division 1 - Table of Contents	
<input type="checkbox"/>	<b>1. Table of Contents:</b> Insert one (1) Table of Contents containing the eight (8) divisions in the specified order.	Table of Contents
<input type="checkbox"/>	<b>2.</b> Insert one (1) copy of this instruction page for Division 1 with the boxes in the left hand column checked for verification of the contents.	
<i>End of Instructions for Division 1- Table of Contents.</i>		
		Letter of Interest
		QBS Email Registration
		Credentials
		Affidavits
		Insurance
		SF330 Part I CT DPW
		SF330 Part II CT DPW

# Formal QBS Submittal Requirements

Check

## Division 2 – Letter of Interest

- 1. **Letter of Interest:**  
Insert one (1) copy of a Letter of interest explaining why their Firm and proposed team have the qualifications and past performance to be selected for this specific contract.
- 2. Insert one (1) copy of this instruction page for Division 2 with the boxes in the left hand column checked for verification of the contents.

*End of Instructions for Division 2 - Letter of Interest.*

Table of Contents

Letter of Interest

QBS Email Registration

Credentials

Affidavits

Insurance

SF330 Part I  
CT DPW

SF330 Part II  
CT DPW

# Formal QBS Submittal Requirements

Check	Division 3 –QBS Email Registration
<input type="checkbox"/>	Email one (1) completed <a href="#">QBS Email Registration (216F)</a> to Rose Mitchell - DPW by the due date for this Contract at: <a href="mailto:rose.mitchell@po.state.ct.us">rose.mitchell@po.state.ct.us</a> .
<input type="checkbox"/>	Insert one (1) completed hard copy of the QBS Email Registration in the QBS Booklet. Provide the following information for two (2) representatives of the firm that DPW can contact for additional information.
<input type="checkbox"/>	1. <b>Type of Consultant Services:</b> Exactly as per Web Advertisement for this Contract.
<input type="checkbox"/>	2. <b>DPW Contract Number:</b> Exactly as per Web Advertisement for this Contract.
<input type="checkbox"/>	3. <b>Project Name:</b> Exactly as per Web Advertisement for this Contract.
<input type="checkbox"/>	4. <b>Project Location:</b> Exactly as per Web Advertisement for this Contract.
<input type="checkbox"/>	5. <b>1<sup>st</sup>. Contact Name:</b> First contact name.
<input type="checkbox"/>	5a. <b>1<sup>st</sup>. Contact Phone Number:</b> Self Explanatory.
<input type="checkbox"/>	5b. <b>1<sup>st</sup>. Contact Email Address:</b> Self Explanatory.
<input type="checkbox"/>	6. <b>2<sup>nd</sup>. Contact Name:</b> Second contact name.
<input type="checkbox"/>	6a. <b>2<sup>nd</sup>. Contact Phone Number:</b> Self Explanatory.
<input type="checkbox"/>	6b. <b>2<sup>nd</sup>. Contact Email Address:</b> Self Explanatory.
<input type="checkbox"/>	7. <b>Firm Legal Name:</b> Enter the exact legal name of the prime Firm.
<input type="checkbox"/>	8. <b>Firm Street:</b> Self Explanatory.
<input type="checkbox"/>	9. <b>Firm City:</b> Self Explanatory.
<input type="checkbox"/>	10. <b>Firm State:</b> Self Explanatory.
<input type="checkbox"/>	11. <b>Firm Zip Code:</b> Self Explanatory.
<input type="checkbox"/>	12. Insert one (1) copy of this instruction page for Division 3 with the boxes in the left hand column checked for verification of the contents.

*End of Instructions for Division 3 – QBS Email Registration.*

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# Formal QBS Submittal Requirements

Check	<b>Division 4 – Professional and Business Credentials</b>
<input type="checkbox"/>	<p><b>1. Professional Licensure:</b>            Insert one (1) copy of prime firm’s current professional license(s) for the firm, and the principal in charge and project manager for this project and as required by Title 20 of the of the Connecticut General Statutes and the CT Department of Consumer Protection.  <a href="#">Professional and Business Credentials Standards (219F)</a></p>
<input type="checkbox"/>	<p><b>4. Certificate of Legal Existence in the State of Connecticut:</b>            Insert one (1) copy of each applicable, current Certificate of Legal Existence in the State of Connecticut and can be obtained from the CT Office of the Secretary of State.</p>
<input type="checkbox"/>	<p><b>5. Certificates of Good Standing:</b>            Insert one (1) copy of each applicable, current Certificate of Good Standing from the state of a firm not located in Connecticut or one (1) copy from Connecticut for a firm located in CT.</p>
<input type="checkbox"/>	<p><b>6 Appointment of Agent for Service of Process - Out of State Firms:</b>            Insert one (1) copy of a “Appointment of Agent for Service of Process” with the CT Office of the Secretary of State for a Firm whose business that is not located in Connecticut.</p>
<input type="checkbox"/>	<p><b>7.</b> Insert one (1) copy of this instruction page, for this Division 4, with the boxes in the left hand column checked for verification of the contents.</p>
<p><i>End of Instructions for Division 4 – Professional and Business Credentials.</i></p>	

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# Formal QBS Submittal Requirements

Check	Division 5 – CT DPW Affidavits
<input type="checkbox"/>	<b>1. CT DPW Bid / Proposal Affidavit: <a href="#">Bid / Proposal Affidavit (296F)</a></b> A firm that anticipates the contract value, for the specific project, will be \$500,000 or more, must insert one (1) completed, signed and notarized copy of the CT DPW Bid / Proposal Affidavit, the statutes and Governor Rell’s Executive Order No. 1 (07-01-04).
<input type="checkbox"/>	<b>2. CT DPW - Non-disclosure Affidavit: <a href="#">Non-disclosure Affidavit (205F)</a></b> Insert one (1) completed, signed and notarized copy of the CT DPW - Non-disclosure Affidavit
<input type="checkbox"/>	<b>3. Connecticut Firm Resolutions and/or Certifications: <a href="#">Applicable Connecticut Firm Resolutions and/or Certifications (295F)</a></b> Insert one (1) copy of the prime firm’s current applicable CT Firm Resolutions and/or Certifications as issued by the CT Office of the Secretary of State.
<input type="checkbox"/>	<b>4.</b> Insert one (1) copy of this instruction page, for this Division 5, with the boxes in the left hand column checked for verification of the contents.
<i>End of Instructions for Division 5 – CT DPW Affidavits.</i>	

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# Formal QBS Submittal Requirements

Check	Division 6 - Insurance
<input type="checkbox"/> 1. <b>Professional Errors and Omissions (“Claims Made”) Insurance:</b> Insert one (1) copy of the licensed prime Firm’s current Professional Errors and Omissions (“Claims Made”) Insurance.	<p>Table of Contents</p> <p>Letter of Interest</p> <p>QBS Email Registration</p> <p>Credentials</p> <p>Affidavits</p> <p><b>Insurance</b></p> <p>SF330 Part I CT DPW</p> <p>SF330 Part II CT DPW</p>
<input type="checkbox"/> 2. <b>Liability Insurance Coverage:</b> Insert one (1) copy of the non-licensed prime Firm’s current, appropriate Liability Insurance Coverage.	
<input type="checkbox"/> 3. <b>Stipulated Aggregate Coverage:</b> Insert one (1) copy of the prime Firm’s “Stipulated Aggregate Coverage” of their insurance policy applicable to the Contract(s) being applied for and Minimum Potential Values available. Minimum Potential Values shall be obtained by subtracting out all outstanding resolved and conservatively estimated unresolved Claims.	
<input type="checkbox"/> 4. <b>Claims Loss Summary:</b> Insert one (1) copy of the prime Firm’s historic “Claims Loss Summary” stipulating all claims made against all policies carried by current and any prior Insurers used within the last five [5] years from the Qualifications Submittal Due Date for this selection. <i>Note: DPW may require prime Firms to provide project specific insurance and performance bond coverage depending upon the contract type. The policy/bond shall have values appropriate to the estimated construction costs, scopes of work, warrantee periods, and/or the amount of contract fee awarded and shall name the State of Connecticut as Beneficiary.</i>	
<input type="checkbox"/> 5. Insert one (1) copy of this instruction page, for this Division 6, with the boxes in the left hand column checked for verification of the contents.	
<p><i>End of Instructions for Division 6 – Insurance.</i></p>	

## SF 330 Part I and Part II - CT DPW General Instructions

**Note:** Complete and submit SF 330 Part I and Part II - CT DPW in their entirety. A firm may utilize a third party software to complete Part I and Part II but the software must provide the required information in the same table format as the SF330 – Part I and Part II - CT DPW and SF330 and the federal GSA SF330 Part I and Part II PDF version. Additional information, photo's, continuation sheets, and etc.) may be inserted in the proper locations, but do not insert additional information that will distort the continuity of the table format. Use nine (9) point Ariel, Univers, Helvetica, or a similar san serif font type when completing Part I and Part II. No other SF330 format types except as described above shall be acceptable. All information specifically required by the SF330 – Part I and Part II - CT DPW version that is not required in the federal GSA SF330 Part I and Part II PDF version (example: Part I, Section H) must be inserted in the proper location.

**Part I:** Division 7 - SF 330 Part I - CT DPW (contains the qualification requirements of a Firm for this specific contract. [SF330 – Part I - CT DPW \(217F\)](#))

**Part II:** Division 8 - SF 330 Part II - CT DPW contains the general qualifications of Firm.

Part II has two uses: [SF330 – Part I - CT DPW \(218F\)](#)

1. A Firm must submit Part II to CT DPW to be kept on file.
2. Prepare a separate Part II for each firm that will be part of the team proposed for a specific contract and submitted with Part I. If a firm has branch offices, submit a separate Part II for each branch office that has a key role on the team.

### Definitions

**Architecture / Engineer Services:** Defined in the CT DPW Selection and Bidding Procedure Manual.

**Branch Office:** Means geographically distinct place of business or subsidiary office of a firm that has a key role on the team.

**Discipline:** Means primary technical capabilities of key personnel, as evidenced by academic degree, professional registration, certification, and/or extensive experience.

**Firm:** Defined in the CT DPW Selection and Bidding Procedure Manual.

**Key Personnel:** Means individuals who will have major contract responsibilities and/or provide unusual or unique expertise.

*End of General Instructions for SF 330 Part I and Part II - CT DPW.*

# Formal QBS Submittal Requirements

Check		Division 7 - SF 330 Part I – CT DPW Instructions
<b>Part I: Contract Specific Qualifications Instructions</b>		
<input type="checkbox"/>		Insert one (1) completed SF-330 Part I - CT DPW in each Formal QBS Booklet.
<b>Section A: Contract Information</b>		
<input type="checkbox"/>	<b>1. Advertisement Date:</b>	Insert the CT DPW Web Advertisement date for this Contract.
<input type="checkbox"/>	<b>2. Contract Number:</b>	Enter CT DPW Contract Number and/or project number, if applicable, exactly as shown in the CT DPW Web Advertisement for this contract.
<input type="checkbox"/>	<b>3. Title and Location:</b>	Enter the title and location of the project for which this form is being contract.
<b>Section B: Architect-Engineer Point of Contact</b>		
		Provide information for a representative of the prime firm or joint venture that CT DPW can contact for additional information.
<input type="checkbox"/>	<b>4. Name and Title:</b>	Enter the name and title of prime firm's representative.
<input type="checkbox"/>	<b>5. Name of Firm:</b>	Enter the name of prime firm.
<input type="checkbox"/>	<b>6. Phone Number:</b>	Enter the phone number title of prime firm's representative.
<input type="checkbox"/>	<b>7. Fax Number:</b>	Enter the fax (facsimile) number of prime firm's representative.
<input type="checkbox"/>	<b>8. Email Address:</b>	Enter the Email (electronic) address of prime firm's representative.
<b>Section C: Proposed Team</b>		
		Provide the contractual relationship, name, full mailing address, and a brief description of the role of each firm that will be involved in performance of this contract. List the prime firm or joint venture partners first. If a firm has branch offices, indicate each individual branch office that will have a key role on the team. Identify all sub-consultants and outside associates that shall provide services to the prime firm for this contract. Attach Section C additional sheets, as necessary. <i><b>Note 1:</b> Any sub-consultants and outside associates or consultants required by the prime Firm in connection with the services covered by the contract will be limited to individuals or firms that were specifically identified and agreed to during contract negotiations. The prime Firm shall obtain the CT DPW Project Manager's written consent before making any substitution for these sub- consultants, and outside associates.</i>
<input type="checkbox"/>	<b>9. Firm Name:</b>	Insert the name of applicable Firm.
<input type="checkbox"/>	<b>9a. Prime Firm (P/F):</b>	Check ("PF") box if information is for Prime Firm.
<input type="checkbox"/>	<b>9a. Joint Venture Partner (J/V) Type:</b>	Check the "JV" box if information is for Joint Venture Partner.
<input type="checkbox"/>	<b>9a. Sub-Consultant (SC):</b>	Check "SC" box if information is for a sub-consultant.
<input type="checkbox"/>	<b>9a. Branch Office (B/O):</b>	Check "PO" box if branch office of named Firm.
<input type="checkbox"/>	<b>10. Firm Address:</b>	Insert the address of applicable Firm.
<input type="checkbox"/>	<b>11. Role in this Contract:</b>	Name the services provided for this contract.

