

**CITY OF MIDDLETOWN
PURCHASING DEPARTMENT
MUNICIPAL BUILDING
245 DEKOVEN DRIVE, ROOM 112
MIDDLETOWN, CT 06457
(860) 638-4894**



**CITY OF MIDDLETOWN
REQUEST FOR QUALIFICATION STATEMENT**

#2013-012

**HORIZONTAL DIRECTIONAL DRILLING CONTRACTORS
WATER & SEWER DEPARTMENT**

Proposals due by: Wednesday, May 1, 2013 at 3:00 pm

**DONNA L. IMME, CPPB
SUPERVISOR OF PURCHASES**

**CARL R. ERLACHER
DIRECTOR OF FINANCE AND REVENUE SERVICES**

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1. **REQUEST FOR QUALIFICATION STATEMENT
CITY OF MIDDLETOWN, CONNECTICUT**

Qualification Statements, addressed to the Supervisor of Purchases, City of Middletown, Room 112, Municipal Building, Middletown, Connecticut 06457, will be accepted until **WEDNESDAY, MAY 1, 2013 at 3:00 P.M.** for the following:

**RFQ #2013-012
HORIZONTAL DIRECTIONAL DRILLING CONTRACTORS**

The City of Middletown is accepting qualifications statements from Horizontal Directional Drilling (HDD) Contractors for prequalification to be named in the Specifications as an acceptable Subcontractor for the City of Middletown, Connecticut Wastewater Force Main Mattabassett Regionalization Project, Bid #2013-008. HDD Contractors must be prequalified as a requirement for Bidding and will not be considered acceptable otherwise. HDD Contractors must also hold a current Contractor Prequalification Certificate from the State of Connecticut Department of Administrative Services (DAS) in accordance with C.G.S. Section 4a-100. The DAS Contractor Classification shall be "Sewer and Water Lines."

The HDD portion of the Project generally consists of the installation of twin 24" nominal diameter pipelines in the following sections:

1. Two 1,800-foot sections of fusible PVC under Sumner Creek
2. Two 3,000-foot sections of fusible PVC under the Harbor Park pedestrian tunnel
3. Two 1,400-foot sections of fusible PVC under the Mattabassett (a.k.a. Sebeth) River

Each HDD Contractor's qualifications will be evaluated on the following criteria: Personnel Assigned to the Project; Past Performance and Related Project Experience; Understanding of the Project and Preliminary Drilling Plan; Equipment Availability and Condition; and Financial Information and Bonding Capacity. Upon completion of the evaluation process, HDD Contractor prequalification status will be determined. All HDD Contractors will be notified of their prequalification status in writing.

Proposal Packages may be obtained at the Purchasing Department, Room 112, Municipal Building, 245 DeKoven Drive, Middletown, CT, Monday - Friday, between the hours of 8:30 a.m. and 4:30 p.m. for a fee of \$.50 per page. **It is preferred that they are downloaded free of charge on the City of Middletown web site: www.middletownct.gov**. All questions concerning this RFP should be directed in writing to the Purchasing Department via fax at 860-344-3561 or email at purchase@MiddletownCT.gov.

All proposals shall be submitted the order stipulated in the RFQ on the designated forms marked and sealed in an envelope using the bid return label provided. All proposals must be received by Supervisor of Purchases, Room 112, City of Middletown, 245 DeKoven Dr., Middletown CT 06457 **no later than the date and time specified**. Responses received after this date will not be considered.

The City of Middletown reserves the right to waive any defect or any irregularity in any RFP and reserves the right to reject any or all proposals or any part thereof. Proposals, amendments to proposals or withdrawals of proposals received after the time set for receipt of the proposals **shall not be considered**.

All contractors submitting a proposal with questionnaire are subject to and must comply with the equal opportunity and nondiscriminatory provisions set forth in the Affirmative Action Plan of the City of Middletown. Those that are qualified must meet all City, State and Federal affirmative action and equal employment opportunity practices.

Dated: **04/18/2013**

Middletown, Connecticut

Donna L. Imme, CPPB
Supervisor of Purchases

RFQ #2013-012
HORIZONTAL DIRECTIONAL DRILLING CONTRACTORS

PROJECT DESCRIPTION

The Project is located in the City of Middletown and the Town of Cromwell in the State of Connecticut. The HDD portion of the Project generally comprises of twin 24-inch cast iron outside diameter fusible PVC pipes installed in three sections:

1. Two 1,800-foot sections of fusible PVC under Sumner Creek
2. Two 3,000-foot sections of fusible PVC under the Harbor Park pedestrian tunnel
3. Two 1,400-foot sections of fusible PVC under the Mattabassett (a.k.a. Sebeth) River

The HDD sections are shown in the attached Project Location Map. The Project is located in a developed, urban area. The HDD installation is partially located within limited access state highway right-of-way and also state-owned railroad right-of-way. The railroad is operated by the Providence and Worcester Railroad Company. The HDD Contractor must abide by requirements of the State of Connecticut Department of Transportation and the Providence and Worcester Railroad Company for work within the highway and railroad rights-of-way.

Major geological units that are anticipated to be encountered during the installation are bedrock (Section 1), silty sand (Sections 2 and 3) and glacial till (Sections 2 and 3).

All costs associated with preparation and delivery of the Prequalification Package shall be borne by the submitting party. The City of Middletown reserves the right to approve or deny any HDD contractor prequalification approval based on the selection criteria.

INFORMATION FOR PROSPECTIVE HDD CONTRACTORS

1. Horizontal directional drilling (HDD) Contractors shall be prequalified as requirement to be named in the Specifications as an acceptable Subcontractor for the City of Middletown, Connecticut Wastewater Force Main Mattabassett Regionalization Project, Bid #2013-008. Prospective HDD Contractors interested in constructing the HDD portion of the Project must demonstrate their qualifications and receive prior written approval to be considered acceptable for this Project.
2. In accordance with C.G.S. 4a-100, all Subcontractors performing work pursuant to a contract with a value in excess of \$500,000 shall be prequalified by the State of Connecticut Department of Administrative Services (DAS). The DAS Contractor Classification shall be "Sewer and Water Lines." Information on the DAS Construction Contractor Prequalification Program and how to prequalify is included in the attached Exhibit A and also can be obtained from the DAS website at <http://das.ct.gov/cr1.aspx?page=10>.
3. Qualified HDD Contractors who become prequalified through the prequalification process indicated herein will be named as an acceptable Subcontractor in the Project Specifications.

4. HDD Contractors applying for prequalification must be able to show experience having installed within the last five years a minimum of 2,000 feet per single continuous installation of fusible PVC pipe, steel pipe or HDPE pipe, 24 inches minimum nominal diameter, each through bedrock, silty sand, and glacial till. Experience with HDD installations in an urban environment and beneath culverts and surface water bodies is desirable.

