

Department of Economic and
Community Development

State Historic Preservation Office



State Historic Preservation Office

Bidding, Contracting, and Construction Guidelines for the Historic Restoration Fund

April 2014

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1. **CONFLICT OF INTEREST NOTICE**

Members and relations of the governing body and/or staff of the grantee shall be prohibited from receiving contracts for material or services related to the Construction/Renovation.

2. **PRE-CONSTRUCTION REQUIREMENTS**

- a) **Floodplains** - The FEMA Flood Insurance Rate Map (FIRM) of the project boundary must be reviewed by the Historical Architect or Engineer during the design phase.

If the project proposes an activity within or affecting a floodplain or that impacts storm drainage facilities, SHPO must submit a Flood Management Certification to the Department of Energy and Environmental Protection (DEEP) per C.G.S. 25-68b through 25-68h.

The grantee's Historical Architect or Engineer will be responsible for preparing the application and submission to SHPO for review and subsequent certification to DEEP.

When Flood Management Certification is required, it must be approved prior to the completion of the bid package.

SHPO will not approve or fund any construction activities until certification has been accepted by the DEEP.

- b) **Hazardous Materials** – It is the grantee's responsibility to investigate the possible existence of hazardous materials and evaluate their impact on the proposed project. Hazardous materials include, but are not limited to, lead based paint, asbestos containing materials, PCBs etc.

If hazardous materials are present on the project site or in existing buildings, appropriate mitigation, remediation must be included in the scope of work, plans and specifications.

- c) **Approvals** – The grantee shall review any factors in conflict with the use of the site or the planned project on the site to be developed or rehabilitated (e.g. building lines, zoning regulations, local ordinances, codes or other pertinent regulations or restrictions). Particular attention should be given to projects that will involve a change in use. The grantee shall obtain all necessary local, state, federal and utility companies' approvals and any special permits, variances or waivers that may be required.

3. **BIDDING, CONTRACTING & CONSTRUCTION REQUIREMENTS**

Unless notified by SHPO, the grantee will be required to certify that the project is in compliance with DECD design, bidding, contracting and construction monitoring requirements.

Unless specifically waived by DECD, the grantee's Historical Architect or Engineer must have the proper professional credentials. It will be the responsibility of the grantee to certify and submit the appropriate documentation during the bid phase, construction phase and closeout phase of the project. The grantee will be required to provide SHPO with the following signed certification documents along with the bid documents:

- a) Construction Bid Package, Drawings, and Specifications Compliance Certification (page 24)
- b) Construction Monitoring & Close-out Compliance Certification (page 25)

If the grantee has any questions, concerns, comments regarding this process or needs assistance in carrying out these requirements, please feel free to contact the Construction Grant Coordinator.

4. **BID PACKAGE SUBMISSION REQUIREMENTS**

- a) All construction plans, specifications, and instructions to bidders must be prepared by a licensed professional Historical Architect or Engineer who meets the Secretary of the Interior's Professional Qualification Standards and has been approved by the State Historic Preservation Office (SHPO).

- b) A draft bid package, including plans and specifications must be submitted to SHPO for review not less than *two weeks* prior to advertisement. The Historical Architect or Engineer should submit an updated project cost estimate as part of the package.
- c) All grantees and their contractors will need to comply with 4a-60 and 4a-60a of the Connecticut General Statutes (C.G.S.) and Sections 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies. The above statutes and regulations require the grantee to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” on projects.

The Invitation to Bid should clearly state the terms and conditions for bidding the project including the submission of the CHRO Contract Compliance Regulations Notification to Bidders form. This form is attached, and can also be found at:

<http://www.ct.gov/chro/lib/chro/pdf/notificationtobidders.pdf>

All bidders must complete, sign, and return the CHRO Contract Compliance Regulations Notification to Bidders form to the grantee at the time of bid opening.

Bids not including this form should be considered incomplete and rejected.

- d) The Bid Package must also include a copy of the Invitation to Bid document.

The document must include the following:

- i. “Partial funding for this project is provided by Connecticut’s Historic Restoration Fund”
- ii. “All work must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties and be approved by the State Historic Preservation Office”
- iii. “A mandatory walkthrough/pre-bid meeting will be held on *DATE and TIME*”

The document must end with:

YOUR ORGANIZATION is “An Affirmative Action/Equal Opportunity Employer. Minority/Women's Business Enterprises are encouraged to apply.”