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Check	Division 7 –SF 330 Part I - Instructions (continued)
<b>Section D: Organizational Chart of Proposed Team</b>	
<input type="checkbox"/>	At this location in the Formal QBS Booklet insert an attachment after Section C, and present an organizational chart of the proposed team showing the names and roles of all key personnel listed in Section E and the firm they are associated with as listed in Section C.
<b>Section E: Resumes for Key Personnel Proposed for the Contract</b>	
Complete this section for each key person who will participate in this contract. Group by firm, with personnel of the prime contractor or joint venture partner firms first. The following blocks must be completed for each resume:	
<input type="checkbox"/>	<b>12. Name:</b> Self Explanatory.
<input type="checkbox"/>	<b>13. Contract Role:</b> Briefly describe this person's role in this Contract.
<input type="checkbox"/>	<b>14. Years of Experience:</b>
<input type="checkbox"/>	<b>14a. Total:</b> Total years of relevant experience.
<input type="checkbox"/>	<b>14b. With Current Firm:</b> Total years employed by current firm.
<input type="checkbox"/>	<b>15. Firm Name and Location:</b> Name, city and state of the firm where the person currently works, which must correspond with one of the firms (or branch office of a firm, if appropriate) listed in Section C.
<input type="checkbox"/>	<b>16. Education:</b> Provide information on the highest relevant academic degree(s) received. Indicate the area(s) of specialization for each degree.
<input type="checkbox"/>	<b>17. Professional Registration:</b> Provide information on current relevant professional registration(s) in a State or possession of the United States, Puerto Rico or the District of Columbia according to applicable licensing laws.
<input type="checkbox"/>	<b>18. Other Professional Qualifications:</b> Provide information on any other professional qualifications, relating to this contract, such as education, professional registration, publications, organizational memberships certifications, training, awards, and foreign language capabilities.
<input type="checkbox"/>	<b>19. Relevant Projects:</b> Provide information on up to <b>five (5) (do not submit more than 5)</b> projects in which the person had a significant role that demonstrates the person's capability relevant to her/his proposed role in this contract. These projects do not necessarily have to be any of the projects presented in Section F for the project team if the person was not involved in any of those projects or the person worked on other projects that were more relevant than the team projects in Section F. Use the check box provided to indicate if the project was performed with any office of the current firm. If any of the professional services or construction projects are not complete, leave Year Completed blank and indicate the status in Brief Description and Specific Role (block (3)).
<input type="checkbox"/>	<b>19a. (1) Title and Location:</b> Insert relevant project title and location (City and State).
<input type="checkbox"/>	<b>19a. (2) Year Completed:</b> Insert year relevant project completed for Professional Services and Construction (if applicable).
<input type="checkbox"/>	<b>19a. (3) Brief Description:</b> Insert brief description of relevant project (scope, size, cost, etc.).
<b>Section F: Example Projects Which Best Illustrate Proposed Team's Qualifications for This Contract</b>	
Select <b>Ten (10)</b> projects ( <b>do not submit more than 10</b> ) where multiple team members worked together, if possible, that demonstrate the team's capability to perform work similar to that this contract. Complete one Section F for each project. Insert ten (10) projects, (limit one required for project per page). Complete the following blocks for each project:	

Check	<b>Division 7 –SF 330 Part I - Instructions</b> (continued)																																																												
<b>Section F: Example Projects Which Best Illustrate Proposed Team's Qualifications for This Contract</b> (continued)																																																													
<input type="checkbox"/> 20. <b>Project Key Number:</b> Start with "1" for the first project and number consecutively. <input type="checkbox"/> 21. <b>Title and Location:</b> Insert project title and location (City and State). <input type="checkbox"/> 22. <b>Professional Services / Year Completed:</b> Enter the year completed, see note below <input type="checkbox"/> 23. <b>Construction Services / Year Completed:</b> Enter the year completed, see note below. <i>Note: Enter the year completed of the professional services (block 22), (such as planning, engineering study, design, or, surveying), and/or the year completed of construction (block 23), if applicable. If any of the professional services or the construction projects are not complete, leave Year completed blank and indicate the status in "Project and Relevance" (block 24).</i> <input type="checkbox"/> 23a. <b>Project Owner:</b> Project owner or user, such as a government agency or installation, an institution, a corporation or private individual. <input type="checkbox"/> 23b. <b>Point of Contact Name:</b> Provide name of a person associated with the project owner or the organization which contracted for the professional services, who is very familiar with the project and the firm's (or firms') performance. <input type="checkbox"/> 23c. <b>Point of Contact Telephone Number:</b> Self Explanatory. <input type="checkbox"/> 24. <b>Brief Description of Project and Relevance to This Contract:</b> Insert a brief description of project relevance to this contract, scope, size, cost, and special features of the project. Discuss the relevance of the example project to this contract. <input type="checkbox"/> 25. <b>Firms From Section C Involved With This Project:</b> Indicate which firms (or branch offices, if appropriate) on the project team were involved in the relevant project, and their roles.																																																													
<b>Section G: Key Personnel Participation in Example Projects</b>																																																													
This matrix is intended to graphically depict which key personnel identified in Section E worked on the example projects listed in Section F. Complete the following blocks (see example below).																																																													
<b>Example: Entries for Section G (Matrix)</b>																																																													
<input type="checkbox"/> 26. <b>Name of Key Personnel:</b> List the names of the key personnel proposed in this contract in the same order as they appear in Section E.	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%; text-align: center;">26. Names Of Key Personnel (From Section E, Block 12)</th> <th style="width: 30%; text-align: center;">27. Role In This Contract (From Section E, Block 13)</th> <th colspan="10" style="text-align: center;">27. Examples Listed In Section F (Fill in "Example Projects Key" section below completing before table. Place "X" under project key number for participation in same or similar role.)</th> </tr> <tr> <th></th> <th></th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>6</th> <th>7</th> <th>8</th> <th>9</th> <th>10</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Maximilan Kontrolle</td> <td style="text-align: center;">Chief Architect</td> <td style="text-align: center;">X</td> <td></td> <td style="text-align: center;">X</td> <td></td> <td></td> <td></td> <td style="text-align: center;">X</td> <td></td> <td></td> <td style="text-align: center;">X</td> </tr> <tr> <td style="text-align: center;">Gus Eiffel</td> <td style="text-align: center;">Structural Engineer</td> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">Sandy Terra</td> <td style="text-align: center;">Civil Engineer</td> <td></td> <td></td> <td style="text-align: center;">X</td> <td></td> <td></td> <td style="text-align: center;">X</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <input type="checkbox"/> 27. <b>Role In Contract:</b> List the proposed roles of the key personnel in this contract in the same order as they appear in Section E. <input type="checkbox"/> 28. <b>Examples of Projects Listed in Section F:</b> In the column under each project key number (see block 29) and for each key person, place an "X" under the project key number for participation in the same or similar role.	26. Names Of Key Personnel (From Section E, Block 12)	27. Role In This Contract (From Section E, Block 13)	27. Examples Listed In Section F (Fill in "Example Projects Key" section below completing before table. Place "X" under project key number for participation in same or similar role.)												1	2	3	4	5	6	7	8	9	10	Maximilan Kontrolle	Chief Architect	X		X				X			X	Gus Eiffel	Structural Engineer	X	X	X	X							Sandy Terra	Civil Engineer			X			X				
26. Names Of Key Personnel (From Section E, Block 12)	27. Role In This Contract (From Section E, Block 13)	27. Examples Listed In Section F (Fill in "Example Projects Key" section below completing before table. Place "X" under project key number for participation in same or similar role.)																																																											
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Gus Eiffel	Structural Engineer	X	X	X	X																																																								
Sandy Terra	Civil Engineer			X			X																																																						

Check	<b>Division 7 –SF 330 Part I - Instructions</b> (continued)																
<b>Section G: Key Personnel Participation in Example Projects</b> (continued)																	
<input type="checkbox"/>	<p><b>29. Example Projects Key:</b>          List the key numbers and titles of the example projects in the same order as they appear in Section F. In the column under each project key number (see block 29) and for each key person, place an "X" under the project key number for participation in the same or similar role.</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <thead> <tr> <th colspan="4" style="text-align: center;">Example: 29. Projects Key</th> </tr> <tr> <th style="width: 10%;">No.</th> <th style="width: 40%;">Title of Example Project (From Section F)</th> <th style="width: 10%;">No.</th> <th style="width: 40%;">Title of Example Project (From Section F)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>S. King Mental Health Center, Bangor, ME</td> <td style="text-align: center;">6</td> <td>R. Baron Museum, Newport, RI</td> </tr> <tr> <td style="text-align: center;">2</td> <td>H. Clinton Federal Building, NY, NY</td> <td style="text-align: center;">7</td> <td>R. Sox World Headquarters, Boston, MA</td> </tr> </tbody> </table>	Example: 29. Projects Key				No.	Title of Example Project (From Section F)	No.	Title of Example Project (From Section F)	1	S. King Mental Health Center, Bangor, ME	6	R. Baron Museum, Newport, RI	2	H. Clinton Federal Building, NY, NY	7	R. Sox World Headquarters, Boston, MA
Example: 29. Projects Key																	
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2	H. Clinton Federal Building, NY, NY	7	R. Sox World Headquarters, Boston, MA														
<b>Section H: Additional Information</b>																	
<p><b>Important Note: Section H is mandatory and must be completed in its entirety and be inserted at this location in all Formal QBS Submittal Booklets.</b></p>																	
<input type="checkbox"/>	<p><b>30. CT DPW Work - Previous 5 years:</b>          Provide the following information on all CT DPW work for the previous five (5) years. Complete block 30 and state "Not Applicable" if your firm has not completed any DPW projects in the past five (5) years.  <i>Note: Each Firm can hold a maximum of two (2) current, formal CT DPW contracts in Design.</i></p> <p><input type="checkbox"/> <b>30a. CT DPW Project Number:</b> Self Explanatory.</p> <p><input type="checkbox"/> <b>30b. Title and Location:</b> Insert project title and location (City and State).</p> <p><input type="checkbox"/> <b>30c. Project Status:</b> Insert current Phase. (Schematic Design, Design Development, Construction Documents, Bid, or Construction Phase.)</p> <p><input type="checkbox"/> <b>30d. Construction Cost:</b> Contract construction Cost.</p>																
<b>Section H: Additional Information</b>																	
<input type="checkbox"/>	<p><b>31. Probity Questions:</b>          Please answer all of the following questions:  <i>Note: (Use in Item 33 "Remarks and/or additional attachment(s), when further explanation is required.)</i></p> <p><input type="checkbox"/> <b>31.a</b> Has the firm ever failed to complete any project in the previous 10 years? <i>(If yes, identify the project, the party with whom your firm contracted for the work and reasons why the project was not completed in Item 33 "Remarks".)</i></p> <p><input type="checkbox"/> <b>31.b</b> Has the firm had any projects involved in any litigation in the previous ten (10) years? <i>(If yes, explain the nature and current status of each action in Item 33 "Remarks".)</i></p> <p><input type="checkbox"/> <b>31.c</b> Has the firm been assessed damages or penalties for any project in the previous ten (10) years? <i>(If yes, identify the project, the amount and type of damages and reasons for the assessment in Item 33 "Remarks".)</i></p> <p><input type="checkbox"/> <b>31.d</b> Has the firm or any officers, principals or partners that have been indicted or convicted in any jurisdiction for a misdemeanor or felony?</p> <p><input type="checkbox"/> <b>31.e</b> Has the firm had any applications for minority certification rejected or revoked in the previous five (5) years?</p>																

Check	Division 7 –SF 330 Part I - Instructions (continued)
<b>Section H: Additional Information (continued)</b>	
<input type="checkbox"/>	<b>32. Ten Most Recent Contracts:</b> Provide a chronological list (descending order) of the ten most recent contracts completed by your organization in the Northeast with the following Information shown in the example:
<input type="checkbox"/>	<b>32.a. Project Name/Location (City, State):</b> Self Explanatory.
<input type="checkbox"/>	<b>32.b. Contract Substantial Completion Date:</b> Provide substantial completion date as specified in the original construction contract.
<input type="checkbox"/>	<b>32c. Actual Completion Date</b> Self Explanatory.
<input type="checkbox"/>	<b>32d. Bid Construction Cost</b> Provide the construction cost as specified in the original construction contract.
<input type="checkbox"/>	<b>32d. Final Total Construction Cost:</b> Self Explanatory.
<input type="checkbox"/>	<b>33. Remarks:</b> Self Explanatory.
<b>Section I: Authorized Representative</b>	
	An authorized representative of the prime Firm or of a joint venture must sign and date the completed form. Signing attests that the information provided is current and factual, and that all firms on the proposed team agree to work on the project. Joint ventures selected for negotiations must make available a statement of participation by a principal of each member of the joint venture.
<input type="checkbox"/>	<b>34. Signature of Authorized Representative:</b> Self Explanatory.
<input type="checkbox"/>	<b>35. Date Signed:</b> Self Explanatory.
<input type="checkbox"/>	<b>36. Name and Title of Signer:</b> Self Explanatory.
<input type="checkbox"/>	<b>37.</b> Insert one (1) copy of this instruction pages, for this Division 7, with the boxes in the left hand column checked for verification of the contents.
<i>End of Instructions for Division 7 –SF 330 Part I.</i>	

