

CAPITAL PROJECTS AND FACILITIES PROCUREMENT POLICIES AND PROCEDURES

June 12, 2019

Draft Rev 1



UConn
UNIVERSITY OF CONNECTICUT

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Title	Capital Project & Facilities Procurement Policies and Procedures
Authors	Capital Projects & Facilities Procurement
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Applies To	Faculty, Staff and Third Party Consultants
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EXECUTIVE SUMMARY

The purpose of this Capital Projects and Facilities Procurement (CPFP) (formerly known as Capital Projects and Contract Administration or “CPCA”) sourcing manual, created in 2008 and revised in 2019, is to provide a governing set of principles that establish the general parameters for carrying out the responsibilities of sourcing for construction and facilities procurement including, policies and procedures, organizational and operational guidance, strategic sourcing methods and delegated authority establishment, for the University of Connecticut Capital Projects and Facilities Procurement department. CPFP, a component of University Business Services, supports the University’s Capital Program mission through:

- Managing the strategic sourcing processes.
- Ensuring procurement compliance with University Policies and Procedures, Connecticut State Statutes and Federal Statutes.
- Consulting with internal customers on sourcing options to deliver the best overall value to the University.
- Implementing best practices to contain cost and mitigate risk.

The goal is for CPFP’s policies and procedures to be a well, developed and comprehensive document that clearly defines authority, responsibility, and establishes guidelines for University departments and CPFP to follow when carrying out sourcing responsibilities. This manual represents the implementation of the industry’s best practices and a training resource for new employees.

This evolving sourcing document has been thoroughly reviewed and updated in 2019 to reflect the changes in the Capital Program, which includes the Next Generation/UCONN 2000 bond funding. Departments that work with CPFP on the Capital Program have reviewed and provided input for changes incorporated into the newly revised policies and procedures. Regular meetings were held with the Office of Construction Assurance and the Audit Management Advisory Services (AMAS)to review and update the policies and procedures. This manual can also be used as an educational tool for all stakeholders and parties involved with the Capital Program activities.

Due to changes in the statutes, regulations, policies, and legal interpretations of the same, CPFP may modify and enhance the policies and procedures contained herein without official notification to Initiating Departments or End Users, but will subsequently notify them when the required or necessary

changes have been made, if applicable. Also, in some instances, the University procedures may be stricter than the legislation requires.

Guiding Principles for Policies and Procedures

Regardless of project size, this Policies and Procedures Manual must assure the following:

- **Compliance** with CT General Statutes, Federal Laws (when applicable), University policies including the Capital Program's policies and procedures; and national, state, and local codes and regulations.
- Transparency including **accountability** in our processes which welcomes oversight to achieve continuous improvement.
- **Auditability** of all commitments, decisions, actions, authorizations, transactions, and process control checkpoints.
- Achieve **efficiency** with both time and resources.