6. ADVERTISING YOUR PROJECT

- a) For all projects, grantees must notify SHPO of the Bid Opening date, time, and location as soon as it is determined.
- b) In cases where the total project cost is below \$100,000, bids may be solicited by letter, fax or email. However, the DECD grantee must receive at least three written bids.
- c) For projects where the total project costs is above \$100,000, the grantee must run a notice in the Public Notices section of one newspaper with broad circulation such as the Hartford Courant, Waterbury Republican, Bridgeport Post, New Haven Register, Norwich Bulletin, or the Stamford Advocate.

The notice must run for at least two (2) days.

- d) DECD recommends but does not require the applicant also run a notice in the Public Notices section of a local newspaper.
- e) Grantees can also post the notice on the Department of Administrative Services Contracting Portal. This is a free service offered by the State of Connecticut.

To set up an account:

- a. Go to <https://www.biznet.ct.gov/AccountMaint/Login.aspx>
- b. Click Create a New Account
- c. Enter and confirm your email address and password and click submit
- d. You will receive an email from DAS
- e. Contact SHPO to authorize you as a user

8. BONDS/CERTIFIED CHECKS

a) Municipalities

- 1) Municipalities must require bid bonds (5% minimum) for contracts exceeding \$50,000 or subcontracts exceeding \$50,000 (C.G.S. 49-41).
- 2) Municipalities must require a Performance Bond for contracts exceeding \$25,000 or a subcontract exceeding \$50,000 (C.G.S. 49-41).
- 3) Municipalities must require a Labor & Material Payment Bond for contracts exceeding \$100,000.
- 4) If a construction manager is employed, each subcontract exceeding \$100,000 shall be bonded or a certified check required.

b) Non-Profit Projects

- 1) Where the total project exceeds \$100,000, the grantee shall require bid bonds or certified checks from the general contractor.
 - la
 - 2) Total projects less than \$100,000:

- The grantee shall negotiate a payment schedule with the contractor.

The payment schedule shall ensure that the contractor has provided the grantee with sufficient guarantees to ensure project completion.

A copy of the payment schedule must be submitted to SHPO

- The grantee shall secure lien waivers from all subcontractors, if applicable.

10. INSURANCE

- a) The project's Assistance Agreement between the DECD and the grantee should be followed for insurance requirements.
- b) Contractor's Certificate of Insurance shall be required. The grantee is responsible for insuring that the levels are adequate.
- c) State of Connecticut shall be listed as an additional insured.
- d) Builder's Risk Insurance should be obtained either through the general contractor or grantee's agent.

A copy of the Builder's Risk Certificate should be provided to DECD with the State of Connecticut listed as A.T.I.M.A.

- e) The grantee's Liability Insurance should be checked, especially if clients will be receiving services at the facility while construction is taking place. The grantee should ensure the existing coverage is adequate. If not, a rider should be secured.
- f) The "Hold Harmless" endorsement of the insurance shall include the interest of the grantee and the State of Connecticut. The contractor and any subcontractors and all other interests shall be so named.

This policy shall insure against all risks of physical damages except as modified by the contract documents and subject to the normal all risk exclusions.

11. PREVAILING WAGE RATES

- a) Municipal grantees shall pay the prevailing wage rates on projects:
 - a. where the total cost of all work to be performed by all contractors and subcontractors in connection with new construction is \$400,000 or more; and

- b. where the total cost of all contractors and subcontractors for remodeling, refurbishing, rehabilitation, and repair is \$100,000 or more (C.G.S. 31-53(g)).
- b) Where federal funds are involved, Davis-Bacon Act rates may apply. Consult funding source.

12. PREQUALIFYING BIDDERS

- a) Municipal contracts for the construction or renovation of a public works project, where the estimated value is \$500,000 or greater, may need to comply with C.G.S. Sec. 4b-91.

In such cases the contractors must be pre-qualified by the State of Connecticut Department of Administrative Services (DAS).

13. CONSTRUCTION MANAGERS IN PLACE OF GENERAL CONTRACTORS

The grantee may employ a construction manager, but if this management method is used, each subcontract must be bid employing the same procedures outlined above with a minimum of three bids for each subcontractor, advertising for each and compliance with minority regulations.

Any specific construction trade work to be conducted by the construction manager requires SHPO pre-approval.

15. PROCUREMENT PACKAGE - DOCUMENTS TO BE FORWARDED TO SHPO AT COMPLETION OF BIDDING:

- a) Completed bid tabulation
- b) Complete copies of the three lowest responsive bids.

- c) Signed copies of the "CHRO Contract Compliance Regulations Notification to Bidders" form from the three lowest responsive bids.
- d) Copies of the bid bonds/certified checks from the three lowest responsive bidders.
- e) A copy of advertisements soliciting bids and/or publisher's affidavit from newspapers.
- f) A final copy of bid addendums, if applicable.
- g) Historical Architect or Engineer's letter of recommendation for lowest qualified and responsible bidder
- h) Grantee's DRAFT letter of award for acceptance of the lowest responsible bidder.
- i) Copies of DAS posting, if applicable.