# Formal QBS Submittal Requirements

Check	<b>Division 8 – SF 330 Part II - CT DPW Instructions</b>
<input type="checkbox"/> Prepare a separate Part II for each firm that will be part of the team proposed for a specific contract and submitted with Part I. If a firm has branch offices, submit a separate Part II for each branch office that has a key role on the team. Insert one (1) completed SF-330 Part II - CT DPW in each Formal QBS Booklet. <a href="#">SF330 Part II CT DPW (218F)</a>	Table of Contents
<b>Part II: General Qualifications Instructions</b>	
<input type="checkbox"/> <b>1. Advertisement Date</b> Insert the CT DPW Web Advertisement date for this Contract.	Letter of Interest
<input type="checkbox"/> <b>2. Contract Number:</b> Enter DPW Contract Number and/or project number, if applicable, exactly as shown in the CT DPW Web Advertisement for this contract.	
<input type="checkbox"/> <b>3. Firm Name:</b> Self Explanatory.	QBS Email Registration
<input type="checkbox"/> <b>3a. Firm Street:</b> Self Explanatory.	
<input type="checkbox"/> <b>3b. Firm City:</b> Self Explanatory.	
<input type="checkbox"/> <b>3c. Firm State:</b> Self Explanatory.	
<input type="checkbox"/> <b>3d. Zip Code:</b>	Credentials
<input type="checkbox"/> <b>4. Point of Contact:</b>	
<input type="checkbox"/> <b>4a. Point of Contact Name and Title:</b> Provide name/title of a firm representative that DPW can contact for additional information (the representative must be empowered to speak on contractual and policy matters).	
<input type="checkbox"/> <b>4b. Point of Contact Phone Number:</b> Self Explanatory.	Affidavits
<input type="checkbox"/> <b>4c. Point of Contact Email Address:</b> Self Explanatory.	
<input type="checkbox"/> <b>5. Ownership:</b>	Insurance
<input type="checkbox"/> <b>5a. Ownership – Type:</b> Enter the type of ownership or legal structure of the firm (sole proprietor, partnership, corporation, joint venture, etc.).	
<input type="checkbox"/> <b>5b. Small Contractor and/or Minority Business Status:</b> One (1) completed certification of for all “Small Contractor and/or “Minority Business Enterprise” eligibility for “Set-Aside” contracts in accordance with CGS § 32-9e. Certification can be obtained through the CT Department of Administrative Services.	
<input type="checkbox"/> <b>6. Name of Firm:</b> Enter the name of the firm if Part II is prepared for a branch office.	SF330 Part I CT DPW
<input type="checkbox"/> <b>7. Former Firm Names:</b> Indicate any other previous names for the firm (or branch office) during the last five years. Insert the year that this corporate name change was effective.	
<input type="checkbox"/> <b>7.a Years Established:</b> Enter the year the firm (or branch office, if appropriate) was established under the current	<b>SF330 Part II CT DPW</b>

Check	Division 8 – SF 330 Part II - I CT DPW Instructions (Continued)
<b>Part II: General Qualifications Instructions(Continued)</b>	
<input type="checkbox"/>	<p><b>8. Employees by Discipline:</b>            Use the relevant disciplines and associated function codes shown at the end of these instructions and list in the same numerical order. After the listed disciplines, write in any the additional disciplines and leave function code blank. List no more than 20 disciplines. Group remaining employees under "Other Employees" in column b. Each person can be counted only once according to his/her primary function. If Part II is prepared for a firm (including all branch offices), enter the number of employees by disciplines in column c(1). If Part II is prepared for a branch office, enter the number of employees by discipline in column c(2) and for the firm in column c(1).</p> <p><input type="checkbox"/> <b>8a. Function Code:</b>            See List of Employees by Discipline (Function Codes) at the end of SF330 Part II - CT DPW</p> <p><input type="checkbox"/> <b>8b. Discipline:</b>            See List of Employees by Discipline at the end of SF330 Part II - CT DPW</p> <p><input type="checkbox"/> <b>8c. No. of Employees:</b>            Self Explanatory.</p> <p><input type="checkbox"/> <b>8d. No. of Branch Employees:</b>            Self Explanatory.</p>
<input type="checkbox"/>	<p><b>9. Profile of Firm's Experience and Annual Average Revenue for Last 5 Years:</b>            Complete this block for the firm or branch office for which this Part II is prepared. A particular project may be identified with one experience category or it may be broken into components, as best reflects the capabilities and types of work performed by the firm. However, do not double count the revenues received on a particular project.</p> <p><input type="checkbox"/> <b>9a. Profile Code:</b>            See List of Experience Categories (Profile Code) at the end of SF330 Part II – CT DPW.</p> <p><input type="checkbox"/> <b>9b. Experience:</b>            Enter the experience categories which most accurately reflect the firm's technical capabilities and project experience. Use the relevant experience categories shown at the end of SF330 Part II - CT DPW, and list in the same numerical order. After the listed experience categories, write in any unlisted relevant project experience categories and leave the profile codes blank.</p> <p><input type="checkbox"/> <b>9c. Revenue Index:</b>            For each type of experience, enter the appropriate revenue index number to reflect the professional services revenues received annually (averaged over the last 5 years) by the firm or branch office for performing that type of work. See Professional Services Revenue Index Number at the end of SF330 Part II - CT DPW.</p>
<input type="checkbox"/>	<p><b>10. Annual Average Professional Services Revenues of Firm for Last 3 Years:</b>            Annual Average Professional Services Revenues of Firm for Last 3 Years. Complete this block for the Prime Firm or branch office for which this Part II is prepared. Enter the appropriate revenue index numbers to reflect the professional services revenues received annually (averaged over the last 3 years) by the firm or branch office. Indicate State of CT Work, State of CT Local Municipality Work, Federal Work, and Private Sector Work (performed either as the prime firm or subconsultant), and the total.  <i>Note: If the firm has been in existence for less than 3 years, then indicate the total receipts for the period that the Firm has been in business, divided by the number of weeks including fractions of a week that it has been in business, and multiplied by 52.</i></p> <p><input type="checkbox"/> <b>10a State of CT Work:</b>            Self Explanatory.</p> <p><input type="checkbox"/> <b>10b. State of CT Local Municipality Work:</b>            Self Explanatory.</p>

# Formal QBS Submittal Requirements

Check	Division 8 – SF 330 Part II - Instructions (Continued)	
<b>Part II: General Qualifications Instructions (Continued)</b>		
<input type="checkbox"/>	<b>10c. Federal Work</b>	Self Explanatory
<input type="checkbox"/>	<b>10d. Private Sector Work</b>	Self Explanatory
<input type="checkbox"/>	<b>10e. Total Work</b>	Self Explanatory
	<b>11. Authorized Representative:</b>	An authorized representative of the firm or branch office must sign and date the completed form. Signing attests that the information provided is current and factual. Provide the name and title of the authorized representative who signed the form.
<input type="checkbox"/>	<b>11a. Signature of Authorized Representative:</b>	Self Explanatory
<input type="checkbox"/>	<b>11b. Date Signed:</b>	Self Explanatory.
<input type="checkbox"/>	<b>11c. Name and Title of Signer:</b>	Self Explanatory
<input type="checkbox"/>	<b>12. List of Disciplines (Function Codes)</b>	Insert a copy of the Function Codes.
<input type="checkbox"/>	<b>13. List of Experience Categories (Profile Codes)</b>	Insert a copy of the Profile Codes.
<input type="checkbox"/>	<b>14.</b>	Insert one (1) copy of the instruction pages, for this Division 8, with the boxes in the left hand column checked for verification of the contents.

*End of Instructions for Division 8 –SF 330 Part II.*

***End of Formal QBS Submittal Requirements***

## Formal QBS Email Registration

### Formal QBS Email Registration

Division 3 of the Formal QBS Submittal Requirements requires the prime firm to email one (1) completed Formal QBS Email Registration to Rose Mitchell - DPW by the due date for this Contract at the following address:

[rose.mitchell@po.state.ct.us](mailto:rose.mitchell@po.state.ct.us).

Provide the following information for two (2) representatives of the firm that DPW can contact for additional information.

<b>1. Type of Consultant Services:</b>	Exactly as per Web Advertisement for this Contract.
<b>2. DPW Contract Number:</b>	Exactly as per Web Advertisement for this Contract.
<b>3. Project Name:</b>	Exactly as per Web Advertisement for this Contract.
<b>4. Project Location:</b>	Exactly as per Web Advertisement for this Contract.
<b>5. 1<sup>st</sup>. Contact Name:</b>	First Contact Name
<b>5a. 1<sup>st</sup>. Contact Phone Number:</b>	Self Explanatory.
<b>5b. 1<sup>st</sup>. Contact Email Address:</b>	Self Explanatory.
<b>6. 2<sup>nd</sup>. Contact Name:</b>	Second Contact Name
<b>6a. 2<sup>nd</sup>. Contact Phone Number:</b>	Self Explanatory.
<b>6b. 2<sup>nd</sup>. Contact Email Address:</b>	Self Explanatory.
<b>7. Firm Legal Name:</b>	Enter the legal name of the prime firm.
<b>8. Firm Street:</b>	Self Explanatory.
<b>9. Firm City:</b>	Self Explanatory.
<b>10. Firm State:</b>	Self Explanatory.
<b>11. Firm Zip Code:</b>	Self Explanatory.

<b>Architect – Engineer Qualifications</b>	1. Advertisement Date:	2. Contract Number:
<b>Part I: Contract Specific Qualifications Instructions</b>		

<b>Section A: Contract Information</b>
3 Title and Location ( <i>City and State</i> ):

<b>Section B: Architect-Engineer Point of Contact</b>			
4. Name and Title:	5. Name of Firm:		
6. Phone Number:	7. Fax Number:	8. Email Address:	

<b>Section C: Proposed Team</b>						
9 (a). Check				9. Firm Name	10. Firm Address	11. Role in this Contract
PF	JV	SC	B/O			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

**Section D: Organizational Chart of Proposed Team**

At this location in the Formal QBS Booklet insert an attachment of the organizational chart of the proposed team showing the names and roles of all key personnel listed in Section E and the firm they are associated with as listed in Section C.

Section E: Resumes for Key Personnel Proposed for the Contract				
12. Name		13. Role In This Contract		14. Years Of Experience
				a. Total
				b. With Current Firm
15. Firm Name and Location: <i>(City And State)</i>				
16. Education:		17. Professional Registration:		18. Other Professional Qualifications:
19. Relevant Projects				
<b>a.</b>	(1) Title and Location <i>(City and State)</i>		(2) Year Completed	
			Professional Services	Construction <i>(If Applicable)</i>
				Project with Current Firm
				<input type="checkbox"/>
(3) Brief Description <i>(Brief Scope, Size, Cost, Etc.)</i> and Specific Role				
<b>b.</b>	(1) Title and Location <i>(City and State)</i>		(2) Year Completed	
			Professional Services	Construction <i>(If Applicable)</i>
				Project with Current Firm
				<input type="checkbox"/>
(3) Brief Description <i>(Brief Scope, Size, Cost, Etc.)</i> and Specific Role				
<b>c.</b>	(1) Title and Location <i>(City and State)</i>		(2) Year Completed	
			Professional Services	Construction <i>(If Applicable)</i>
				Project with Current Firm
				<input type="checkbox"/>
(3) Brief Description <i>(Brief Scope, Size, Cost, Etc.)</i> and Specific Role				
<b>d.</b>	(1) Title and Location <i>(City and State)</i>		(2) Year Completed	
			Professional Services	Construction <i>(If Applicable)</i>
				Project with Current Firm
				<input type="checkbox"/>
(3) Brief Description <i>(Brief Scope, Size, Cost, Etc.)</i> and Specific Role				
<b>e.</b>	(1) Title and Location <i>(City and State)</i>		(2) Year Completed	
			Professional Services	Construction <i>(If Applicable)</i>
				Project with Current Firm
				<input type="checkbox"/>
(3) Brief Description <i>(Brief Scope, Size, Cost, Etc.)</i> and Specific Role				

<b>Section F: Example Projects Which Best Illustrate Proposed Team's Qualifications</b>			
Present Select <b>Ten (10)</b> projects <b>(do not submit more than 10)</b> . Complete one (1) Section F for each project. Insert ten projects (limit one project per page). Complete the following blocks for each project:			
20. Example Project Key No.	21. Title and Location ( <i>City and State</i> )	22. Years Completed	
		Professional Services	Construction ( <i>If Applicable</i> )
<b>23. Project Owner's Information</b>			
a. Project Owner:	b. Point of Contact Name:	c. Point of Contact Phone Number:	
<b>24. Brief Project Description and relevance to this Contract (<i>Scope, Size, Cost, etc.</i>)</b>			
<b>25. Firms From Section C (Proposed Team) Involved With This Project</b>			
<b>a.</b>	(1) Firm Name	(2) Firm Location ( <i>City and State</i> )	(3) Role
<b>b.</b>	(1) Firm Name	(2) Firm Location ( <i>City and State</i> )	(3) Role
<b>c.</b>	(1) Firm Name	(2) Firm Location ( <i>City and State</i> )	(3) Role
<b>d.</b>	(1) Firm Name	(2) Firm Location ( <i>City and State</i> )	(3) Role
<b>e.</b>	(1) Firm Name	(2) Firm Location ( <i>City and State</i> )	(3) Role
<b>f.</b>	(1) Firm Name	(2) Firm Location ( <i>City and State</i> )	(3) Role



<b>Section H: Additional Information</b>			
30. CT DPW Work - Previous 5 years			
(a) Project Number	(b) Project Title/ Location ( <i>City</i> )	(c) Project Status	(d) Construction Cost

31. Probity Questions:
(a) Has the firm ever failed to complete any project in the previous 10 years?
(b) Has the firm had any projects involved in any litigation in the previous ten (10) years?
(c) Has the firm been assessed damages or penalties for any project in the previous ten (10) years?
(d) Has the firm or any officers, principals or partners that have been indicted or convicted in any jurisdiction for a misdemeanor or felony?
(e) Has the firm had any applications for minority certification rejected or revoked in the previous five (5) years?