5. HDD contractor prequalification will be based on the following criteria:

Personnel Assigned to the Project:	25 points
Past Performance and Related Project Experience:	25 points
Understanding of the Project and Preliminary Drilling Plan:	30 points
Equipment Availability and Condition:	10 points
<u>Financial Information and Bonding Capacity</u>	<u>10 points</u>
Total Point Available	100 points

A selection committee comprised of personnel from the City of Middletown and their engineering design consultants will individually review each prequalification packet received and assign points for each of the evaluation criteria. The evaluation points from each committee member for each prospective HDD Contractor will then be added together to obtain an average evaluation point total. In order to become prequalified for the Project, a prospective HDD contractor must obtain a minimum average score of 70 points. All HDD Contractors will be notified of their prequalification status and evaluation point total in writing.

6. Attached hereto is the HDD Contractor’s Prequalification Questionnaire.

7. Please answer **ALL** questions and fill in **ALL** blanks as appropriate. If the answer to a particular question is “Not Applicable” please so indicate in the proper blank. The applicant should use care and integrity in preparing the application. All answers and entries shall be specific and completed in detail.

8. The selection committee may make independent inquiries concerning Contractor’s past performance and/or capabilities.

9. All answers and entries on the prequalification questionnaire, except the signatures, should be filled in with a typewriter or printed in blue or black ink. To make this possible, the forms may be taken apart. It shall be the responsibility of the applicant to return all pages whether applicable or not. Failure to do so may be grounds for rejection.

10. The applicant should include experience and equipment information for only the specific, single business organization or entity that is applying for prequalification.

11. The Work shall be performed by the key personnel indicated in the HDD Contractor’s Prequalification Questionnaire document as completed by the prospective contractor. Replacement required due to unforeseen circumstances may be acceptable. Such acceptance, however, will not imply that the City has evaluated the replacement to be equally, less, or more qualified than the key personnel replaced. Further, the City reserves the right to disqualify a prequalified and/or selected HDD Contractor if the prequalified or selected contractor replaces key personnel. Multiple personnel may be submitted for

each key position to indicate staffing depth and to allow flexibility of staffing based on availability at the time the project is actually awarded. All staff submitted for key positions shall be considered qualified unless specific exclusions are stated in the prequalification response letter to this solicitation.

12. The prequalification questionnaire shall be signed by the applicant and sworn to as the form indicates that the signatory of the statement guarantees the truth and accuracy of all statement and of all answers to questions.
13. Schedules, reports, and other forms of prequalification statements may be used as attachment to the prescribed questionnaire, provided the information contained therein specifically includes the information required by this form. References shall be made on the questionnaire as to the location of any and all supplemental information including the title and page number for ease of location by the selection committee members.
14. The City of Middletown reserves the right to approve or deny any prequalification submittal that is not filled out in complete detail and notarized. The City also reserves the right to waive any and all prequalification ambiguities related to the preparation or submittal of questionnaires or the prequalification evaluation and selection process if the rendered decision is for the benefit of the City. Decisions made by the selection committee regarding prequalification status shall be final. By signing the prequalification questionnaire, Contractor agrees to these terms and conditions and will hold harmless the City of Middletown and their engineering design consultants.
15. The information furnished in and attached to the prequalification questionnaire will be maintained by the City and their engineering design consultants. Privileged information containing any trade secret, proprietary, commercial, or financial information should be plainly marked by the applicant.
16. Contractor shall be required to submit one (1) original and five (5) copies of their qualifications to the Office of the Supervisor of Purchases by the time and date specified.

GENERAL TERMS AND CONDITIONS

Any prospective respondents must be willing to adhere to the following conditions and must positively state their compliance to them in the request for qualifications.

1. Acceptance or Rejection by the City of Middletown - The City of Middletown reserves the right to accept and or reject any or all qualification statements submitted for consideration to serve the best interests of the City of Middletown. Offerors whose qualification statements are not accepted shall be notified in writing.
2. Ownership of Documents - All qualification statements submitted in response to this RFQ are to be the sole property of the City of Middletown and subject to the provisions of Section 1-19 of the Connecticut General Statutes (re: Freedom of Information).
3. Ownership of Subsequent Products - Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFQ is to be the sole property of the City of Middletown unless stated otherwise in the RFQ or contract.
4. Timing and Sequence - Timing and sequence of events resulting from this RFQ will ultimately be determined by the City of Middletown.
5. Oral Agreements - Any alleged oral agreement or arrangement made by a consultant with any agency or employee will be superseded by the written agreement.
6. Amending or Canceling Requests - The City of Middletown reserves the right to amend or cancel this RFQ, prior to the due date and time, if it is in the best interest of the City to do so.
7. Questions – Last day for submittal of questions will be Wednesday, April 24th, 2013 by 4:00 pm. Questions regarding this proposal shall be directed to the Office of the Supervisor of Purchases at (860) 638-4894. Revisions or amendments to the RFQ shall be processed as a written addendum to be issued by the Purchasing Office and will be posted on the city's web site no later than 5 calendar days prior to the deadline for submission of proposals at www.middletownct.gov. It is the responsibility of all Contractors submitting an RFQ to check the website and acknowledge said addendums.
8. Rejection for Default or Misrepresentation - The City of Middletown reserves the right to reject the proposal of the consultant which is in default of any prior contract or for misrepresentation.
9. City's Clerical Errors in Awards - The City of Middletown reserves the right to correct inaccurate awards resulting from its clerical errors.
10. Rejection of Qualified Qualification Statements - Qualification statement are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of the RFQ.
11. Changes to Qualification Statements - No additions or changes to the original qualification statement will be allowed after submittal.
12. Collusion - By responding, the consultant implicitly states that the proposal is not made in connection with any competing consultant submitting a separate response to the RFP, and is in all respect fair and without collusion or fraud. It is further implied that the consultant did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of the City participated directly or indirectly in the consultant's proposal preparation. The Respondent shall be required to complete and submit the Non-collusive Statement incorporated herein with their proposal.
13. Rights Reserved to the City of Middletown - The City of Middletown reserves the right to award in part, to reject any and all qualification statements in whole or in part, to waive technical defects, irregularities and omissions if, in its judgment, the best interest of the City will be served.
14. Withdrawal of Qualification Statements - Negligence on the part of the respondent in preparing the qualification statement confers no right of withdrawal after the time fixed for the acceptance of the qualification statement.

15. Assigning, Transferring of Agreement - The successful respondent is prohibited from assigning, transferring, conveying, subletting or otherwise disposing of this agreement of its rights, title or interest therein or its power to execute such agreement to any other person, company or corporation without the prior consent and approval in writing by the City.
16. Cost of Preparing Qualification Statements - The City shall not be responsible for any expenses incurred by the organization in preparing and submitting a qualification statement. All qualification statement shall provide a straight-forward, concise delineation of the firm's capabilities to satisfy the requirements of this request. Emphasis should be on completeness and clarity of content.
17. Affirmative Action - Demonstration of commitment to Affirmative Action by full compliance with the regulations of the Commission of Human Rights and Opportunities (CHRO).