15. SELECTING THE CONTRACTOR

- a) **Lowest Responsible and Qualified Bidder** - As used in this section, "lowest responsible and qualified bidder" means the bidder whose bid is the lowest of those bidders possessing the skill, ability and integrity necessary to faithfully perform the work.

Should the grantee reject the lowest bidder as not responsible and/or not qualified, the grantee shall immediately notify SHPO of the reasons for the rejection and request SHPO's concurrence.

The Commissioner of DECD shall at his/her discretion either approve or deny the grantee's rejection. The grantee agrees to hold DECD harmless from any and all claims by rejected bidders.

- b) **Competitive Bidding - Contracts greater than \$100,000** - The grantee will give full opportunity for free, open and competitive bidding for each contract calling for installation, construction, reconstruction, demolition, removal, site improvement work or other similar work.

The grantee will ensure the advertisement or call for bids for each such contract and will provide adequate competition.

The award of such contract, when made, will be made by the grantee as soon as practicable to the lowest responsible and qualified bidder.

In the event that there are less than three bidders, the grantee shall inform SHPO and request instructions.

The applicant must notify SHPO before the contract is executed.

16. DOCUMENTS TO BE FORWARDED TO DECD ONCE THE GENERAL CONTRACT HAS BEEN EXECUTED:

- a) One copy of executed contract and grantee's authority to execute (Board Resolution, etc.)
- b) Notice to Proceed
- c) Copy of Performance Bond, Labor and Material Payment Bond, and Power of Attorney for Surety (unless under \$100,000).
- d) Certificate of Insurance from general contractor covering liability and workers' compensation and builder's risk.

17. GRANTEE RESPONSIBILITY

- a) SHPO shall review project documents to ensure consistency with project goals, department standards and technical correctness. However, it is the responsibility of the grantee, its Historical Architect or Engineer and its attorney to ensure that the documents are technically correct, complete and, where necessary, protect the grantee and the State of Connecticut from any and all claims.
- b) The grantee will comply with all relevant local, state and federal regulations, and comply with all standard contracting practices to safeguard the interests of the grantee and the state including, but not limited to, contractor performance, security, insurance, permits, and inspections.
- c) The grantee shall erect a suitable sign attributing funding to State of Connecticut's Historic Restoration Fund, Governor, Department of Economic and Community Development, and Commissioner. A sign template is attached to this document.

18. MISCELLANEOUS

- a) **Change Work Orders** - All change work orders must be submitted to SHPO for pre-approval. Submittals must be made on the AIA form and include a narrative of the purpose of the change as well as photographs of the existing conditions.

Any changes in the scope of work that is not pre-approved by SHPO will not be eligible toward reimbursement.

- b) **Vendor Payments** - SHPO does not approve or disapprove payments to Contractors. Copies of each approved Payment Application shall be sent to the department with the project closeout package.

19. ATTACHMENTS

- b) DECD Logo, and State Sign Template.
- c) CHRO Contract Compliance Regulations Notification to Bidders Form.
- d) Construction Monitoring Procedures.
- e) Bid Package, Drawings, and Specifications Compliance Certification
- f) Construction Contract Monitoring and Compliance Certification

PROJECT SIGN

Guidelines for HRF Project Sign

Blue Field/White Lettering

White Field/Black Lettering

 Project Sponsors The City of Pleasant Mary Smith, Mayor Peckhill & Dunne, LLC, Architect Standard Plaster, Inc. Contractor	<p>Preservation Means Jobs in Your Community</p> <p>The rehabilitation of 20 Forest Street, which is listed on the <i>National Register of Historic Places</i>, is funded by a matching grant from Connecticut's Historic Restoration Fund.</p>
State of Connecticut The Honorable Dannel P. Malloy Governor	Administered by: The State Historic Preservation Office Department of Economic and Community Development Catherine Smith, Commissioner

White Field/Black Lettering

Blue Field/White Lettering

Note: Minimum overall size of the project sign shall be no less than 2 feet high and 4 feet wide; grantees may not use more than \$200.00 in funds to help defray cost of procuring the project sign; project signs must be prominently displayed throughout the duration of the grant project in a location which is clearly visible from the principle street adjacent to the project site and should not be attached to the building.