32. Remarks

**Section H: Additional Information (Continued)**

**33. Chronological List of the Ten Most Recent Contracts**

(a) Project Title/ Location <i>(City, State)</i>	(b) Contract Substantial Completion Date	(c) Actual Completion Date	(d) Bid Construction Cost	(e) Final Total Construction Cost

**Section I: Authorized Representative**

*(The foregoing is a statement of facts.)*

34. Signature of Authorized Representative:	35. Date Signed:
36. Name and Title of Signer:	

**End of CT-DPW Modified SF330 - Part I**





12. List of Disciplines (Function Codes)			
Code	Description	Code	Description
01	Acoustical Engineer	32	Hydraulic Engineer
02	Administrative	33	Hydrographic Surveyor
03	Aerial Photographer	34	Hydrologist
04	Aeronautical Engineer	35	Industrial Engineer
05	Archeologist	36	Industrial Hygienist
06	Architect	37	Interior Designer
07	Biologist	38	Land Surveyor
08	CADD Technician	39	Landscape Architect
09	Cartographer	40	Materials Engineer
10	Chemical Engineer	41	Materials Handling Engineer
11	Chemist	42	Mechanical Engineer
12	Civil Engineer	43	Mining Engineer
13	Communications Engineer	44	Oceanographer
14	Computer Programmer	45	Photo Interpreter
15	Construction Inspector	46	Photogrammetrist
16	Construction Manager	47	Planner: Urban/Regional
17	Corrosion Engineer	48	Project Manager
18	Cost Engineer/Estimator	49	Remote Sensing Specialist
19	Ecologist	50	Risk Assessor
20	Economist	51	Safety/Occupational Health Engineer
21	Electrical Engineer	52	Sanitary Engineer
22	Electronics Engineer	53	Scheduler
23	Environmental Engineer	54	Security Specialist
24	Environmental Scientist	55	Soils Engineer
25	Fire Protection Engineer	56	Specifications Writer
26	Forensic Engineer	57	Structural Engineer
27	Foundation/Geotechnical Engineer	58	Technician/Analyst
28	Geodetic Surveyor	59	Toxicologist
29	Geographic Information System Specialist	60	Transportation Engineer
30	Geologist	61	Value Engineer
31	Health Facility Planner	62	Water Resources Engineer

**13. List of Experience Categories (Profile Codes)**

Code	Description
A01	Acoustics, Noise Abatement
A02	Aerial Photography; Airborne Data and Imagery Collection and Analysis
A03	Agricultural Development; Grain Storage; Farm Mechanization
A04	Air Pollution Control
A05	Airports; Navais; Airport Lighting; Aircraft Fueling
A06	Airports; Terminals and Hangars; Freight Handling
A07	Arctic Facilities
A08	Animal Facilities
A09	Anti-Terrorism/Force Protection
A10	Asbestos Abatement
A11	Auditoriums and Theaters
A12	Automation; Controls; Instrumentation
B01	Barracks; Dormitories
B02	Bridges
C01	Cartography
C02	Cemeteries (Planning and Relocation)
C03	Charting; Nautical and Aeronautical
C04	Chemical Processing and Storage
C05	Child Care/Development Facilities
C06	Churches; Chapels
C07	Coastal Engineering
C08	Codes; Standards; Ordinances
C09	Cold Storage; Refrigeration and Fast Freeze
C10	Commercial Building (Low Rise); Shopping Centers
C11	Community Facilities
C12	Communications Systems; TV; Microwave
C13	Computer Facilities; Computer Service
C14	Conservation and Resource Management
C15	Construction Management
C16	Construction Surveying
C17	Corrosion Control; Cathodic Protection Electrolysis
C18	Cost Estimating; Cost Engineering and Analysis; Parametric Costing; Forecasting
C19	Cryogenic Facilities
D01	Dams (Concrete; Arch)
D02	Dams (Earth; Rock); Dikes; Levees
D03	Desalinization (Process and Facilities)
D04	Design-Build - Preparation of Requests for Proposals
D05	Digital Elevation and Terrain Model Development
D06	Digital Orthophotography
D07	Dining Halls; Clubs; Restaurants
D08	Dredging Studies and Design
E01	Ecological and Archeological Investigations
E02	Educational Facilities; Classrooms
E03	Electrical Studies and Design

Code	Description
E04	Electronics
E05	Elevators; Escalators; People-Movers
E06	Embassies and Chanceries
E07	Energy Conservation; New Energy Sources
E08	Engineering Economics
E09	Environmental Impact Studies, Assessments or Statements
E10	Environmental and natural Resource Mapping
E11	Environmental Planning
E12	Environmental Remediation
E13	Environmental Testing and Analysis
F01	Fallout Shelters; Blast-Resistant Design
F02	Field Houses; Gyms; Stadiums Shopping Centers
F03	Fire Protection
F04	Fisheries; Fish Ladders
F05	Forensic Engineering
F06	Forestry and Forest Products
G01	Garages; Vehicles Maintenance Facilities; Parking Decks
G02	Gas Systems (Propane; Natural, Etc.)
G03	Geodetic Surveying: Ground and Air-borne
G04	Geographic Information System Services: Development, Analysis, and Data Collection
G05	Geospatial Data Conversion: Scanning Digitizing, Compilation, Attributing, Scribing, Drafting
G06	Graphic Design
M08	Modular systems Design; Pre-Fabricated Structures or Components
H01	Harbors; Jetties; Piers, Ship Terminal Facilities
H02	Hazardous Materials Handling and Storage
H03	Hazardous, Toxic, Radioactive Waste Remediation
H04	Heating; Ventilating; Air Conditioning
H05	Health Systems Planning
H06	High-rise; Air-Rights-Type Buildings
H07	Highways; Streets; Airfield Paving; Parking Lots
H08	Historical Preservation
H09	Hospital and Medical Facilities
H10	Hotels; Motels
H11	Housing (Residential, Multi-Family; Apartments; Condominiums)
H12	Hydraulics and Pneumatics
H13	Hydrographic Surveying
I01	Industrial Buildings; Manufacturing Plants
I02	Industrial Processes; Quality Control
I03	Industrial Waste Treatment
I04	Intelligent Transportation Systems
I05	Interior Design; Space Planning
I06	Irrigation; Drainage
J01	Judicial and Courtroom Facilities

# Formal QBS Submittal Requirements

Code	Description
L01	Laboratories; Medical Research Facilities
L02	Land Surveying
L03	Landscape Architecture
L04	Libraries; Museums; Galleries
L05	Lighting ( <i>Interior; Display; Theater, Etc.</i> )
L06	Lighting (Exteriors; Streets; Memorials; Athletic Fields, Etc)
M01	Mapping Location/Addressing Systems
M02	Materials Handling Systems Conveyors; Sorters
M03	Metallurgy
M04	Microclimatology; Tropical Engineering
M05	Military Design Standards
M06	Mining and Mineralogy
M07	Missile Facilities ( <i>Silos; Fuels; Transport</i> )
N01	Naval Architecture; Off-Shore Platforms
N02	Navigation Structures; Locks
N03	Nuclear Facilities; Nuclear Shielding
O01	Office Buildings; Industrial Parks
O02	Oceanographic Engineering
O03	Ordnance; Munitions; Special Weapons
P01	Petroleum Exploration; Refining
P02	Petroleum and Fuel (Storage and Distribution)
P03	Photogrammetry
P04	Pipelines (Cross-Country - Liquid and Gas)
P05	Planning (Community, Regional, Areawide and State)
P06	Planning (Site, Installation and Project)
P07	Plumbing and Piping Design
P08	Prisons and Correctional Facilities
P09	Product, Machine Equipment Design
P10	Pneumatic Structures, Air-Support Buildings
P11	Postal Facilities
P12	Power Generation, Transmission, Distribution
P13	Public Safety Facilities
R01	Radar; Sonar; Radio and Radar Telescopes
R02	Radio Frequency Systems and Shieldings
R03	Railroad; Rapid Transit
R04	Recreation Facilities (Parks, Marinas, Etc.)
R05	Refrigeration Plants/Systems
R06	Rehabilitation (Buildings; Structures, Facilities)
R07	Remote Sensing

Code	Description
R08	Research Facilities
R09	Resources Recovery; Recycling
R10	Risk Analysis
R11	Rivers; Canals; Waterways; Flood Control
R12	Roofing
S01	Safety Engineering; Accident Studies; OSHA Studies
S02	Security Systems; Intruder and Smoke Detection
S03	Seismic Designs and Studies
S04	Sewage Collection, Treatment and Disposal
S05	Soils and Geologic Studies; Foundations
S06	Solar Energy Utilization
S07	Solid Wastes; Incineration; Landfill
S08	Special Environments; Clean Rooms, Etc.
S09	Structural Design; Special Structures
S10	Surveying; Platting; Mapping; Flood Plain Studies
S11	Sustainable Design
S12	Swimming Pools
S13	Storm Water Handling and Facilities
T01	Telephone Systems (Rural; Mobile; Intercom, Etc.)
T02	Testing and Inspection Services
T03	Traffic and Transportation Engineering
T04	Topographic Surveying and Mapping
T05	Towers (Self-Supporting and Guyed Systems)
T06	Tunnels and Subways
U01	Unexploded Ordnance Remediation
U02	Urban renewals; Community Development
U03	Utilities (Gas and Steam)
V01	Value Analysis; Life-Cycle Costing
W01	Warehouse and Depots
W02	Water Resources; Hydrology; Ground Water
W03	Water Supply; Treatment and Distribution
W04	Wind Tunnels; Research/Testing Facilities Design
Z01	Zoning; Land Use Studies

**End of CT-DPW Modified SF330 - Part II**

# Ineligibility Determination Letter

**Date:** April 14, 2005

**Via Facsimile: Insert Firms Fax Number**

**To:** Firm's Name  
Address  
City/Town, Connecticut

**Reference:** Project Name  
Project Address  
City /Town, Connecticut

**Contract Number:**

**Subject:** ***Notification of Ineligibility for this Project.***

**Attention:** Firm's Point of Contact Name, Title

Dear Firm's Point of Contact Name:

This letter is to serve notice that Firm's Name has been deemed not ineligible for this contract in accordance with the requirements of Sec. 4b-102 of the General Statutes by the Commissioner of the Department of Public Works, State of Connecticut

This determination is based specifically on the following items that are noted in the checked box below:

- Your firm currently holds two (2) formal Contracts with DPW;
- Your firm is not properly licensed in the State;
- Your firm is not properly insured;
- The firm has been deemed not qualified;
- Other

Therefore your firm will not be allowed to pursue the following Contract:

**Project Title/Location:** Consultant Type  
Project Title  
Facility Name  
Project street address  
City/Town, Connecticut

**Contract Number:** Contract Number

If you have questions, you may contact Tom Lowell, Selection Supervisor at 860 713-5694.

Sincerely,

---

Al Herring  
DPW Chief Engineer

cc: A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair  
D. Rodosevich - DPW Attorney  
File: Contract File Color/Number

# Non-Responsive Letter

Date: April 14, 2005

**Via Facsimile: Insert Firm's Fax Number**

To: Firm Name  
Address  
City/Town, Connecticut

Reference: Project name  
Project Address  
City /Town, Connecticut

Contract Number:

Subject: ***Firm Not Responsive for This Project***

Attention: Firm's Point of Contact Name, Title

Dear Firm's Point of Contact Name:

Thank you for the time and effort that was expended on your submission of a Formal QBS Booklet for the referenced Contract. After a review of your Booklet, the State of Connecticut, Department of Public Works has found your it to be non-responsive to the information requirements as indicated on the checklist below. We are writing with the expectation that this notification will assist you in submitting a complete and properly formatted Formal QBS Booklet in the future.

This determination is based on the following:

Late Submission of QBS Booklets.

Or a deficiency of submittal requirements in the following Divisions of your Formal QBS Booklet:

- |                                     |                                       |                                     |                         |
|-------------------------------------|---------------------------------------|-------------------------------------|-------------------------|
| <input type="checkbox"/> Division 1 | Table Of Contents                     | <input type="checkbox"/> Division 5 | Affidavits              |
| <input type="checkbox"/> Division 2 | Letter of Interest                    | <input type="checkbox"/> Division 6 | Insurance               |
| <input type="checkbox"/> Division 3 | Formal QBS Email Registration         | <input type="checkbox"/> Division 7 | SF 330 Part I CT DPW    |
| <input type="checkbox"/> Division 4 | Professional and Business Credentials | <input type="checkbox"/> Division 8 | SF 330 Part II - CT DPW |

We hope that you will continue to pursue work in the public sector with the State of Connecticut, Department of Public Works.

Very truly yours,

T.C. Lowell, RA - Selection Supervisor

TCL/rm

cc: A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair  
D. Rodosevich - DPW Attorney  
File: Contract File Color/Number

# QBS Panel Member Email Notification

QBS Panel Member Email Notification			
<p>The following DPW Bureau of Design and Construction panel members shall be randomly assigned to serve on each panel from a pool of technically qualified persons that have been appointed by the DPW Commissioner. The following agency panel members have been appointed by the user agency head.</p>			
<b>Date:</b>	Insert Date		
<b>To:</b>	<b>DPW Screening Panel Members</b>	<b>Interview Panel Members</b>	
	Screening Panel Member Name	Interview Panel Member Name	
	Screening Panel Member Name	Interview Panel Member Name	
	Screening Panel Member Name	Interview Panel Member Name	
	Screening Panel Member Name	Interview Panel Member Name	
	<b>Agency Screening Panel Member</b>	<b>Agency Interview Panel Member</b>	
	Screening Panel Member Name	Interview Panel Member Name	
	<b>CSU Second CHEFA Screening Panel Member</b>	<b>CSU Second CHEFA Interview Panel Member</b>	
	Screening Panel Member Name	Interview Panel Member Name	
<b>Cc:</b>	PM-PM Name, SPM -SPM Name, AI Herring, Bruce Bockstael		
<b>Subject:</b>	<b>Appointment for Contract # Contract number</b>		
<b>Content</b>	Project Name:		Insert Project Name
	Contract Number:		Insert Contract Number
	Consultant Type:		Formal <input type="checkbox"/> Informal <input type="checkbox"/> On-call <input type="checkbox"/>
	Due date for submittals		Insert Date
	Name of Chair/Project Manager:		Insert PM Name
	Substitution request forms of panel members due by		Insert Date
	Date/ location of screening panel mandatory meeting		Insert Date & Room No. Location
	Date /location of submittals for screening panel		Insert Date & Room No. Location
	Date completed Screening Rating Sheet is due		Insert Date
	Site tour date for short listed firms (optional attendance for panel members)		Insert Date
	Interview date		Insert Date
	Project Reference Documents List :		
	Reference Document		Reference Document
	Reference Document		Reference Document
	Reference Document		Reference Document
	Reference Document		Reference Document
	Reference Document		Reference Document
Reference Document		Reference Document	

Thank you,  
  
 T.C. Lowell, RA - Selection Supervisor

**Screening Rating Guidelines: Grade Values for the Four Criteria Categories**

<b>1 Firm's Experience with Projects of Similar Size and Scope to this Project</b>	
<b>A</b>	<b>Highly Responsive:</b> The SF 330 CT DPW indicates experience in projects of similar complexity and budget. Currency of projects (more recent = better). The firm's project manager assigned to this has done at least 3-5 Projects and the team assigned has done 2 or 3 similar projects. Government sector work experience is a plus.
<b>B</b>	<b>Responsive:</b> Sufficient number of relevant projects, but may not be recent. Or recent, but fewer. May not be same dollars. May correlate but not an exact match to DPW project.
<b>C</b>	<b>Minimally Responsive:</b> Team and project managers have less relevant experience or experience is dated. Project manager must have completed 2 similar projects, and team has completed 1 similar project.
<b>F</b>	<b>Unacceptable:</b> Limited or no relevant project experience by either the project manager (0-2 projects) and/or the team (0).