CHAPTER 26, CONTRACTS

ARTICLE I--EQUAL OPPORTUNITY IN EMPLOYMENT

26-1 Contract Provisions Required

Every contract made by or on behalf of the City of Middletown for the construction, lease, alteration or repair of any public building or public work, or for the purchase, manufacture, sale or distribution of materials, equipment or supplies shall contain provisions providing for equal opportunity in employment.

26-2 Enforcement Officer

The Human Relations Director, who is the City's Affirmative Action Officer, shall have the authority to enforce this ordinance.

26-3 Provisions to be Included

- A. Every contract for the construction, alteration or repair of any public building or public work shall contain the following provisions approved by the Human Relations Director:

The contractor agrees and warrants that in the performance of this contract he will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, gender identity or expression, national origin, ancestry, sexual orientation, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, political belief, Vietnam Era Veteran status, Union membership, genetic History, criminal record (unless the provisions of Section 46a-60, 46a-80(b) or 46a-81 of the Connecticut General Statutes are controlling or there is a bona fide occupational qualification excluding persons in one of the protected groups) present or past history of mental or physical disability, or sexual orientation in any manner is prohibited by the laws of the United States or of the State of Connecticut or the City of Middletown in any manner prohibited by the laws of the United States, the State of Connecticut, or the City of Middletown. The contractor also agrees to provide the Affirmative Action Officer of the City of Middletown with such information that may be requested concerning the employment practices and procedures of the contractor as related to the provisions of this article.

- B. The aforesaid provision shall include, but not be limited to, the following: advertising, recruitment, layoff, termination, rates of pay or other forms of compensation, conditions or privileges of employment selection for apprenticeship, selection or retention of subcontractors, or in the procurement of materials, equipment or services.

26.4 Notices to be posted on project site.

The contractor shall hereinafter post on the project site, in conspicuous places available for employees and applicants for employment, notices setting forth its non-discrimination requirements.

26.5 Subcontractors and Suppliers

In all pre-contractual contracts between contractor and any subcontractor or supplier either for work to be performed under a subcontract or for the procurement of materials, equipment or services, each subcontractor or supplier shall be notified in writing by the contractor of the contractor's obligations under this contract relative to non-discrimination and each subcontractor or supplier, by his contracting agent, shall agree to and be bound by the terms of this Contract.

26.6 Effect on other laws

Nothing contained herein is intended to relieve any contractor from compliance with all applicable federal, state and municipal legislation or provision concerning equal employment opportunity, affirmative action, non-discrimination and related subjects during the term of its contract on this project.

(4/7/80; 3/8/93, 11/1/02, 2/3/03)

NON-COLLUSIVE STATEMENT

All Respondents are required to sign a Non-Collusive Statement with all public proposals as follows:

1. The proposal has been arrived at by the Respondent, independently and has been submitted without collusion with, and without any agreement, understanding, or planned common course of action with any other provider of materials, supplies, equipment, or services described in the Invitation for Proposals, designed to limit independent bidding or competition; and
2. The contents of the proposal have not been communicated by the Respondent or its employees or agents to any person not an employee or agent of the Respondent or its surety on any bond furnished with the proposal, and will not be communicated to any person prior to the official opening of the proposals.

Date _____

Signed

Company

Address

Telephone Number

**HORIZONTAL DIRECTIONAL DRILLING (HDD) CONTRACTOR'S
PREQUALIFICATION QUESTIONNAIRE**

PART I - GENERAL

PLEASE NOTE: All of the information below is REQUIRED. Please do not leave any information blank.

Corporation Name (if applicable)

Company Name

Mailing Address:

Payment Address (If different from mailing addr.):

Address

Address

City, State and Zip

City, State and Zip

FEIN NUMBER: _____ -- _____

- Type of Organization:** **Individual / Sole Proprietor**
(Please Check One) **Limited Liability Company**
 Corporation

Contact Information

Contact Name: _____ **Title:** _____

Additional Contact: _____ **Title:** _____

Phone Number: _____ **Fax:** _____

Email Address: _____

Website: _____

If a Corporation:

Number of Years Incorporated _____ State of Incorporation: _____

If a Partnership:

Date of Organization _____ State of Partnership: _____

If a Sole Proprietor:

Number of Years in Business Under Current Company Name _____

Name and Title of Principal Officers and Date of Assuming Positions:

Name	Title	Date of Assuming Position

Has your organization operated under any other name? _____ Yes _____ No

If yes, what name, when, where, and why: _____

PART II - PERSONNEL ASSIGNED TO THE PROJECT (25 pts)

Full Time Staff: (Number) (Attach and Submit Resumes of Key HDD Staff Proposed for this Project)

Office _____ Field _____ HDD Field Supervisors _____

HDD Project Managers _____ Licensed Professional Engineers _____

Construction Experience of the Principals in your organization:

Name	Present Position	Years of Experience	Licenses/ License No.

Construction experience of the HDD Project Managers and Project Engineers of your organization:

Name	Present Position	Years of Experience	Licenses/ License No.

Construction experience of the HDD Field Supervisors, Lead Drillers, and Surveyors of your organization:

Name	Title	Years of Experience

HDD CONTRACTOR'S PROPOSED PROJECT TEAM:

Principal-in-Charge _____

Project Manager _____

Project Engineer _____

HDD Field Supervisor _____

Lead Driller, Guidance, and Surveyor Team _____

NOTE: Include a Statement, *attached to this Prequalification Questionnaire*, which indicates why the proposed project team was selected for the Project. Indicate such information as individual experience, area(s) of expertise, special Project-related experience(s) and skills, how they will be used on the Project, experience with local soil conditions, and communication skills. Also indicate the specific project-related experience of the proposed drill team and the number of years working together as a complete field HDD team.

NOTE: The Work shall be performed by the key personnel indicated in this HDD Contractor’s Prequalification Questionnaire document as completed by the prospective contractor. Personnel replacements required due to unforeseen circumstances may be acceptable to the City of Middletown. Such acceptance, however, will not imply that the City has evaluated the replacement to be equally, less, or more qualified than the key personnel replaced. Further, the City reserves the right to disqualify a prequalified and/or selected HDD Contractor if the prequalified or selected contractor replaces key personnel.

Does your company have a written safety policy, mission statement, or other document addressing the company’s attitude towards worker safety and the safety of the general public during construction?

_____ Yes _____ No

If yes, please attach a copy of the document. (NOTE: Please do not send full copies of safety manuals.)

Does your company have a designated Safety Officer? _____ Yes _____ No

If yes, please include this individual’s qualifications, work experience, authority, job duties, percentage of time spent in fulfilling his duties as safety officer, and to whom this individual reports.

PART III – PAST PERFORMANCE AND RELATED PROJECT EXPERIENCE (25 pts)

Largest _____ Pipe Diameter Drill and Length*: _____ (24” nom. min)

Longest River Crossing and _____ Pipe Diameter*: _____ (2,000 LF min)

Deepest _____ Pipe Installation, Length, and Diameter*: _____

(* Within the past five years).

Applicant’s major projects performed during the past five years.