Guidelines for HRF Project Sign:
Churches, Synagogues, and Mosques

Blue Field/White Lettering

White Field/Black Lettering

 <p>Project Sponsors</p> <p>The City of Pleasant Mary Smith, Mayor</p> <p>Peckhill & Dunne, LLC, Architect</p> <p>Standard Plaster, Inc. Contractor</p>	<p>Preservation Means Jobs in Your Community</p> <p>The rehabilitation of 20 Forest Street, which is listed on the <i>National Register of Historic Places</i>, is funded by a matching grant from Connecticut's Historic Restoration Fund.</p> <p>The State Historic Preservation Office has awarded a matching grant-in-aid for this project on the basis that the work funded is primarily secular in nature, intent and effect. The State Historic Preservation Office's involvement in this project is not meant and shall not be taken to mean that the State Historic Preservation Office or the State of Connecticut intends to promote religious worship of any kind or to profane the symbols of any religion.</p>
<p>State of Connecticut The Honorable Dannel P. Malloy Governor</p>	<p>Administered by: State Historic Preservation Office Department of Economic and Community Development Catherine Smith, Commissioner</p>

White Field/Black Lettering

Blue Field/White Lettering

Note: Minimum overall size of the project sign shall be no less than 2 feet high and 4 feet wide; grantees may not use more than \$200.00 in funds to help defray cost of procuring the project sign; project signs must be prominently displayed throughout the duration of the grant project in a location which is clearly visible from the principle street adjacent to the project site and should not be attached to the building.

DECD LOGO



**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS**

(Revised 09/17/07)

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

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

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

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

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder's good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

MARKETING AND SALES: Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.

LEGAL OCCUPATIONS: In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants.

COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists

ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).

BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..

INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

PRODUCTION WORKERS: The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information) (Page 3)

<p><u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p><u>Black</u>(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p><u>Asian or Pacific Islander</u>- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.</p> <p><u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

<p>Company Name Street Address City & State Chief Executive</p>	<p>Bidder Federal Employer Identification Number _____ Or Social Security Number _____</p>
<p>Major Business Activity (brief description)</p>	<p>Bidder Identification (response optional/definitions on page 1)</p> <p>-Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__</p>
<p>Bidder Parent Company (If any)</p>	<p>- Bidder is certified as above by State of CT Yes__ No__</p>
<p>Other Locations in Ct. (If any)</p>	

PART II - Bidder Nondiscrimination Policies and Procedures

<p>1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes__ No__</p>	<p>7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__</p>
<p>2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__</p>	<p>8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__</p>
<p>3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes__ No__</p>	<p>9. Does your company have a mandatory retirement age for all employees? Yes__ No__</p>
<p>4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__</p>	<p>10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes__ No__ NA__</p>
<p>5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__</p>	<p>11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes__ No__ NA__</p>
<p>6. Does your company have a collective bargaining agreement with workers? Yes__ No__ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__</p>	<p>12. Does your company have a written affirmative action Plan? Yes__ No__ If no, please explain.</p>
	<p>13. Is there a person in your company who is responsible for equal employment opportunity? Yes__ No__ If yes, give name and phone number. _____</p>

Part III - Bidder Subcontracting Practices

(Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__

PART IV - Bidder Employment Information

Date:

JOB CATEGORY *	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE A CATEGORY NOT USED IN YOUR COMPANY)

PART V - Bidder Hiring and Recruitment Practices

(Page 5)

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
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CONSTRUCTION MONITORING PROCEDURES

Construction Monitoring covers the development phases of projects from pre-bid activities through construction contract administration to final construction closeout. Functions include oversight of bidding, bid tabulation and recommendation of the lowest responsible and qualified bidder, coordination with pre- and post- bid meetings, review of construction contract documents, review of payment requisitions, change orders, shop drawings as well as construction inspection.

The SHPO Construction Grant Coordinator is the department's technical support regarding the management and administration of construction projects funded by the State of Connecticut's Historic Restoration Fund. It will be the responsibility of the grantee to submit the documents listed below, when applicable, to SHPO. Electronic submissions are preferred. In addition to electronic submissions, hard copies of certain documents may also be requested.

SHPO will determine the extent of state monitoring, oversight and technical assistance for sponsored projects based on factors including estimated total project cost, project complexity and capacity of the applicant. SHPO will notify the applicant of monitoring requirements prior to the closing of the state assistance agreement.