<b>2 Firm's Organizational / Team Structure for This Project</b>	
<b>A</b>	<b>Highly Responsive:</b> The team reflects the diversity of skills required by the project. There is sufficient staff on the team with required discipline and skill sets aligned with project needs. Size is not a factor: a small firm may be appropriately staffed to meet project needs or can show an effort to bring in the appropriate skills. A firm may collaborate with a partner or recruit a specialized consultant to assemble the team necessary to meet the specific project requirements.
<b>B</b>	<b>Responsive:</b> The firm has assembled a good team, with a little less depth or breadth.
<b>C</b>	<b>Minimally Responsive:</b> The firm presented a canned team with little effort to customize the team to meet project needs. The skills may be limited, e.g. the team may be lacking a secondary skill or there is too much reliance on one person.
<b>F</b>	<b>Unacceptable:</b> The team skills are inadequate or do not match the project needs. There is insufficient or no Provision for meeting critical elements of the project.

<b>3 Firm's Past Performance Record</b>	
	NOTE: Written A/E evaluations completed by DPW will be shared with panel members, when available.
<b>A</b>	<b>Highly Responsive:</b> The average score on the consultant evaluation is 4.5-5. The team has experience with similar projects with positive track record (on time/within budget), uses a consistent methodology, with few mistakes. Part I of the firm's SF330 CT DPW indicate a customized approach, high project comparability, and relevant experience in projects recently completed. References for similar projects are positive, with a track record for delivering high quality, on time and within budget. Presents minimal or no risk to client. New firms receive an "A."
<b>B</b>	<b>Responsive:</b> The team may have done good work for DPW, but on a different type of project. Their submission brochure may not highlight performance, but there is little indication of problems. References may be provided for comparable projects or for parts of the team.
<b>C</b>	<b>Minimally Responsive:</b> Past performance is inconsistent. Parts of the team may have done well in isolation; others may not have done well. References provide little insight into performance of the firm or team.
<b>F</b>	<b>Unacceptable:</b> Poor past performance coupled with claims history. High risk to client

## Formal QBS Screening Rating Guidelines

4	<b>Firm's Partnering Experience</b>
<b>A</b>	<b>Highly Responsive:</b> Partners have experience working together. The more similar projects, the better. The partners are cited in the cover letter and roles are clearly defined. The relevant sub-consultant experience is cited on the SF330 CT DPW. The lead firm is readily accessible.
<b>B</b>	<b>Responsive:</b> The team has worked together previously, but the work may not be similar vis-a-vis size and scope. They may have worked on something that is comparable (EX: college lab experience vs. hospital lab experience). Or the work may not be recent.
<b>C</b>	<b>Minimally Responsive:</b> Individual members of the team (such as the prime and one of the sub-consultants) have worked together in the past on similar projects, but the entire team has not worked together or has limited experience working together. Members may have worked on disparate parts of a similar project.
<b>F</b>	<b>Unacceptable:</b> The team has limited or no experience working together, is from disparate geographical areas and the decision-maker, or lead firm, is not readily accessible.

**Note 1:** All firms shall receive an "A" for past performance unless there is information in their completed evaluations, the two (2) completed phone references or their initial submittal indicates otherwise, such as:

1. failed to complete a project
2. involved in any litigation in the last ten years
3. failed to complete a project
4. has been assessed damages or penalties for a project officers/principals partners been indicted or convicted for a misdemeanor or felony or
5. has had an application for minority certification been rejected in the past twelve months.

**Note 2:** All proposals should first be reviewed first against criteria # 1: Experience in projects of similar size and scope. Any proposals deemed "Unacceptable" shall not be considered further. Comments should be noted on the Screening Matrix Form.

### Default Grade Point Values for the Four (4) Screening Criteria Categories

Criteria Number	Screening Criteria Categories	Grade Point Values (Default Rating Points)			
		A = 100%	B = 80%	C = 60%	F = 0%
1	Firm's Experience with Projects of Similar Size and Scope to this Project	35	28	21	0
2	Firm's Organizational / Team Structure For This Project	30	24	18	0
3	Firm's Past Performance Record	20	16	12	0
4	Firm's Partnering Experience	15	12	9	0
<b>Percentage Totals</b>		<b>100%</b>	<b>80%</b>	<b>60%</b>	<b>0%</b>

# Formal QBS Screening Rating Sheet

Contract Number \_\_\_\_\_

Screening Date: \_\_\_\_\_

Project: \_\_\_\_\_  
 Name/Location \_\_\_\_\_

Panel Member Name: \_\_\_\_\_

Criteria Number	Screening Criteria Categories	Grade Point Values (Default Rating Points)			
		A = 100%	B = 80%	C = 60%	F = 0%
1	Firm's Experience with Projects of Similar Size and Scope to this Project	35	28	21	0
2	Firm's Organizational / Team Structure For This Project	30	24	18	0
3	Firm's Past Performance Record	20	16	12	0
4	Firm's Partnering Experience	15	12	9	0
<b>Percentage Totals</b>		<b>100%</b>	<b>80%</b>	<b>60%</b>	<b>0%</b>

Team		Screening Criteria Categories				Comments
Architect	Engineer/Consultant	1	2	3	4	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	

# Formal QBS Screening Rating Sheet

Team		Screening Criteria Categories				Comments
Architect	Engineer/ Consultant	1	2	3	4	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	

# Formal QBS Screening Rating Sheet

Team		Screening Criteria Categories				Comments
Architect	Engineer/ Consultant	1	2	3	4	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	
		Grade:	Grade:	Grade:	Grade:	

*I certify that I have not communicated information with any Firm prior to the advertisement of the above mentioned Department of Public Works project and will not communicate information through notification of the final selection that is not available to other Firms. I further certify that my rating of the above mentioned persons, firms, or corporations was not the result of collusion, the giving of a gift, fraud or inappropriate influence from any person.*

**Panel Member Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_



# Short-listed Invitation to Interview

**Date:** April 14, 2005

**Via Facsimile: Insert Firm's Fax Number**

**To:** Firm Name  
 Address  
 City/Town, Connecticut

**Reference:** Project name  
 Project Address  
 City /Town, Connecticut

**Contract Number:**

**Subject:** Confirmation of Shortlist Selection & Invitation to Interview

**Attention:** Firm's Point of Contact Name, Title

Dear Firm's Point of Contact Name:

Thank you for your timely response to the Department of Public Works' Request for Qualifications, for the above referenced Contract. I am pleased to inform you that **Firm Name** has been selected for the Shortlist of Firms to be interviewed for this Contract.

- 1. Interview Schedule:** The Interviews for this Contract have been scheduled for **Insert Day of Week, Insert Month and Date, 200** and shall be held in **Insert Designated Room Number**, in the State Office Building, 165 Capitol Avenue, Hartford, Connecticut 06106. Upon your arrival at the State Office building, please proceed to **Insert Designated Room Number** which has been designated as a pre-interview Waiting Room. Your Firm has randomly assigned Interview Time Slot Number **Insert Slot Number** as shown below in the Interview Schedule.

Interview Schedule				
Set-up/ Introductions/ Overview	Presentation Time	Q & A Time	Interview Panel	Interview Time Slot
			9:00 am – 10:00 am Pre-Interview Meeting (60 minutes)	
10:00 am – 10:10 am (10 Minutes)	10:10 am – 10:45 am (35 minutes)	10:45 am – 11:00 am (15 minutes)	11:00 am – 11:15 am Rating Period (15 minutes)	1
11:15 am – 11:25 am (10 Minutes)	11:25 am – Noon (35 minutes)	Noon – 12:15 pm (15 minutes)	12:15 pm - 12:30 am Rating Period (15 minutes)	2
			12:30 pm – 1:00pm Lunch Break (30 minutes)	
1:00 pm – 1:10 pm (10 Minutes)	1:10 pm – 1:45 pm (35 minutes)	1:45 pm – 2:00 pm (15 minutes)	2:00 pm – 2:15 pm Rating Period (15 minutes)	3
2:15 pm – 2:25 pm (10 Minutes)	2:25 pm – 3:00 pm (35 minutes)	3:00 pm – 3:15 pm (15 minutes)	3:15 pm – 3:30 pm Rating Period (15 minutes)	4
			3:30 pm – 3:45 pm Wrap-up (15 minutes)	

## Short-listed Invitation to Interview

2. Your firm has been allotted (35) Thirty minutes to demonstrate that they possess the highest qualifications in relation to the scope and needs of this specific project based on the following Interview Criteria Categories:

Criteria Number	Interview Criteria Categories	Maximum Rating Point Values
1	Firm's Problem Solving Capabilities	30
2	Firm's Organizational / Team Structure for this Project	25
3	Firm's Past Performance Record	20
4	Firm's Approach to this Project	15
5	Firm's Project Oversight Capabilities	10
<b>Maximum Points per Interview Panel Member</b>		<b>100</b>

3. **Questions and Answers:** Immediately following the Firm's Presentation there will be fifteen (15) minutes period allotted for follow up questions by the Interview Panel Members. The Firm's presentation and responses to the follow-up questions shall be evaluated and rated by the Interview Panel Members in accordance with the Interview Rating Standards.

This is a tight time-frame, but DPW expects that you will develop and manage your presentations accordingly. Past performance with DPW (DPW evaluations) and phone references will also be part of the evaluation.

**Reference Documents (studies, master plans, etc):** Reference Documents, for this project, are available for your inspection by appointment with the DPW Project Manager for Insert PM Name at (860) Phone Number and are as follows:

Reference Document

**Site Visit:** A mandatory Site Visit is planned for **day of week, insert date at insert time Insert A.M. or P.M.**. Interested parties should meet at **insert meeting location** . For additional information about the Site Visit please call Insert PM Name.

Alphabetical List of All Offerors Invited to Be Interviewed For This Contract
Firm Name
Firm Name
Firm Name
Firm Name

Contact Thomas Lowell, Selection Supervising Manager @ E-mail: [thomas.lowell@state.ct.us](mailto:thomas.lowell@state.ct.us) or (860) 713-5694 or Rose Mitchell, Secretary II @ E-mail: [rose.mitchell@po.state.ct.us](mailto:rose.mitchell@po.state.ct.us) or (860) 713-5697 with any questions regarding these arrangements or with any equipment needs.

Very truly yours,

T.C. Lowell, RA - Selection Supervisor

TCL/rm

## Short-listed Invitation to Interview

Attachments: (1) Travel Directions  
(2) Parking Issues

cc: A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair

D. Rodosevich - DPW Attorney  
File: Project File Color/Number

## Short-listed Letter - Regrets

**Date:** April 14, 2005

**Via Facsimile: Insert Firm's Fax Number**

**To:** Firm Name  
Address  
City/Town, Connecticut

**Reference:** Project name  
Project Address  
City /Town, Connecticut

**Contract Number:**

**Subject:** *Firm Not Short-listed for This Project*

**Attention:** Firm's Point of Contact Name, Title

Dear Mr. Firm's Point of Contact Name:

Thank you for your timely response to the Department of Public Works' Request for Qualifications for the referenced contract.

Please be advised that we received a significant number Formal QBS Booklets . Though we appreciate your submission, it is with regret that I must inform you that your firm was not selected to be interviewed.

We hope that you will continue to pursue work in the public sector with the State of Connecticut, Department of Public Works.

Very truly yours,

T.C. Lowell, RA - Selection Supervisor

TCL/rm

cc: A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair  
D. Rodosevich - DPW Attorney  
File: Contract File Color/Number

# Phone Reference Documentation

Project Title/Location:

Firm Name:

Name of Person  
 Conducting Reference Check:

Name of Owner / Person  
 Contacted for Reference:

Phone Number Contacted:

Date of Reference Check:

Yes  No  *This Client Refused To Comment Or Participate In The Survey Below.*

Please rate the firm on each item below using the following scale:

<b>5</b> Highly Responsive (Excellent)	<b>4</b> Responsive (Good)	<b>3</b> Minimally Responsive (Marginally Acceptable)	<b>0</b> Unacceptable	<b>3</b> Not applicable (NA)
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Questions	5	4	3	0	3	Points Sum
	Excellent	Good	Marginal	Unacceptable	NA	
<b>Design Phase</b>						
1 Responsiveness to design program criteria						
2 Adherence to project budget						
3 Ability to solve technical/design problems						
4 Complete design/study packages within schedule and fee						
5 Quality of study report/progress/ design/contract documents						
<b>Construction Phase</b>						
6 Contract Administration						
7 Evaluation and negotiation of change orders						
8 Quality of contract documents						
9 Communication skills						

# Phone Reference Documentation

<b>5</b> Highly Responsive (Excellent)	<b>4</b> Responsive (Good)	<b>3</b> Minimally Responsive (Marginally Acceptable)	<b>0</b> Unacceptable	<b>3</b> Not applicable (NA)
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Questions	5	4	3	0	3	Points Sum
	Excellent	Good	Marginal	Unacceptable	NA	
<b>General</b>						
<b>10 Reputation, ethical approach and integrity in performance</b>						
<b>11 What was your overall level of satisfaction with the services provided?</b>						
<b>12 Overall, how well did the firm meet your expectations?</b>						
<b>13 Would you choose to work with this firm again?</b>						

**Is there anything you would like to tell us about doing business with this firm? Please comment:**

The final score will be computed by the Project Manager using the above scale, totaling, and obtaining an average score. (Total potential score is 12 x 5= 60). All new firms receive an "A" or a 5. A copy of each completed survey form including a transcription of comments will be made available to the interview panel members.