Include and highlight those projects having pipeline material equal to or greater than 24 inches nominal diameter, equal to or greater than 2,000 feet in continuous length, and specifically related to fusible PVC pipe, steel pipe or HDPE pipe. Lack of experience with fusible PVC pipe larger 16 inches and longer than 2,000 feet continuous will result in a 5-point reduction in the maximum permitted score for this criterion.

Please include the following information for each project:

- Project Name
- Project Description
- Project Location
- Date of Contract
- Date of Completion
- Contract Amount
- Project Reference Name
- Reference Telephone Number and Address

Attach separate sheets as necessary to provide this information. Please be sure to include all relevant information as requested above and any additional information to fully describe the project, critical design and field issues, and noteworthy project features. A minimum of three (3) and maximum of five (5) projects shall be included in this section.

Applicant's current active projects.

Please include the following information for each project:

- Project Name
- Project Description
- Project Location
- Start Date
- Estimated Date of Completion
- Percent Completed
- Contract Amount
- Owner's Name
- Owner's Telephone Number and Address

Attach separate sheets as necessary to provide this information. Please be sure to include all relevant information as requested above and any additional information to fully describe the project, critical design and field issues, and noteworthy project features.

Annual Work (3 year average): _____

HDD Percentage of Annual Work: _____

Range of Contract Values: _____

Has your organization ever failed to complete or refused to enter into a contract awarded to you:

_____ *Yes* _____ *No*

If yes, with whom, when, where, and why: _____

Has your organization ever had a license denied, revoked, or suspended?

_____ *Yes* _____ *No*

If yes, type of license, when, where, and why? _____

Has your organization ever been engaged in any litigation? _____ Yes _____ No

If yes, with whom, when, where, why, and outcome? _____

Provide a list of major Material Suppliers (pipeline materials, coating suppliers, etc.) used on previous projects:

Name of Supplier, Company, and/or Firm	Material Supplied	Address / Telephone Number

PART IV – UNDERSTANDING OF THE PROJECT AND PRELIMINARY DRILLING PLAN (30 pts)

Indicate your understanding of the Project and local conditions by including a brief summary containing all relevant information pertaining, but not limited, to your experience with each of the following Project components:

- proposed pipeline materials
- proposed work in urban pipeline entry and exit locations and associated angles
- proposed pipeline route and depth at various critical locations along the proposed drill paths
- anticipated soil conditions along each of the proposed drill paths
- anticipated drilling fluid downhole pressure requirements along the proposed drill paths
- anticipated drilling fluid containment issues

Based on the information provided and your Understanding of the Project, please provide a preliminary Drilling Plan for the Project that includes the following component:

- proposed equipment for the Project
- subcontractor requirements
- HDD drill rig staging locations
- site surveying and tracking requirements
- how HDD Contractor will address pipeline installation requirements to avoid or address steering difficulties when crossing under waterways and highways with restricted surface access
- how HDD Contractor will address drilling fluid pressure control
- how HDD Contractor will address drilling fluid containment
- preliminary borehole diameter(s)

Where is proposed rental equipment available? _____

PART VI – FINANCIAL INFORMATION AND BONDING CAPACITY (10 pts)

Provide the market value of all construction equipment fully owned by your organization:

\$ _____

Provide the value of total assets of your organization (*including equipment value above*):

\$ _____

Provide the value of total liabilities of your organization:

\$ _____

Provide the total contract value of all work completed by your organization in each of the following years:

\$ _____ (2008)
\$ _____ (2009)
\$ _____ (2010)
\$ _____ (2011)
\$ _____ (2012)

Provide the total contract value of all HDD work completed by your organization in each of the following years:

\$ _____ (2008)
\$ _____ (2009)
\$ _____ (2010)
\$ _____ (2011)
\$ _____ (2012)

Provide the total value of work presently being accomplished, under contract, or pending award to your organization:

\$ _____ (2013)

Provide the value of any judgments or liens outstanding against your organization:

\$ _____

Has any Bonding Company refused to write you a bond on any construction work:

_____ *Yes* _____ *No*

If yes, please explain: _____

Provide the total value of all contract work for which you could obtain Bond:

\$ _____

STATEMENT AND RELEASE OF FINANCIAL INFORMATION

I _____ being agent of _____, do hereby attest that the foregoing Prequalification Statement of Experience, Equipment, and Financial Standing are true and accurate. I further authorize the _____ to investigate all references and obtain credit and financial information regarding the Applicant as of the date hereof:

Dated at _____, this _____ day of _____, 20____.

Signature

Title

Subscribed and sworn to before me this _____ day of _____, 20____.

Notary Public

My Commission Expires: _____

**RFQ #2013-012
HORIZONTAL DIRECTIONAL DRILLING CONTRACTORS
WATER & SEWER DEPARTMENT**

Issued: 04/18/2013 Reply Date: WEDNESDAY, MAY 1, 2013 AT 3:00 PM

To: Donna L. Imme
Supervisor of Purchases
Room 112, Municipal Building
245 DeKoven Drive
Middletown, Connecticut 06457

We, the undersigned submit our qualifications for horizontal directional drilling to be named in the Specifications as an acceptable subcontractor for the City of Middletown, Connecticut Wastewater Force Main Mattabassett Regionalization Project, Bid # 2013-008, and submit for your consideration the following:

RESPONDENT CHECKLIST

We have submitted the following for your review:

1. _____ Completed HDD Contractor's Prequalification Questionnaire pages 13 - 22
2. _____ Non Collusive Statement page 12
3. _____ Statement and Release of Financial Information page 22
4. _____ Evidence of DAS Contractor Prequalification Certification or evidence of having filed application to DAS
5. _____ Submit 1 (one) original and (5) five **Copies** of Qualification

Receipt of Addenda is acknowledged:

Addendum No. _____ Date _____

SIGN HERE: I hereby certify that the above information is correct.