Success Definition and Measurement

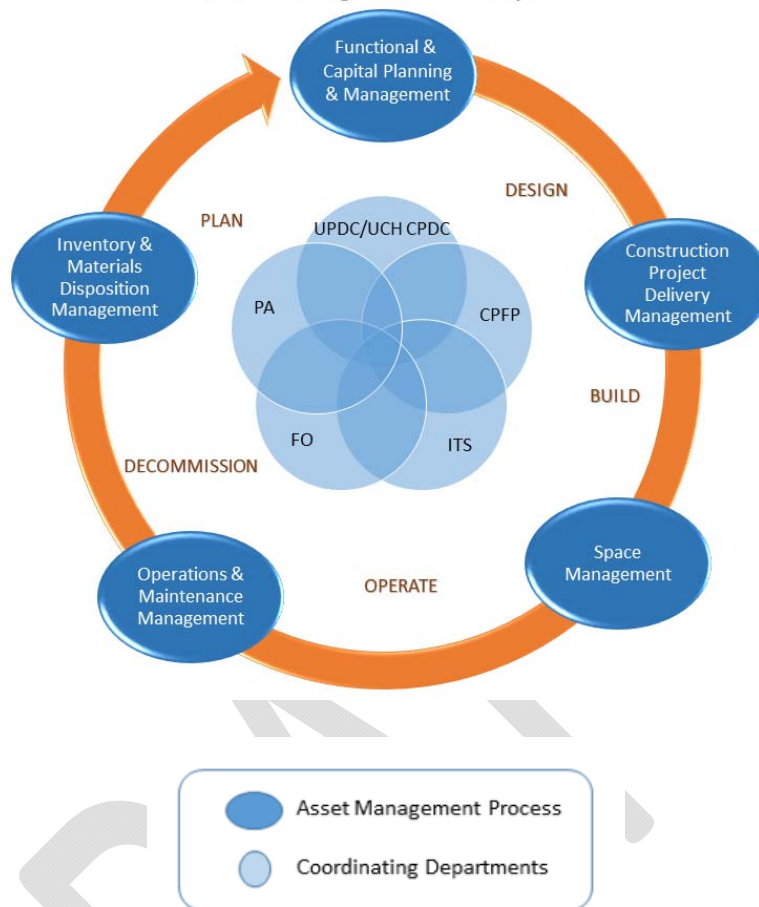
Prequalification, Procurement, and Contract performance goals and outcomes will be set and measured as follows:

- **Cost** – Procure projects of value within justifiable budgets taking into consideration the current marketplace.
- **Schedule** – Sourcing construction related services in a timely manner to support project schedules.
- **Program Performance** – Prequalify, source and contract with professional and construction service firms that meet the expectations of the project, end user, and other stakeholders, while ensuring compliance with CT General Statutes, Legislation, and University Policy.
- **Documentation** – Manage the prequalification, procurement, and contracting so that all processes, progress, decisions, and outcomes are consistently documented, readily trackable, and traceable.

Asset Management of Capital Program

The scope of this manual is limited to the project delivery process, a portion of the total cycle of a facility's life for the purpose of asset management with respect to the total cost of ownership. Therefore, collaboration and communication between departments and entities, including University Planning, Design & Construction (UPDC), UConn Health Campus Planning, Design, and Construction (UCH CPDC), Project Accounting (PA), Facilities Operations (FO), Information Technology Systems (ITS), CPFP, and other University departments, is critical on a University-wide basis for the Capital Program to run effectively and efficiently. CPFP manages construction procurement related activities within the project delivery management function. This cycle is generally represented below.

Asset Management Lifecycle



Policy Overall Composition

The revised CFPF Policies and Procedures are drafted in accordance with the University's "Policy Protocol." The University's purpose of this protocol, for policies and procedures, is to establish standards for the development, approval, revision, and decommissioning of official University policies for the Storrs Campus, Regional Campuses, and UConn Health Center. This protocol aims to ensure University policies are well defined, understandable, and consistent with the mission, values, and goals of the University of Connecticut.

Policy Numbering and Format

For clarity and simplicity, policies in this manual will follow a common format.

- Policies will be one or two pages in length.
- The material presented herein is labeled to be associated with its respective policy. For example, if the policy is number 1, then each procedure and/or guideline associated with that policy will be numbered sequentially as follows: 1.1, 1.2, 1.3...
- An overview flow chart is located after the policy and procedures of each section to show the overall process.

Forms and Templates Format

Forms and templates, where applicable, are called listed at the end of each policy. Due to changes in the statutes, regulations, policies, and legal interpretations of the same, CFPF may modify and enhance the forms and templates contained herein without official notification to Initiating Departments or End Users, but will subsequently notify them once required or necessary changes have been made, if applicable.

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SECTION I: MISSION STATEMENTS

1.1 MISSION OF THE UNIVERSITY OF CONNECTICUT

The University of Connecticut is dedicated to excellence demonstrated through national and international recognition. Through freedom of academic inquiry and expression, we create and disseminate knowledge by means of scholarly and creative achievements, graduate and professional education, and outreach.