**Total Point Score:**

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## Overview

Conduct phone references for the short-listed firms only by contacting clients other than DPW. The list of possible contacts should be identified in the initial submittal. The guidelines noted below include a survey with nine (9) questions, and a rating scale. [Phone Reference Documentation \(230F\)](#)

1. The Project Manager shall call two (2) owners identified in the initial submission where a written reference was not submitted.
2. It is recommended the PM set aside time in a morning to initiate these calls.
3. If a respondent indicates “No Comment” or refuses to take the call, the Project Manager should call another client until she or he has obtained the two references, making up to five (5) calls total.
4. Each call and all comments should be documented. If none of the five parties contacted comments or agrees to participate in the survey, this should be noted.
5. The score shall be computed by the Project Manager, who will total the items and then obtain an average score for each reference. If there are two (2) references per firm, the averages will be totaled and averaged to get a final score.

All firms shall receive an “A” for past performance unless there is information in the initial submission, the evaluations or the phone references that suggests otherwise.

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## Consultant Phone Guidelines

Each firm should be rated on each of the nine questions below using the following scale: (5) Highly Responsive/Excellent, (4) Responsive/Good, (3) Minimally Responsive/Marginally acceptable, (0) Unacceptable or Not applicable (NA). These definitions below are to help ensure a common understanding of each question by project managers and clients. The bullets are intended to clarify what is meant by the question and to serve as examples the client should consider when making an overall evaluation of the firm on each question. Performance on individual bullets should not be ranked.

### Part 1 – Design Phase

#### **Question 1: Responsiveness to program criteria**

This question addresses the consultant’s ability to understand and interpret the design and program requirements of the project. While it has the most relevance during the Study and early design phases, the stated program/design requirements should be carried throughout the entire development of the project. Consider whether the firm:

- incorporated the articulated goals and criteria of the design program
- analyzed, interpreted and discussed suggestions and issues in a professional manner
- actively participated in meeting discussions
- followed through on decisions made at meetings and responded to reviewer comments
- worked well with the user agency or others

#### **Question 2: Adherence to project budget**

The consultant has a responsibility to be mindful of the established budget limitations through all project phases. This question evaluates their attention to the budget including equipment and Not In Contract (NIC) items and sub-consultant work. Consider if the firm:

- was responsive to the established budget
- worked creatively to achieve the program goals within the existing budget

### **Question 3: Ability to solve technical/design problems**

This question evaluates the consultant's technical expertise and their ability to communicate issues and facilitate resolution in a timely manner. Consider whether the firm:

- addressed design constraints and took advantage of design opportunities
- identified design problems in a timely manner
- proposed design alternatives and articulated their advantages/disadvantages
- balanced the technical and aesthetic issues

### **Question 4: Complete design/study packages within schedule and fee**

This question addresses the ability of the consultant to maintain the schedule (where under their control) and provide appropriate and consistent staffing for the project. Was the consultant reasonable and responsible in their interpretation of the project scope, or did they consistently request additional services for work that was normally within the contract scope? Consider whether the firm:

- prepared submittals in accordance with the agreed-upon schedule
- provided complete submittals
- alerted the project manager to possible schedule problems in advance of delays
- staffed the project appropriately and in keeping with their original project plan
- made requests for additional services fees for work that was within the scope of the contract

### **Question 5: Quality of the Study Report/Progress/Design/Contract Documents**

This question evaluates the quality of the consultant's communications from memos and meeting minutes to contract drawings and specifications. In phases where no contract documents are produced, evaluate the quality of the progress drawings, presentation materials or other communications and submissions. Did the Designer incorporate the comments and respond to the feedback received from all parties during the design process? Consider whether the firm:

- submitted complete material , in all respects
- wrote and presented clearly with adequate back-up
- adequately incorporated all comments and requests into the report/documents
- prepared contract documents that were sufficiently clear and complete so that no addenda or only minor addenda had to be issued
- coordinated the contract documents
- was consistent and thorough in its use of graphic symbols and terminology

## **Part 2– Construction Phase**

### **Question 6: Construction Administration**

This question documents the consultant's ability to administer the construction contract through timely and thorough observation of the Contractor's work. It also is a place to comment on their capability in terms of documentation of the review and adequate back-up to support their approvals and disapprovals. The quality and thoroughness of punch lists and their ability to lead the project meetings at the site are covered here. Consider whether the firm:

- provided adequate support during the Bid and Award process
- attended and adequately lead all of the job meetings
- completely reviewed the requisitions (checking the math, %completion)
- facilitated project closeout/developed adequate punchlist
- reviewed the shop drawings/submittals thoroughly and in a timely manner (within 7-14 days)

**Question 7: Evaluation and negotiation of change orders.**

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Without regard to the reason for a change order, (this is addressed in question #8) was the consultant thorough and prompt in providing requests for changes and documenting the reasons for the change? Did the consultant work to establish a cooperative relationship with the Contractor in order to facilitate negotiation and execution of needed changes? Consider whether the firm:

- prepared proposal requests which clearly defined the scope changes
- assessed the reasonableness of cost and time of the contractor's proposals
- provided a thorough analysis and explanation of the reason for the change order

**Question 8: Quality of contract documents**

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This question should address the quality of the consultant's construction documents as experienced through the progress of construction. Regardless of the GC or subcontractor's competencies, were the documents proven to be complete, easily read and utilized throughout the construction. This is an opportunity to note areas where the consultant could have provided more detail or should have carried out more research during design. The quality of the documents may be reflected in the number of change orders - if change orders were high for some reason beyond the consultant's control, they should not be penalized. Consider whether the firm:

- provided drawings that were coordinated with their sub-consultant drawings
- met code requirements and documented these well
- had a limited number of change orders resulting from construction documents
- provided information that was systematic, logical, easily read and interpreted by the G.C. and CA
- provided contract documents that were complete and clear with a limited number of requests for clarifications

**Question 9: Communication Skills.**

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This question evaluates the consultant's ability to maintain adequate and thorough communications with the PM and User Agency representatives throughout the construction process. Were the communications clear and timely? DPW is increasingly requiring electronic documentation and utilizing the Internet and email for communications. Did the consultant have the technical capabilities to meet the requested/required electronic documentation and communication throughout the project? Consider whether the firm:

- issued effective and informative written communication
- had sufficient technical capability in terms of electronic technology and information
- provided adequate management for the needs of the project
- kept DPW and the User Agency informed of construction progress
- effectively communicated with local officials and the contractor

# Formal QBS Chair Interview Guidelines

## Formal QBS Chair Interview Guidelines for Day of the Interview

<b>Interview Room &amp; Waiting Room Protocol</b>	
Chair/Project Manager must arrive at the designated Interview Room at 8:45 AM.	
1.	PM is responsible for obtaining the keys to unlock the doors to the designated Interview & Waiting Rooms.
2.	Post the appropriate signs on all doors of Interview & Waiting Room as applicable.
3.	Close window blinds and turn on AC [setting on low - noise] as required.
4.	Set up a Project Screen & plug in extension cord if available.
5.	For interviews that extend into the afternoon, lock the door for lunch.
6.	At the conclusion of all interviews the panel members & PM must make sure that the Interview Room is left clean and orderly.
7.	Remove all signs & tape from all doors.
<b>Part 1 – Interview Documents</b>	
On the day of the interview the Process Management Unit, Rose Mitchell, Secretary (5697) shall deliver the following Interview Documents to the Chair at the designated Interview Room:	
<b>A. Interview Envelopes For Panel Members &amp; Chair/PM Containing:</b>	
1.	Request For Qualifications Advertisement. <a href="#">RFQ Web Advertisement (207F)</a>
2.	Interview Sequence Schedule. <a href="#">Formal QBS Interview Sequence Schedule.(249G)</a>
3.	Interview Rating Sheet and Guidelines <a href="#">Formal QBS Interview Rating Sheet (254F),</a> <a href="#">Formal QBS Interview Rating Sheet Guidelines (254G)</a>
<b>B. Chair/PM Envelope Containing:</b>	
1.	Signs/Signage to be placed on the designated Interview & Waiting Room doors.
2.	List of Interview Panelist Names and Numbers.
3.	“Firm Interview Sign-in Sheets” (Legally document of the Firms participants presence). <a href="#">Interview Sign-in Sheets (255F)</a>
4.	Interview Panel Member “Interview Sign-in Sheets” (Legally document Panel Members presence). <a href="#">Interview Sign-in Sheets (255F)</a>
5.	Chair Interview Worksheet and Guidelines. <a href="#">Formal QBS Chair Interview Work Sheet (257F),</a> <a href="#">Formal QBS Chair Interview Guidelines (257G)</a>
<b>Part 1 – Pre-Interview and Interview</b>	
<b>Step 1:</b>	<b>Mandatory Pre-Interview Panel Meeting.</b> The Chair, with assistance from the Process Management Unit, shall be a review the following Meeting Agenda items with the Interview Panel. The Chair shall also conduct Interview and lead all deliberations in accordance with these Guidelines.

# Formal QBS Chair Interview Guidelines

<b>Part 1 – Pre-Interview and Interview (continued)</b>	
<b>A.</b>	The Process Management Unit shall provide brief training on how to conduct the interview, clarifying the format and the roles of attendees as well as how to apply the Interview Rating Guidelines to objectively evaluate each firm. <a href="#"><u>Interview Sequence Schedule (249G)</u></a> , <a href="#"><u>Formal QBS Interview Rating Sheet (254F)</u></a> , <a href="#"><u>Formal QBS Interview Rating Sheet Guidelines (254G)</u></a>
<b>B.</b>	The Chair and Using Agency Representative shall present any unique project specific issues to the panel members.
<b>C.</b>	The Chair shall briefly review the past performance of each firm to be interviewed, determined through review of the Formal QBS Booklet submittals, phone references from previous clients, and completed DPW evaluations.
<b>D.</b>	The Chair shall ask agency observers if they will be present at <u>all</u> interviews. If any observers can not be present for all of the interviews then the Chair must notify them that they must leave prior to the first interview.
<b>Part 2 –Interview</b>	
<b>Step 1: Pre-Presentation</b> (Repeat this following Steps prior to each Presentation):	
<b>A.</b>	The Chair shall escort the Firm into the Interview Room from the Waiting Room.
<b>B.</b>	The Firm shall set-up their presentation.
<b>C.</b>	The Chair shall Request all Firm team members to sign the Sign-in Sheet prior to each Interview. <a href="#"><u>Interview Sign-in Sheets (255F)</u></a>
<b>D.</b>	The Chair shall Request all Interview Panel to sign the Sign-in Sheet prior to each Interview. <a href="#"><u>Interview Sign-in Sheets (255F)</u></a>
<b>E.</b>	The Chair shall have each of the Interview Panel Members introduce themselves.
<b>F.</b>	The Chair shall the firms team members have introduce themselves.
<b>G.</b>	The Chair shall ask if their have been any changes to the subconsultant firms or key personnel proposed in their SF 330 – DCT DPW. See notes 4 & 5 ate the end of these guidelines for direction.
<b>G.</b>	The Chair/M shall notify the firm that they have been allotted thirty (30) minutes to present reasons why they possess the highest qualifications in relation to the scope and needs of this specific project for the following five (5) Interview Criteria Categories. The Chair shall also notify the Firm when five (5) minutes remains for their Presentation and that Immediately upon conclusion of a Presentation there will be fifteen (15) minutes period allotted for follow up questions by the Interview Panel Members and answers from the Firm.
<b>Five Interview Criteria Categories</b> <hr/> Firm’s Problem Solving Capabilities <hr/> Firm’s Organizational / Team Structure for this Project <hr/> Firm’s Past Performance Record <hr/> Firm’s Approach to this Project <hr/> Firm’s Project Oversight Capabilities <hr/>	
<b>Step 2: Presentation:</b> Chair instructs the Firm to begin their Presentation and notes the time.	
<b>Step 3: Conclusion of Presentation/Questions &amp; Answers:</b> The Chair initiates the (15) minute Q & A period allotted for follow up questions by the Interview Panel Members and answers from the Firm.	

## Formal QBS Chair Interview Guidelines

### Part 2 –Interview (continued)

**Step 4: End of the Interview:** At the conclusion of the Q&A period, The Chair shall conclude the Interview Presentation and the firm shall pack-up and exit the interview room.

**Step 7: Interview Panel Discussion:** After the Firm has exited the interview room a brief discussion of the full interview panel shall take place to discuss any question or answer that was confusing or not understood.

**Step 8: Panel Member Evaluations:** Each panel member shall then individually write down their rating of the firm for each of the five (5) criteria categories on their Formal QBS Interview Rating Sheet in accordance to the Formal QBS Interview Rating Guidelines.