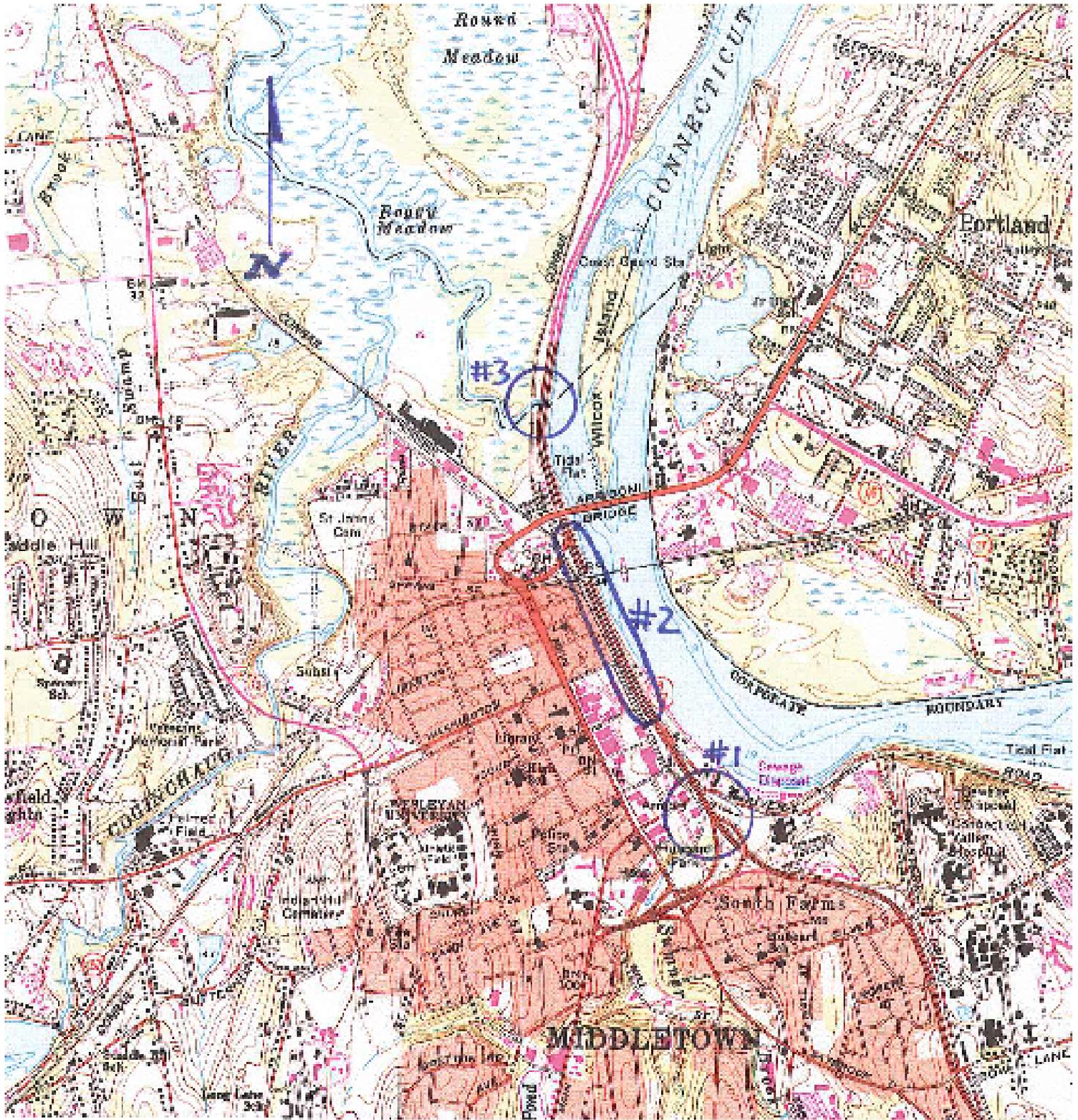
Print or Type Name & Title

Signature

Date

WITH EACH PROPOSAL, THE BIDDER SHALL SUBMIT A SIGNED NON-COLLUSIVE STATEMENT ON THE FORM ENCLOSED HERE-IN (PAGE 12)

Date: _____



Project Location Map. Taken from USGS 7.5 Minute Series Topographic Map. Middletown, Connecticut Quadrangle. Not to Scale.

Bid Return Label

Always use Mailing Label below on all packages when submitting bids to the City of Middletown Purchasing Office for clear identification of your bid response.

Official Bid Documents Enclosed:

RFQ# 2013-012- HORIZONTAL DIRECTIONAL DRILLING CONTRACTORS

Return Date: WEDNESDAY, MAY 1, 2013, at 3:00 pm

**City of Middletown Purchasing Department
Municipal Building Room 112
245 DeKoven Drive
Middletown, CT 06457**



EXHIBIT A

STATE OF CONNECTICUT DAS CONTRACTOR PREQUALIFICATION INFORMATION



Contractor Prequalification

6.24.11

What is the DAS Contractor Prequalification Program?

The DAS Contractor Prequalification Program (C.G.S §4a-100) requires all contractors to prequalify before they can bid on a contract or perform work pursuant to a contract for the construction, reconstruction, alteration, remodeling, repair or demolition of any public building or any other public work by the state or a municipality, estimated to cost more than \$500,000 and which is funded in whole or in part with state funds, except a public highway or bridge project or any other construction project administered by the Department of Transportation.

Overview of the Prequalification Application Process:

The prequalification process is comprised of 3 elements:



Online Application

The application must be completed online and is available by visiting

[Prequalification Application](#)



Required Hard Copy Documents

Click here for a list of the documents that must be provided to DAS.

[Hard Copy Documents Checklist](#)



Contractor Performance Evaluations

3 Performance Evaluations from previous projects are required per Classification.

Quick Links

[Contractor Prequalification Homepage](#)

[Program Ineligibility](#)

[Hard Copy Document Requirements & Fee Schedules](#)

[Renewal Hard Copy Document Requirements & Fee Schedule](#)

[Connecticut General Statute: Sec. 4a-100](#)

[Connecticut General Statute Sec. 4a-101](#)

[Connecticut General Statute Sec. 4b-91](#)

The Prequalification Application Process: (How to become Prequalified)

Before getting started:

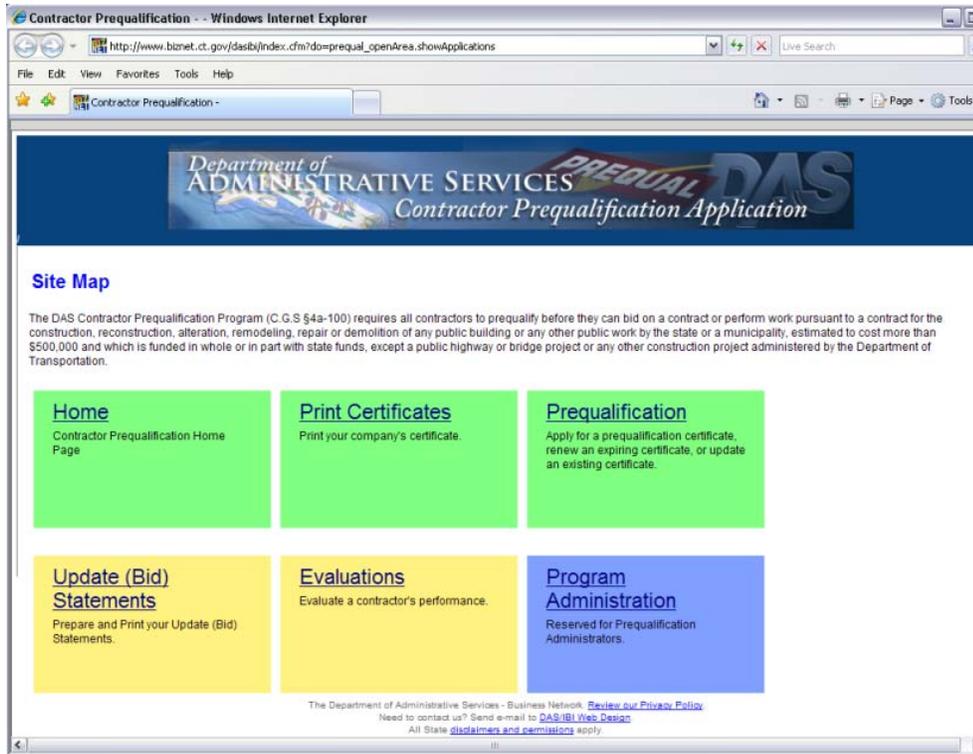
Please check the accompanying link for circumstances where DAS will find an applicant **ineligible for prequalification**:



Creating a Login:

1/4

- Go to the **Prequalification Application Login page**. *(link on right)*
- Click the **green box labeled "Prequalification."**



<http://www.biznet.ct.gov/prequal/Login/Ineligibility.pdf>

<http://www.biznet.ct.gov/prequal/>

Tip: On this home page you may also...