Unless notified by SHPO, for projects with a total project cost of \$250,000 or less, the grantee will be required to certify that the project is in compliance with DECD design, bidding, contracting and construction monitoring requirements. Unless specifically waived by DECD, the grantee's Historical Architect or Engineer must have the proper professional credentials. It will be the responsibility of the grantee to certify and submit the appropriate documentation during the pre-bid phase, construction phase and close-out phase of the project. The grantee will be required to provide the DECD with the following signed certification documents once the bid package has been prepared and once the construction contract has been executed:

1. Construction Bid Package, Drawings, and Specifications Compliance Certification (page 24)
2. Construction Monitoring & Closeout Compliance Certification (page 25)

THE FOLLOWING DOCUMENTS SHALL BE SUBMITTED TO THE CONSTRUCTION GRANT COORDINATOR DURING THE CONSTRUCTION PHASE OF THE PROJECT:

1. Copy of the contractor's approved schedule of values.
2. Copy of the contractor's construction schedule. Any adjustments to the schedule throughout construction must be submitted to SHPO.
3. Job meeting minutes.
4. Proposed change work orders. Back up materials may be requested.
5. Copies of correspondence between Owner, Architect and/or Contractor.

THE FOLLOWING DOCUMENTS SHALL BE SUBMITTED TO THE CONSTRUCTION GRANT COORDINATOR AT THE COMPLETION OF THE PROJECT:

1. All proofs of payments in the form of both sides of canceled checks or grantee's bank statements
2. Invoice Summary Spreadsheet
3. Certificate of Actual Eligible Costs
4. Photographs of the project and the project sign
5. Summary Report
6. Lien Waiver
7. Certificate of Conformance stating that the completed project meets the Secretary of the Interior's Standards for the Treatment of Historic Properties
8. Fully executed and filed Preservation Restriction
9. Single State Audit (if applicable)

Construction Oversight and Technical Assistance:

Construction monitoring by the Construction Grant Coordinator includes:

- Review budgets and cost estimates as they relate to construction costs.
- Review plans and specifications for conformance to DECD requirements prior to bidding.
- Review bid documents, bid advertisements, bid instructions and bidding requirements
- Review construction bids, bid bonds, and contractor selection.
- Compliance review of executed construction contract documents received; review contracts, bonds, schedule of values and insurance certificates between grantee and contractor
- Monitor progress of work during construction for compliance with agency, state & federal requirements and procedures, (labor and safety standards, wage standards, etc.)
- Conduct periodic inspections of the project construction activities.
- Review the following: construction meeting minutes, proposal requests, change work orders, costs, review requisitions and construction periodical payments for work completed, architect's supplemental instructions and directives, and correspondence.
- Review materials and products being used in the construction.
- Participate in the final inspection of the construction contract to ensure that the completed work is satisfactory.
- Review construction closeout documentation prior to acceptance of a project.

**CONSTRUCTION BID PACKAGE, DRAWINGS AND SPECIFICATIONS
COMPLIANCE CERTIFICATION**

GRANTEE: _____

PROJECT NAME AND MUNICIPALITY: _____

I, _____, as the responsible grantee do hereby certify that the construction documents (Bid Package, Drawings & Specifications) shall be completed by a licensed Historical Architect or Engineer for the above project and certify the following:

1. A complete copy of the Bid Package and Invitation to Bid shall be submitted to or reviewed by the State Historic Preservation Office (SHPO)
2. The Drawings and or Specifications for the above Project shall cover the scope of work, as identified in the HRF Application.
3. The SHPO Bidding, Contracting and Construction Guidelines for State Programs have been thoroughly reviewed by the grantee and/or qualified design professional.
4. The Bid Package shall be technically correct and complete and shall clearly show that all of the SHPO terms and conditions for bidding the project shall be met.

Signed _____

Title: _____

Address _____

Telephone _____ Date _____

CONSTRUCTION CONTRACT AND MONITORING COMPLIANCE CERTIFICATION

GRANTEE: _____

PROJECT NAME AND MUNICIPALITY: _____

I, _____, and as the responsible grantee do hereby certify that the bid results shall be reviewed by a licensed professional Historical Architect or Engineer for the above project and certify the following:

1. The qualified Historical Architect or Engineer shall assess and tabulate all of the bids and shall make a recommendation to award the bid to the lowest responsible bidder whose bid shall be the lowest of those bidders possessing the skill, ability and integrity necessary to faithfully perform the work.
2. The required bid result documentation shall be submitted to SHPO for review and approval at the completion of bidding before the grantee moves forward with executing the construction contract.
3. The lowest responsible and qualified bidders executed contract, grantee's authority to execute, and all other documentation required by SHPO once the general contract is executed shall be forwarded to the SHPO before construction commences.
4. It shall be the responsibility of the grantee to provide construction oversight and inspection on the project by following all of the procedures and submitting all of the documentation indicated in the Construction Monitoring Procedures.

Signed _____

Title: _____

Address _____

Telephone _____ Date _____