[Formal QBS Interview Rating Sheet \(254F\)](#),  
[Formal QBS Interview Rating Sheet Guidelines \(254G\)](#)

- A** Each Panel Member shall sign their Interview Formal QBS Rating Sheet and give this to the Chair at the end of the Firms presentation and responses to the follow-up questions.
- B** Each Panel members must rate the presentation, qualifications, and follow-up Q & A's of each individual Firm against the screening standard rating criteria (modified as applicable) rather than compared to the performance of other firms.

**Step 9: Conclusion of Each Individual Interview:**

- A** The Chair/PM will record the grades of each Panel Member for each Category criteria for the Firm on the designated Formal QBS Chair Interview Work Sheet.  
[Formal QBS Chair Interview Work Sheet \(257F\)](#)
- B** The Chair shall scan the Interview Work Sheet ratings to determine whether all the panel members are not within two (2) grade (example: an A and C grades rating) of each other.
- C** The Chair shall also scan the Interview Work Sheet ratings to determine if there were any responses deemed "Unacceptable/Not responsive" for any of the selection criteria.
- D** The purpose of the scans is to look for any significant inconsistency in the ratings by the various panel members.
- E** If none of the panel members are within one grade of each other and there are no ratings of "F", or "Unacceptable," and there are no questions concerning interview, then this interview is concluded and the next Interview Presentation may be begin (Go to Step 2)..

**Step 9.1: Rating Discrepancy:** If the Chair finds a discrepancy (if panelists are not within one grade of each other), the Chair will open a panel discussion. The purpose of this discussion is to enable the full panel to discuss all aspects of the proposals and to share information and justification for opinions. It is also to ensure there is a common understanding of questions and responses. The panel members may discuss any part of the presentation that was confusing or not understood.

## Formal QBS Chair Interview Guidelines

### Part 2 –Interview (continued)

**Step 9.2: Discrepancy Resolutions:**

**A.** It is possible a panel member may see justification for revising a grade based on the discussion. If so, the grade can be revised on the panel member's Formal QBS Interview Rating Sheet and initialed, and revised on the Formal QBS Chair Interview Work Sheet. The panel member must have a written comment to document the reason for the change

**or**

**B.** A panel member may still feel that his or her opinion is valid and choose not to change his or her grade. Then their original Grade shall remain. *(If a panel member has had a prior experience with the firm and as a result does not change his or her opinion regardless of the present information, this should be so noted in his or her comments).*

**and/or**

Based on this discussion, other panel members may also chose to revise their scores, supplying a written justification for the change and initialing this Grade change on their Formal QBS Interview Rating Sheet.

**Step 10: Conclusion of All Interviews:** The Chair thanks the Interview Panel for their participation and dismisses them. The Chair delivers all of Interview Documents to the Selection Supervisor

**Important Notes:**

1. A maximum of two Agency Observers can caucus with the Agency Voting Member before the Agency ballot is submitted to the Chair. However the Observers(s) cannot participate in the Q & A following the presentations or any discussion by the selection panel concerning the interviews.
2. For the CHEFA Projects: The caucus could be four Agency Staff; but only the two Agency Voting Panel Members will complete their individual Selection Ballots.
3. All client agency observers must be present at all interviews and must observers must fill out a Formal QBS Interview Observers Certification. [Formal QBS Interview Observer Certification \(204F\)](#)
4. Firms that change proposed subconsultant(s) named in their SF 330 – CT DPW prior to the date of their interview shall be deemed non-responsive and shall not interviewed.
5. Firms that change proposed key personnel named in SF 330 – CT DPW prior to their interview must notify the Interview Panel members prior to the start of their interview and provide resume(s) for the Key person(s) of the firm or they shall be deemed non-responsive and shall not be interviewed.

# Formal QBS Interview Rating Sheet Guidelines

## Interview Rating Guidelines: Grade Values for the Five Criteria Categories

- Presentation:** Each Firm shall be allotted thirty (30) minutes to present reasons why they possess the highest qualifications in relation to the scope and needs of this specific project for the five (5) Interview Criteria Categories.
- Conclusion of Presentation/Questions & Answers:** Immediately upon conclusion of a Presentation there will be fifteen (15) minutes period allotted for follow up questions by the Interview Panel Members and answers from firms.
- Grade Point Rating System for the Five (5) Interview Criteria Categories:**

Criteria Number	Interview Criteria Categories	Grade Point Values (Default Rating Points)			
		Highly Responsive A = 100%	Responsive B = 80%	Minimally Responsive C = 60%	Unacceptable F = 0%
1	Firm's Problem Solving Capabilities	30	24	18	0
2	Firm's Organizational / Team Structure for this Project	25	20	15	0
3	Firm's Past Performance Record	20	16	12	0
4	Firm's Approach to This Project	15	12	9	0
5	Firm's Project Oversight Capabilities	10	8	6	0

- Rating Guidelines:** The guidelines below are to assist panel members in evaluating each firm's presentation in response to each of the five criteria Categories.

Grade	Presentation	Criteria Category
<b>1 – Firm's Problem Solving Capabilities</b>		
A	<i>Highly Responsive</i>	Team articulates systematic steps to proactively manage project, to anticipate problems with sufficient lead time/early warning system to address/prevent problem and mitigate risk. Proactive approach with specific steps (e.g. analysis, tests, and reports). Track record for identifying and solving problems in a timely manner. Able to work within established budget. Assists in managing "scope creep. Able and willing to share bad news. Their project management Flow chart is a plus, as is their Quality Assurance plan.
B	<i>Responsive</i>	Team has a proactive plan to address the critical areas, but may lack experience.
C	<i>Minimally Responsive</i>	Team has a plan, but may not be sufficiently proactive or may lack depth.
F	<i>Unacceptable</i>	Unable to articulate a systematic method to anticipate, identify or manage problems. Unrealistic regarding what actions can be taken. May be successful by accident.

## Formal QBS Interview Rating Sheet Guidelines

Grade	Presentation	Criteria Category
		<b>2 – Firm’s Organizational / Team Structure for this Project</b>
<b>A</b>	<b>Highly Responsive</b>	The designated team presents, with the project manager playing a leadership role. Team assumes ownership of entire project, from design through construction, (including execution of needed changes. Roles are clearly delineated. Their organization and skills are appropriate to the project needs. The team has previously worked together on the same, or similar, project(s), and has a successful track record. Team inspires trust. Little or no risk associated with team. Leader is accessible. <i>REMINDER:</i> Better if project manager has done 3-5 projects and team has done 2-3 similar projects.
<b>B</b>	<b>Responsive</b>	Experience with relevant projects apparent, but with less depth in experience, team structure and skills.
<b>C</b>	<b>Minimally Responsive</b>	Lead team members attend interview and Project Manager presents 25 % of presentation. Team has adequate, although limited, skills. Individual members have been successful working on a similar type of project. Some team members have worked together previously. <i>REMINDER:</i> Project manager must have completed 2 similar projects and team has completed 1.
<b>F</b>	<b>Unacceptable</b>	Members of identified team did not come to interview or the lead Project Manager played a minor role in presenting. Unclear who is in charge. “Cast of thousands” with silent observers. Predominantly a marketing/sales orientation. Maybe bait and switch.

Grade	Presentation	Criteria Category
		<b>3 – Firm’s Past Performance Record</b>
		<p><b>a</b> This Category is based upon the original submission /qualifications package including written references and awards, if submitted, and answers to 6 questions:</p> <ul style="list-style-type: none"> <li>• failure to complete a project;</li> <li>• involved in any litigation in the last ten years;</li> <li>• failure to complete a project;</li> <li>• has been assessed damages or penalties for a project; officers/principals partners been indicted or convicted for a misdemeanor or felony, or</li> <li>• has had an application for minority certification been rejected in the past twelve months.</li> </ul> <p><b>b</b> DPW consultant evaluations + paper trail.</p> <p><b>c</b> Phone references, done for short-listed firms only prior to interview.</p> <p><b>d</b> Presentation and responses to interview questions.</p> <p><b>e</b> Any additional items or submissions by short-listed firms.</p>
		<b>NOTE:</b> All firms shall receive an “A” for past performance unless there is information in their completed evaluations, the two (2) completed phone references or in their initial submittal indicating otherwise.

## Formal QBS Interview Rating Sheet Guidelines

Grade	Presentation	Criteria Category
		<b>3 – Firm’s Past Performance Record</b> (Continued)
<b>A</b>	<b>Highly Responsive</b>	<p>The average score on the consultant phone reference is 4.5 - 5. Clients would work with them again. No major problems in any of the 12 areas. Evaluations show the team has experience with similar projects with positive track record (on time/within budget), uses a consistent methodology, with few mistakes. Response to interview questions concerning performance indicates team has extensive experience dealing with type of problems that may be likely to occur with this project, has dealt with “hot” issues well and taken actions to prevent reoccurrence of problems. Explanations for source of problems were insightful. Willingness to take responsibility.</p> <p><b>SCREENING:</b> <i>The 330 and the cover letter shows a customized approach, high project comparability, and relevant experience in projects recently completed. References for similar projects are positive, with a track record for delivering high quality, on time and within budget. Answers to 6 questions above indicate the firm presents minimal or no risk to client. <u>New firms receive an “A.”</u></i></p>
<b>B</b>	<b>Responsive</b>	<p>Phone reference average is 3.0 or better. Predominantly positive comments from previous clients. Minimal mistakes. Must be at least “Responsive/ Good,” or a (3), on all 12 items on reference check. Problems that surfaced were handled appropriately and unlikely to reoccur again. Client was satisfied, would work with the firm again. Interview responses show awareness and experience dealing with likely problems.</p> <p><b>SCREENING:</b> <i>The team may have done good work for DPW, but on a different type of project. Their submission brochure may not highlight performance, but there is little indication of problems. References may be provided for comparable projects or for parts of the team.</i></p>
<b>C</b>	<b>Minimally Responsive</b>	<p>Phone reference average is under 3.0. All items must be at least “Minimally Responsive/ marginally acceptable,” or a (2). Those problems identified were dealt with appropriately. Client may indicate reticence or misgivings about “repeat business” with this firm. Or client is reluctant to provide feedback. Evaluations are mixed.</p> <p><b>SCREENING:</b> <i>Past performance is inconsistent. Parts of the team may have done well in isolation, others may not have done well. References provide little insight into performance of the firm or team.</i></p>
<b>F</b>	<b>Unacceptable</b>	<p>A score of 1, or “Unacceptable,” on any of the phone reference items. “Poor” on critical indicators of the A/E evaluation. Track record for missing deadlines, missing budget, or poor quality. Dissatisfied clients.</p> <p><b>SCREENING:</b> <i>Poor past performance coupled with claims history. High risk to client.</i></p>

## Formal QBS Interview Rating Sheet Guidelines

Grade	Presentation	Criteria Category
<b>4 – Firm’s Approach to This Project</b>		
<b>A</b>	<i>Highly Responsive</i>	Presentation conveys familiarity with the project scope. Introduces new concepts, approach, or models. Conveys clear vision of the building and understands its relationship to the specific site, the core mission of the client and adjacent structures. May have photos of site, preliminary design, rough cost analysis. Devoted resources to learning about program, site and client. Knowledgeable about building history and relation to other buildings (e.g. has read the master plan, other documents). Aware of big picture and has clear vision of how building fits in. Clear, coherent, organized. Extra mile. Addresses any unique, technical or project specific skill/requirement.
<b>B</b>	<i>Responsive</i>	Customized response. Familiar with project scope, site, client needs. May not have models, photos, etc.
<b>C</b>	<i>Minimally Responsive</i>	Canned, generic, formulaic response to project management. Little recognition of variation by building type or specific project needs. Plan addresses the basics only.
<b>F</b>	<i>Unacceptable</i>	Conveys limited or no understanding of project needs. No tailored, project-specific information tied to the project requirements or scope of work.

Grade	Presentation	Criteria Category
<b>5 - Oversight Capabilities</b>		
<b>A</b>	<i>Highly Responsive</i>	Team has communication system and methodology. Active web site routinely updated, with tools, reports, programs, analysis available in real time to the client. Presentation embodies entire project, through construction progress, CPM. Includes cost estimating abilities, analysis of bids, special testing, schedule analysis, change order approach. Conveys limited risk to client by having appropriate documentation.
<b>B</b>	<i>Responsive</i>	Team has system, may lack some of components above.
<b>C</b>	<i>Minimally Responsive</i>	Team has a plan to communicate and coordinate. May lack sophistication.
<b>F</b>	<i>Unacceptable</i>	Neglect to mention construction phase. Team has little or no track record.

5. During the interview, each panel member shall take notes on each firm’s responses on the Interview Comment Forms provided. Notes may be taken in any format. All notes must be clearly labeled with the name of the firm and the panel member. These will be submitted to the Chair at the close of the interview and will be filed with the selection records.
6. At the completion of each interview, each panel member shall independently evaluate the firm on each selection factor. A grade for each factor shall be recorded on the Interview Comment Form. No one other than a panel member can enter scores or comments on his or her form. The completed Interview Comment Form shall be signed by the panel member and given to the Chair after each interview.
7. At the conclusion of each interview, a discussion may occur between panel members where the Chair identifies major grade discrepancies. A panel member may adjust his or her score following such discussion. If a score is adjusted, the panel member indicates as such in the box labeled “Revised” on the Interview Comment Form, initials the change and indicates the basis for changing the score in the space marked: “Explain revised.”
8. In no case shall a panel member change a score based on coercion or pressure from any panel member.
9. The signed Interview Comment Form for each firm from each panel member shall be given to the Chair.
10. Panel members are advised that these documents are FOI-able upon negotiation of a final contract with the selected contractor.