Print Certificates

Create and print Update (Bid) Statements

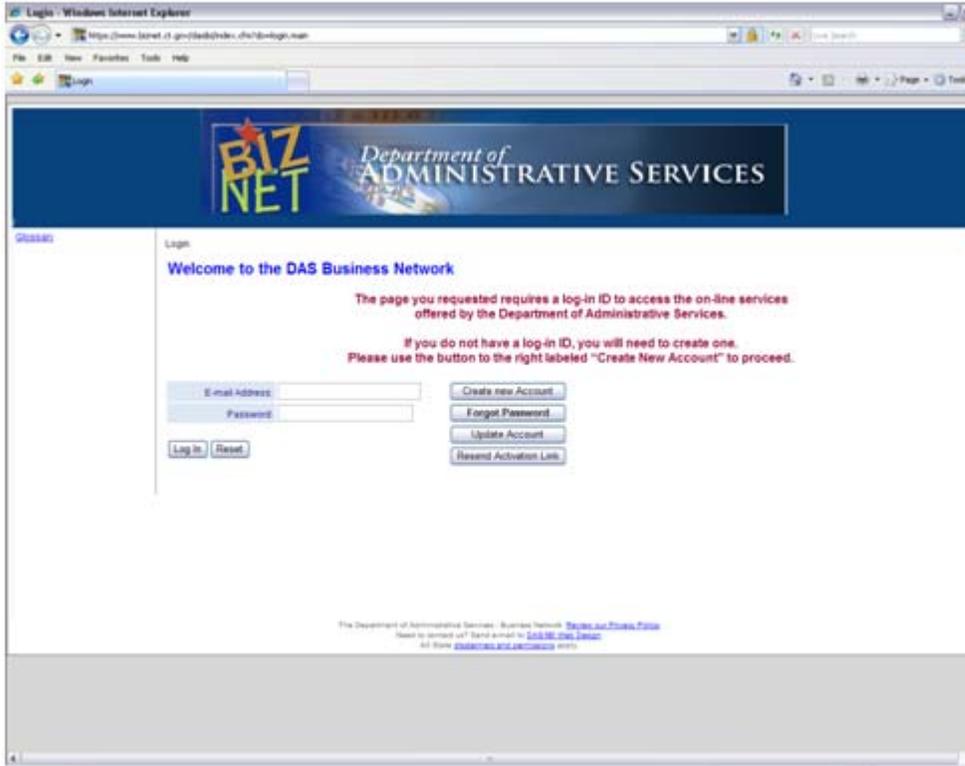
Perform Evaluations



Creating a Login:

2/4

- Click the **Create an account** link.



Tip: On the login page you may also...

- Resend your activation code
- Reset your password
- Change your login information



Creating a Login:

3/4

- Follow the directions to **create a new account**.
- Wait to receive an e-mail from DAS
- Click the **link in the e-mail** to activate your account.

Tip: You must return to the application by clicking the link in the e-mail; this activates your online account. If you don't receive this e-mail, check your spam filter (e-mails with active links are sometimes intercepted by spam filters). If you still can't find the e-mail, call us for assistance at (860) 713-5280.

Tip: Your new DAS Business Account will also allow access to...

- Procurement Vendor programs
- Supplier Diversity Program Application

Tip: Write down your Password and save it! You will need it each time you login to the application.

Tip: For easier access, save the application site to your Favorites.



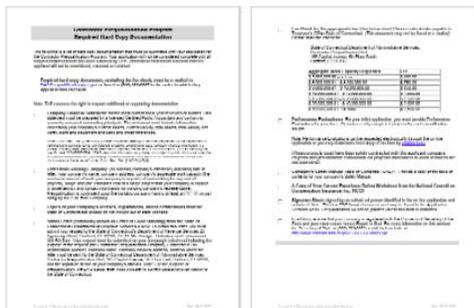
Creating a Login:

4/4

- Return to the **Login** page and enter your E-Mail Address and Password, and click the “Log-In” button.



- Once back at the Home Page of the application, if you haven't already, download the PDF file checklist, **Hard Copy Document Requirements**.



<http://www.biznet.ct.gov/prequal/>

Tip: When you have submitted your online application there is a 30 day period in which you must submit all hard copy documents and Performance Evaluations, so it's a good idea to begin getting those together early in the process.

Hard Copy Document Requirements & Fee Schedule



Completing the Application:

1/3

- Click **Edit** to the left of your company name. This opens new menu selections for each section of the application.

Contractor Prequalification - Your Companies - Windows Internet Explorer

http://www.biznet.ct.gov/dasbi/index.cfm?id=Prequal_YourCompanies.ShowCompanies

Contractor Prequalification - Your Companies

Department of ADMINISTRATIVE SERVICES
PREQUAL DAS
Contractor Prequalification Application

peter.hunter@ct.gov /

Prequalification Home
Your Companies
On-line Resources

Logout
Home
Glossary

Your Companies

Contractor Prequalification Application

Note: First time users should select the "continue" link below to begin the Prequalification process.

- To enter a new company, click: [Add](#)
- To select or update an existing company, click on [Edit](#) next to the company name.
- To view a company's application history click on [History](#).
- To update the personnel authorized to manage the company's application, click on [Attach/Remove Users](#)

	Name	Taxpayer Id	Current Status
Edit History Attach/Remove Users	P.J.H. Construction, Inc.	007007007	Entering data

The Department of Administrative Services - Business Network [Review our Privacy Policy](#)
Need to contact us? Send e-mail to [DAS/BI Web Desk](#)
All State [disclaimers and permissions](#) apply.

Tip: On this web page, you may also view your prequalification application history, and attach or remove authorized users of the application site.



Completing the Application:

2/3

- Click the first Application Section menu item, **Company Information**.
- Enter all applicable Company Information (Company Name, Taxpayer ID, etc.). If any items don't apply, such as DBA or Web Address, leave them blank.
- When you have finished the section, click the link titled, "**Continue**." This will save all the information for the section to the application. You may then return to the section to review the information you entered, or select the next section from the left-side menu.
- Follow the same process for each section of the application.

Please read and carefully follow the instructions provided for each section of the application.