With our focus on teaching and learning, the University helps every student grow intellectually and become a contributing member of the state, national, and world communities. Through research, teaching, service, and outreach, we embrace diversity and cultivate leadership, integrity, and engaged citizenship in our students, faculty, staff, and alumni. As our state's flagship public University, and as a land and sea grant institution, we promote the health and well-being of citizens by enhancing the social, economic, cultural, and natural environments of the state and beyond.

An excerpt from the Academic Vision:

With unprecedented support from the state, industry, and donors, we will expand educational opportunities, research, and innovation in diverse fields of study, with an emphasis in science, technology, engineering, and mathematics (STEM) disciplines over the next decade. We will create and disseminate knowledge and innovative ideas and focus our attention on the importance of the arts, humanities, and social sciences that are an integral part of our great University. We will leverage the strength and resources of our University to build America's future workforce, create jobs, start and attract companies, and help drive economic development in the state and nation.

The University of Connecticut Core Values:

In the spirit of our heritage as a land and sea grant institution, we remain committed to understanding and solving the most significant societal problems. With six campuses and several professional schools across the state, we approach our mission with a commitment to excellence, ethical action, and inclusiveness for which the four interdependent core values define our mission:

Innovation

The University of Connecticut is dedicated to discovery and communication of breakthrough and foundational ideas; to translation and collaboration across disciplines and communities; and to positive transformation through research, scholarship, and creative works.

Leadership

UConn's students will become well-educated leaders and global citizens who excel in addressing the challenges of the 21st century; in them, we will cultivate critical thinking, creativity, and joy in lifelong learning. We will serve the state, the nation, and the world through our research, teaching, and outreach.

Global Engagement

Through outreach, research, and partnerships, we promote sustainable development and a happy, healthy, and inclusive society. This engagement is local and global, based on intercultural

understanding and recognition of the transnational nature of the challenges and opportunities we face.

Diversity

In our culturally and intellectually diverse community, we appreciate differences in one another as well as similarities, and aspire to be an increasingly inclusive educational institution that attracts, retains, and values talented people from all backgrounds. We believe in diversity in intellectual approach and outlook. We embrace diversity not as a keyword for token inclusion of the underrepresented, but as a commitment to fostering a welcoming environment in which all individuals can achieve their fullest potential and in which open and respectful communication is facilitated.

1.2 GOAL OF THE EXECUTIVE VICE PRESIDENT FOR ADMINISTRATION AND CHIEF FINANCIAL OFFICER

Our goal is to create and maintain essential University services as well as a physical environment that robustly supports the academic and research missions of the University of Connecticut. This is accomplished through quality customer service, effective collaboration with faculty and staff and strong stewardship of the University's financial resources.

1.3 MISSION OF UNIVERSITY BUSINESS SERVICES

University Business Services is a customer-focused organization that is committed to providing quality, user-friendly, cost-effective and expert business support to all customers in support of the University's core mission to promote the educational, research, and clinical missions of UConn. Procurement Services (Purchasing, Capital Projects & Facilities Procurement, and Procurement Contracting & Compliance); Supplier Diversity; Procurement Solutions Center; Strategic Supply Chain Management; Document Production Center; and Surplus Operations are the functional areas under University Business Services.

Goals:

- *Improve Customer Service – analyze and improve existing business processes to enhance overall customer service experience to ensure all needs of the University community are met.*
- *Operational Excellence – achieve and maintain balance of effectiveness and efficiency in the delivery of all services provided by the University Business Services unit.*
- *Expand Community Partnerships – establish focus groups and increase collaboration efforts through networking with the University research, academic, administrative and operational communities.*
- *Maximize Talent – pool resources across the University to assess and maximize talent that aligns*

Procurement Services contains the three areas of Purchasing, Capital Projects & Facilities Procurement and Procurement Contracting & Compliance and further defines the University Business Services' Mission Statement.