**END**

# Formal QBS Interview Sequence Schedule

## Formal Qualifications Based Selection (QBS) Interview Sequence Schedule

Each Firm's Interview shall be comprised of the following sequence of events:

1. Ten (10) minutes for the firm's presentation set-up, introductions of participants and a brief overview of the project;
2. Thirty-five (35) minutes for the firm's presentation;
3. Fifteen (15) minutes for a Q & A period;
4. The firm shall be dismissed;
5. Fifteen (15) minutes for the interview panel rating period;

Each firm shall randomly be assigned one (1) of four (4) Interview Time Slots as shown in the following Interview Sequence Schedule:

Interview Sequence Schedule,				
Set-up/ Introductions/ Overview	Presentation Time	Q & A Time	Interview Panel	Interview Time Slot
			9:00 am – 10:00 am Pre-Interview Meeting (60 minutes)	
10:00 am – 10:10 am (10 Minutes)	10:10 am – 10:45 am (35 minutes)	10:45 am – 11:00 am (15 minutes)	11:00 am – 11:15 am Rating Period (15 minutes)	1
11:15 am – 11:25 am (10 Minutes)	11:25 am – Noon (35 minutes)	Noon – 12:15 pm (15 minutes)	12:15 pm - 12:30 am Rating Period (15 minutes)	2
			12:30 pm – 1:00pm Lunch Break (30 minutes)	
1:00 pm – 1:10 pm (10 Minutes)	1:10 pm – 1:45 pm (35 minutes)	1:45 pm – 2:00 pm (15 minutes)	2:00 pm – 2:15 pm Rating Period (15 minutes)	3
2:15 pm – 2:25 pm (10 Minutes)	2:25 pm – 3:00 pm (35 minutes)	3:00 pm – 3:15 pm (15 minutes)	3:15 pm – 3:30 pm Rating Period (15 minutes)	4
			3:30 pm – 3:45 pm Wrap-up (15 minutes)	

# Formal QBS Interview Rating Sheet

Contract Number \_\_\_\_\_

Interview Date: \_\_\_\_\_

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

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

\_\_\_\_\_

Panel Member Name: \_\_\_\_\_

Point Value	Criteria Categories	Notes	Category Grades	
			Grade	
35	Firm's Problem Solving Capabilities		Grade	
			Revision	
			Initials	
30	Firm's Organizational / Team Structure For This Project		Grade	
			Revision	
			Initials	
20	Firm's Past Performance Record		Grade	
			Revision	
			Initials	
15	Firm's Approach To This Project		Grade	
			Revision	
			Initials	
10	Firm's Project Oversight Capabilities		Grade	
			Revision	
			Initials	

*I certify that I have not communicated information with any Firm prior to the advertisement of the above mentioned Department of Public Works project and will not communicate information through notification of the final selection that is not available to other Firms. I further certify that my rating of the above mentioned persons, firms, or corporations was not the result of collusion, the giving of a gift, fraud or inappropriate influence from any person.*

Panel Member Signature: \_\_\_\_\_

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

# Formal QBS Chair Interview Worksheet

Interview Date: \_\_\_\_\_

Contract Number: \_\_\_\_\_

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

Criteria Categories	First Interviewee Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name
1	Firm's Problem Solving Capabilities					
2	Firm's Organizational/Team Structure For This Project					
3	Firm's Past Performance Record					
4	Firm's Approach To This Project Offerors Project					
5	Firm's Oversight Capabilities					

Criteria Categories	Second Interviewee Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name
1	Firm's Problem Solving Capabilities					
2	Firm's Organizational/Team Structure For This Project					
3	Firm's Past Performance Record					
4	Firm's Approach To This Project Offerors Project					
5	Firm's Oversight Capabilities					

# Formal QBS Chair Interview Worksheet

Interview Date: \_\_\_\_\_

Contract Number: \_\_\_\_\_

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

Criteria Categories	Third Interviewee Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name
1	Firm's Problem Solving Capabilities					
2	Firm's Organizational/Team Structure For This Project					
3	Firm's Past Performance Record					
4	Firm's Approach To This Project Offerors Project					
5	Firm's Oversight Capabilities					

Criteria Categories	Fourth Interviewee Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name	Panel Member Name
1	Firm's Problem Solving Capabilities					
2	Firm's Organizational/Team Structure For This Project					
3	Firm's Past Performance Record					
4	Firm's Approach To This Project Offerors Project					
5	Firm's Oversight Capabilities					

## Formal QBS Screening Rating Calculation Spreadsheet

Contract No. <input style="width: 100%;" type="text"/>		Screening Criteria Categories																Firm Screening Score by Panelist	Apply Twenty-five (25) Parity Points (or 5%)	Firm Screening Total	Rank	COMMENTS																					
		1				2				3				4																													
		35%				30%				20%				15%																													
		Firm's Experience with Projects of Similar Size and Scope to this Project				Firm's Organizational / Team Structure For This Project				Firm's Past Performance Record				Firm's Partnering Experience																													
Project No. <input style="width: 100%;" type="text"/>		Project Description:		Rating	A	B	C	F	Score	35	28	21	0	Rating	A	B	C	F	Score	30	24	18	0	Rating	A	B	C	F	Score	20	16	12	0	Rating	A	B	C	F	Score	15	12	9	0
				Shortlisted Firms	Panelists		Chair	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	FALSE	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00
				Chair	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	FALSE	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	FALSE	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	FALSE	FALSE	FALSE	FALSE	FALSE	0.00	0.00	0.00	0.00	

Transcriber's Signature: \_\_\_\_\_

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

Reviewer's Signature: \_\_\_\_\_

Thomas C. Lowell, R.A. Selection Supervisor

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

# Formal QBS Recommendation Protocol

## Formal Qualification Based Selection (QBS) Recommendation Protocol (Preparation of Recommendation for Selection)

Step	Task									
<b>Step 1</b>										
A	At the conclusion of the Interviews the Selection Process Supervisor shall receive all of the completed Interview Ratings Sheets, the Chair Interview Worksheet, and one (1) copy of each firm's Interview Presentation Handout(s) from the DPW Project Manager/Chair. <a href="#">Formal Interview Rating Summary Sheet (254F)</a> and <a href="#">Chair Interview Worksheet (257F)</a>									
B	DPW Project Manager/Chair shall also deliver copies of all Selection Process associated documents to the Selection Unit for their Records, including, but not limited to the following: <ul style="list-style-type: none"> <li>• Site Visit Agenda &amp; Sign-in sheet;</li> <li>• Interview Panel Substitution forms,</li> <li>• Firm Phone Reference Documentation. <a href="#">Phone Reference Documentation (230F)</a></li> <li>• Interview Sign-in sheets;</li> <li>• Any other documentation relevant to the Selection Process.</li> </ul>									
<b>Step 2</b>										
A	The Selection Unit shall enter each Grade (A or B or C or F) for each Interview Criteria Categories, for each firm, from each panel members Interview Rating Sheet, into the Interview Rating Calculation Spreadsheet. <a href="#">Formal Interview Rating Calculation Spreadsheet (258F)</a>									
B	Compute the Interview Grade Point Values for each firm.									
C	Compute 90% of each firm's Interview Grade Points = Total Interview Grade Points.									
D	Compute 10% of each firm's Screening Grade Points = Total Screening Grade Points									
E	Compute: <table style="margin-left: 40px; border-collapse: collapse;"> <tr> <td style="padding-right: 20px;">Each firm's Total Interview Grade Points</td> <td style="padding-right: 10px;">+</td> <td>Each firm's Total Screening Grade Points</td> </tr> <tr> <td colspan="3" style="border-top: 1px solid black; padding-top: 5px;"></td> </tr> <tr> <td style="padding-right: 20px;">=</td> <td></td> <td>Each firm's final Total Selection Grade Points</td> </tr> </table>	Each firm's Total Interview Grade Points	+	Each firm's Total Screening Grade Points				=		Each firm's final Total Selection Grade Points
Each firm's Total Interview Grade Points	+	Each firm's Total Screening Grade Points								
=		Each firm's final Total Selection Grade Points								
<b>Step 3</b>										
A	A member Selection Unit staff shall compute the final scores of each Firm.									
B	Another member Selection Unit staff, not involved in the original screening computation, shall independently check the original screening computation for accuracy.									
C	The completed work sheet shall be signed by both Selection Unit staff members.									
<b>Step 3.1 For Final Ratings Tie Only</b>										
In case if of a tie in the Final Rating. <a href="#">Formal QBS Recommendation Protocol (259P)</a>										
A	The tied firm that is more highly rated by the User Agency will be recommended for selection.									
B	The Selection Process goes to Step 4.									
<b>Step 4</b>										
<b>The Firm with the highest final score will be recommended for selection.</b>										

**END**

## Selection Letter - Congratulations

**Date:** April 14, 2005

**Via Facsimile: Insert Firm's Fax Number**

**To:** Firm Name  
Address  
City/Town, Connecticut [REDACTED]

**Reference:** Project name  
Project Address  
City /Town, Connecticut

**Contract Number:**

**Subject:** Conditional Selection Letter - Congratulations

**Attention:** Firm's Point of Contact Name, Title

Dear Firm's Point of Contact Name:

Thank you for your presentation regarding the above contract on day of week, month day, year at the State Office Building. The Connecticut Department of Public Works is pleased to confirm the conditional selection of your firm by Commissioner James T. Fleming to perform the required services for the above noted project. The selection of your firm is conditional on your completing and signing the CT DPW Contract Affidavit at the time of contract signing. Please contact the Project Manager for this project, PM name at (860) 713-PM Phone Number at your earliest convenience. PM name will be the liaison with whom you will work.

Very truly yours,

T.C. Lowell, RA - Selection Supervisor

TCL/rm

cc: A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair  
Agency Representative Name/Title - Using Agency Name  
Interview Panel Member Name - DPW Interview Panel Member  
Interview Panel Member Name - DPW Interview Panel Member  
Interview Panel Member Name - DPW Interview Panel Member  
SPM Name - DPW SPM  
D. Rodosevich - DPW Attorney  
File: Contract File Color/Number

## Interview Letter - Regrets

**Date:** April 14, 2005

**Via Facsimile: Insert Firm's Fax Number**

**To:** Firm Name  
Address  
City/Town, Connecticut

**Reference:** Project name  
Project Address  
City /Town, Connecticut

**Contract Number:**

**Subject:** *Firm Not Selected for This Project*

**Attention:** Firm's Point of Contact Name, Title

Dear Firm's Point of Contact Name:

Thank you for your Formal Interview Presentation before the Interview Panel on Insert Date at the State Office Building.

Although we greatly appreciated your level of effort and presentation, it is with regret that I must inform you that your firm was not selected for the above captioned service. Please be advised that the Commissioner of Public Works has concurred with the panel's selection of the following firms forwarded to him:


I sincerely hope that you will continue to demonstrate interest in pursuing future work with the State of Connecticut. Again, on behalf of the Department of Public Works, I thank you for your informative presentation.

Very truly yours,

T.C. Lowell, RA - Selection Supervisor

TCL/rm

cc: A.V. Herring - DPW Chief Engineer/Selection Manager  
B. T. Bockstael, FAIA – DPW Administrator of Client Teams/Chief Architect  
PM Name - DPW PM/Interview Chair  
Agency Representative Name/Title - Using Agency Name  
Screening Panel Member Name - DPW Screening Panel Member  
Screening Panel Member Name - DPW Screening Panel Member  
Screening Panel Member Name - DPW Screening Panel Member  
Screening Panel Member Name - DPW Screening Panel Member  
PM Name - DPW SPM  
D. Rodosevich - DPW Attorney  
File: Project File Color/Number



# Selection Records Checklist

## Selection Records Checklist

Hard copies of all RFQ submittals reviewed by either the screening panel or the interview panel shall be returned to DPW. All documents will be filed with the Selection Unit.

After Final Selection Notification all Selection Documents listed in the Table below become DPW Permanent Records after, except as noted:

Check Box	Document	DPW Document Number
<input type="checkbox"/>	One (1) Copy RFQ Submittal Package One (1) Original Copy for Each Shortlisted Interviewed Offeror. (Note: Only store for 6 Months after Final Selection Notification)	
<input type="checkbox"/>	Meeting Minutes for Selection Panel Member Briefings;	
<input type="checkbox"/>	RFQ Legal Notice or Advertisement Addendum;	
<input type="checkbox"/>	Pre-Interview Site Visit Conference Agenda/Notes;	
<input type="checkbox"/>	Screening & Interview Panel Substitution Forms;	
<input type="checkbox"/>	Completed Firm Phone Reference Documentation	
<input type="checkbox"/>	Interview Documentation;	
<input type="checkbox"/>	Meeting Minutes For Selection Panel Member Briefings;	
<input type="checkbox"/>	All Interview Documentation,	
<input type="checkbox"/>	Site Visit Agenda, Sign-in Sheet, Meeting notes, and etc.;	
<input type="checkbox"/>	Panel Substitution Forms;	
<input type="checkbox"/>	Completed Offerors Phone Reference Check Forms;	
<input type="checkbox"/>	Interviewers' Notes;	
<input type="checkbox"/>	Observer Certification Forms;	
<input type="checkbox"/>	Chair Interview Work Sheet;	
<input type="checkbox"/>	Selection Unit Screening and Interview Summaries;	
<input type="checkbox"/>	Recommendation For Selection;	
<input type="checkbox"/>	All Letters Of Regret;	
<input type="checkbox"/>	Commissioner's Certification; and Any Pertinent Correspondence Or Additional Documents	
<input type="checkbox"/>	signed, completed screening matrix forms for each screening panel member;	
<input type="checkbox"/>	signed, completed interview comment forms for each interview panel member;	

**PM assigned project:** Store the following in the project file for a permanent project record following the selection award. This information can be required to be provided for any Freedom of Information (FOI) request.

A copy of the complete selected firm documents shall be forwarded to the PM who will file the information into the Project file. This information will be the bulk of the information that is required to go through SPRB's approval, and will require multiple copies as determined by the SPRB checklist for contract processing.