The screenshot shows a web browser window with the title "Contractor Prequalification - Company Information". The page header includes "Construction, Inc." and "Contractor Preq". A left-hand navigation menu lists various sections, with "Company Information" highlighted. The main content area is titled "Enter Your Company Information" and includes instructions: "This section provides us with basic information about your company." and "Enter all required information, then click [Continue](#) below." Below the instructions are several form fields, each with a red asterisk indicating it is required:

- Legal Business Name: Construction, Inc.
- Are You Conducting Business Under a DBA (Doing Business As)?: Yes No
- Taxpayer ID Type: FEIN SSN
- Taxpayer ID: 00-7007007
- Business Structure: Corporation
- Incorporating State: Connecticut
- Web Site Address: www.construction.com
- Number Of Owners: 1
- Number Of Employees: 100

Tip: You'll notice that some application sections are marked with a Red "X." This indicates that all required information for a particular section has not yet been entered.

You can follow these Xs to red asterisks * within a section to determine where there is missing information.

You will not be able to submit your application until all the red asterisks are gone.

Tip: Required fields are marked with a





Completing the Application:

3/3

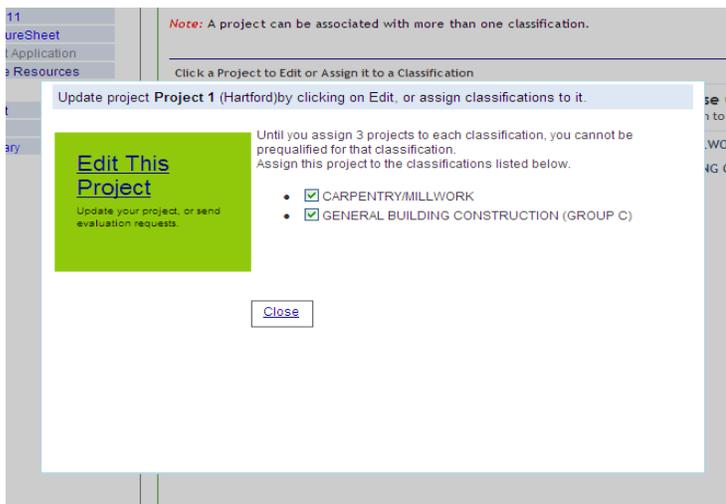
- **APPLICATION SECTION-SPECIFIC TIPS:**

Affiliates: If your company has no affiliates, skip this question.

Classifications, Projects and References: Click the link to the right and scroll down the web page for a list and description of all Classifications:

Single projects may be associated with multiple classifications.

- Use the **check boxes** to associate any applicable project with your chosen classifications.



Personnel: These are company owners, principals, and key personnel. It is up to you to decide who to list here, but when in doubt list only personnel with signatory authority for the company.

Financial Information: **AWC and Single Limit Bonded** are your bonding capacities listed in the letter from your bonding company, which you provide as part of the Hard Copy Document Requirements. **AWC and Single Limit Requested** are the bonding limits that your company is requesting for the Prequalification program. You may request an AWC and Single Limit for this program up to the limits supported by your bonding company, but not above those limits. Because ongoing bonded work draws from your available program AWC, it is recommended that you apply for a program AWC at or near your bonding limit.

[DAS Contractor Classification List](#)

Tip: To be eligible for prequalification, your company must be bondable by a bonding company rated A- or better by A.M. Best.



Submitting Your Application:

1/1

- When you have completed and reviewed each Application Section, click the link for **Signature Page**. Print this PDF file, and have it signed and dated by an officer of the company with signatory authority. This will be uploaded to DAS with your other hard copy documents.
- Now that your application is complete, the menu link titled **Submit Application** should be active. This is an indication that all necessary information has been entered.

Example: Submit Link **Inactive**

Prequalification Home
Your Companies
Company Information
Address
Contacts
Licenses
Integrity
Personnel
Affiliates
Company History
Workers Compensation Insurance
X Classifications and Projects
Financials
Safety Meetings
Safety Inspections
SEEC 11
SignatureSheet
Submit Application
On-line Resources

Example: Submit Link **Active**

Prequalification Home
Your Companies
Company Information
Address
Contacts
Licenses
Integrity
Personnel
Affiliates
Company History
Workers Compensation Insurance
Classifications and Projects
Financials
Safety Meetings
Safety Inspections
SEEC 11
SignatureSheet
Submit Application
On-line Resources

Tip: If the Submit Application link is not active, check the menu for any Red "X"s and follow them to the section where additional information is needed to complete the application.

When you have entered all required information, the Submit Application link will become active and allow you to submit your application online to DAS.

Click **Submit Application**. This will open a new page from which you can submit your application.

When you click the **Submit** button, you will be alerted to the 30-day limit for submission of all Hard Copy Documentation.

Your application is now available to the DAS Contractor Prequalification Unit for review.



Hard Copy Documents and Fee:

1/3

- Now that you have submitted your electronic application, the 30-day clock is ticking for you to upload your Hard Copy Documents.

Click this link for a complete list of: [Required Hard Copy Docs](#)

HARD COPY DOCUMENT TIPS:

- The **Financial Statement** must be a complete **Reviewed** or **Audited** statement (not just a balance sheet), prepared by a licensed Certified Public Accountant. **Compiled** financial statements are not accepted.
- Bonding Letter:** Your company must be bondable, and you must provide a letter from a bonding company, rated by A.M. Best as A – or better, indicating your aggregate and single project bonding limits.
- The **Status letter from the Department of Revenue Services (DRS)** must be requested in writing, and turn-around time is dependent upon work load at the DRS. While the agency has been very quick to respond to these requests, allow at least several weeks for receipt of this document.
- Please upload only the **Table of Contents for your Safety Manual**, not the entire manual.
- Make sure that your company is registered with the **Connecticut Secretary of State** to do business in the state. Occasionally, out-of-state companies neglect to do this (even if they have worked in Connecticut before) and it can delay your prequalification. You can check your company's status at the following web site. <http://www.concord.sots.ct.gov/CONCORD/index.jsp>

Fee Schedule: Your fee is based upon your **Requested AWC**. See the chart below. (Yearly renewal fee is ½ of the initial fee)

Aggregate Work Capacity Requested	Initial Fee	Renewal Fee
\$ 5,000,000.00 - or less	\$ 600.00	\$300.00
\$ 5,000,000.01 - \$ 8,000,000.00	\$ 750.00	\$375.00
\$ 8,000,000.01 - \$ 10,000,000.00	\$ 850.00	\$425.00
\$ 10,000,000.01 - \$ 15,000,000.00	\$ 1,000.00	\$500.00
\$ 15,000,000.01 - \$ 20,000,000.00	\$ 1,500.00	\$750.00
\$ 20,000,000.01 - \$ 40,000,000.00	\$ 2,000.00	\$1000.00
\$ 40,000,000.01 - or more	\$ 2,500.00	\$1250.00

Required Documents:

Financial Statement
 Bonding Letter
 Company Licenses
 DRS Status Letter
 Fee
 Safety Manual TOC
 NCCI Worksheet
 Signature Sheet

Tip: If you have a combined financial statement, you must also provide a separate balance sheet for the applying company.

Tip: In addition to being registered with the CT Secretary of State, your filing history with that agency must be current.



Hard Copy Documents and Fee:

2/3

- Hardcopy documents **must be Uploaded**. The Prequalification Program no longer accepts documents that have been e-mailed, faxed, mailed or delivered to our offices.

Tip: Uploading ensures secure transmission of your hard copy documents.

Prequalification Hard Copy Documents Upload Process:

Step 1: The Upload Docs button is located at the bottom of the sections menu. Documents can be uploaded at any time during the application process.

Contractor Prequalification - Company Information

Construction, Inc.

Prequalification Home
Your Companies
Company Information
Address
Contacts
Integrity
Personnel
Licenses
Affiliates
Company History
Workers Compensation
Insurance
Classifications and Projects
Bonding Information
Safety Meetings
Safety Inspections
SEEC 11
SignatureSheet
Print
Submit Application
On-line Resources
Upload Docs

Logout
Home

Company Information

Enter Your Company Information

This section provides us with basic information about your company.

Indicates a required field.

Enter all required information, then click [Continue](#) below.

Legal Business Name: Construction, Inc.

Are You Conducting Business Under a DBA (Doing Business As)? Yes No

Taxpayer ID Type: FEIN SSN

Taxpayer ID: 00-7007007

Business Structure: Corporation

Incorporating State: Connecticut

Web Site Address: www.construction.com

Number Of Owners: 1

Number Of Employees: 1

Step 2: After clicking the Upload Docs button, the user is asked to login again. Following this login the user selects the “Upload” link.

PreQual Docs - Windows Internet Explorer

http://www.das.ct.gov/Contractor/Document/prequalupload.asp?tab=100

PreQual Docs

Department of ADMINISTRATIVE SERVICES

Upload PreQualification Documents

Documents for Current Certificate

Upload	Upload Info	Document Name	Description
Upload		Company Financial Statement	
Upload		Company Safety Manual Table of Contents	
Upload		Current Experience Rating (CARE)	
Upload		Worker's Comp SECC	
Upload		Department of Revenue Services (DRS) Status Letter	
Upload		Letter from Bonding Company	
Upload		Signature Sheet	

The Department of Administrative Services - Business Services - Requests for Proposals

Need to contact us? Send e-mail to: das@das.ct.gov

All fees: [Business](#) and [Administrative](#) fees.

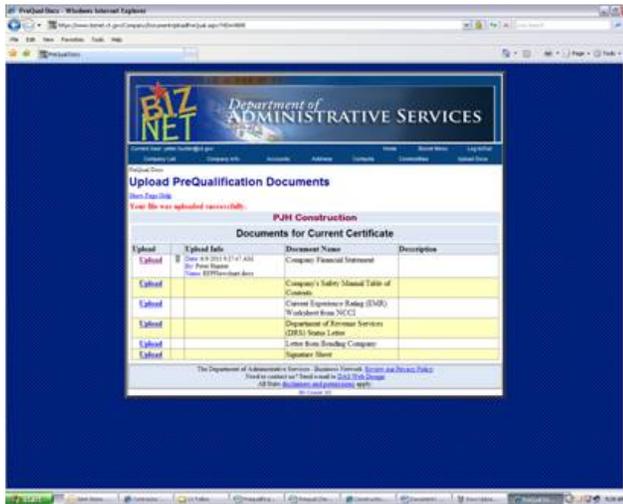


Prequalification Hard Copy Documents Upload Process (cont):

Step 3: The user is prompted to “Browse” for appropriate document, then clicks the Upload button.



Step 4: Following document upload, the user is returned to the upload screen to select another document.



Tip: Information for uploaded documents includes:

- Date Uploaded
- Time Uploaded
- User Name
- Document Name

There is also an option on this screen to delete documents.



Performance Evaluations:

1/1

- For each Prequalification Classification you choose, you must list your last 3 jobs in that classification, and provide Performance Evaluations for each job.
- Contracts for these projects must be solely in the name of the applicant company. Performance Evaluations for projects contracted to Joint Ventures are not accepted.
- **Performance Evaluations are requested electronically** from the projects data entry box in your application. We suggest prior to emailing the evaluation request, you contact the evaluator to verify their correct email address and to let them know they will be receiving an evaluation by email.

You are editing Project 1 (1)

Add information on the project in the left column. In the right column, identify a reference (evaluator) and request a Performance Evaluation for the project. Click Update when you have finished.

Project Information	Performance Evaluation Request
Title: Project 1	Reference Name: John Carpenter
Location: Hartford	Reference Phone: (111) 222-3333
Start Date: 01/01/2000	Reference Email: jcarpenter@email.com
100% Completion Date: 01/01/2001	Email Evaluation Request? <input checked="" type="radio"/> Yes <input type="radio"/> No
Project Value: 1000000	Reference Type: <input type="radio"/> Awarding Authority - Owner <input checked="" type="radio"/> Construction Manager <input type="radio"/> Designer/Architect <input type="radio"/> General Contractor <input type="radio"/> Project Manager <input type="radio"/> Subcontractor <input type="radio"/> Supervisor
Awarding Authority/Project Owner: DPW	
Source of Funding: State	
Project Number: 1	
For this Job did you function as a General Contractor or a subcontractor? <input checked="" type="radio"/> General Contractor <input type="radio"/> Subcontractor	

Save
Save your changes and close this screen.

Cancel
Do not save your changes and close this screen.

Delete
Delete this project.

- Experience has shown that the single greatest cause of delay in your company's prequalification process can be the **Contractor Performance Evaluations**. When you request these evaluations you must be prepared to **follow-up with the evaluators to ensure that they received it.**



Update (Bid) Statement:

1/1

Once your company is prequalified, and you submit a bid requiring DAS Prequalification, you'll need to include two documents with your bid paperwork. The first is your Contractor Prequalification Certificate. Although it's available online, the law dictates that it must be included with the bid. You'll find your certificate at the **DAS Contractor Prequalification Directory Search** page.

The second is an **Update (Bid) Statement**. This includes information on the contractor and job being bid. It also indicates your company's remaining Aggregate Work Capacity. The remaining AWC is calculated by deducting the amount of ongoing bonded work from your total bonded Aggregate Work Capacity.

To create an Update (Bid) Statement online:

- Go to the **Prequalification Application Login page**.
- Click the **yellow Update Bid Statements** box.
- Enter your E-Mail Address and Password, and click the "Log-In" button.
- Click the **Add A Bid Statement** link, and enter a Project Name and, if applicable, a Project Number.
- Use the links for **Information**, **Financials**, **Projects** and **Supervisors** to populate the Update (Bid) Statement.
- Use the **Print** link to print the Update (Bid) Statement for inclusion with your bid paperwork.

DAS Contractor Prequalification Search