*The statement reads as follows: To secure goods and services necessary to sustain the University's educational, research, and clinical missions through **strategic procurement** while assisting stakeholders' decisions, minimizing risk, maximizing value and in a manner that is compliant with Federal Regulations, State Statutes, and University policies.*

1.4 MISSION OF CAPITAL PROJECTS AND FACILITIES PROCUREMENT

Capital Projects and Facilities Procurement will provide proactive leadership to prequalify, solicit and contract with professional and construction services to provide appropriate solutions and acquisition strategies that support the mission of the University and embrace our partnership with the community.

Our Values

- Act ethically and legally in compliance with all policies, regulations and laws.
- Act with pride, integrity and professionalism.
- Comply with the State of CT General Statutes, Legislation, Public Acts, and Federal Regulations when federal funding is involved.
- Follow CFPF policies and procedures and those of the University.
- Be responsible and accountable for procurement performance goals and outcomes.
- Ensure the goals of the University are achieved through appropriate, compliant and sound prequalification, procurement and contracting processes.
- Function as an efficient and supportive team leader and ensure collaboration.
- Approach prequalification and procurement challenges with creativity, respecting the ideas of others.
- Balance the diverse needs and wants of the University against available resources.
- Work with Supplier Diversity to expand enrollment and participation of small/minority businesses on University contracts.

1.5 OVERSIGHT AND MANAGEMENT OF CAPITAL PROJECTS AND FACILITIES PROCUREMENT

There are several components to the oversight and management of CFPF. The oversight organization is as follows:

University Board of Trustees (BOT)

Approval authority resides with the University Board of Trustees (BOT) for planning and expenditures for the Capital Program. All project budgets with a total cost of \$500,000 or more are approved through the University Board of Trustees at their various stages – Planning, Design, and Final. Contracts with a total value of \$500,000 to \$1 million are presented to the BOT “for information only” and contracts with a total value of \$1 million or greater are presented to the BOT for “approval.”

Construction Management Oversight Committee (CMOC)

In 2006, UCONN 2000 provisions were amended under the Public Act 06-134 to include the creation of the Construction Management Oversight Committee (CMOC). This committee consists of four members

appointed jointly by the Legislature and Governor's Office and three members appointed by the University Board of Trustees. CMOC reviews and approves the University policies and procedures under which the UCONN 2000 program operates. As of 2016, this committee no longer had a quorum and the Buildings, Grounds and Environment Committee (BGE) assumed oversight of the CMOC role until such time as there is a quorum.

Buildings, Grounds and Environment Committee (BGE)

In 2006, the Board of Trustees established the Building, Grounds and Environment Committee to augment the Board's oversight of the University's facilities and infrastructure, including the capital projects program. This BOT standing committee, comprised of trustees, monitors construction activities and reports to the Board of Trustees.

Construction Assurance Office

In 2006, the UCONN 2000 provisions were amended under the Public Act 06-134 to include the establishment of the Construction Assurance Office by the Board of Trustees. This office serves as an independent monitor to review construction performance of UCONN 2000 projects and to ensure policies and procedures are followed. The Director of this office reports, at a minimum quarterly, to BGE (until such time that CMOC has a quorum) and the President of the University to provide updates on their reviews.

Executive Vice President for Administration and Chief Financial Officer (EVPACFO)

The EVPACFO is the chief administrative and financial officer of the University. This position reports to the President of the University and is responsible for overseeing long-range financial planning and management of the operating and capital budgets for all units of the University; capital and operating budget development, monitoring and reporting; coordinating operating and capital budgets in conformity with policies set forth by the Board of Trustees; developing financial policy and plans; serving as a point of contact for external agencies and partners on financial, business, and operational matters; acting as the President's representative on financial, business, and operational matters to University units and constituencies; and is responsible for approving all contracts, including for the Capital Program, either directly or through delegation.

The EVPACFO is responsible for the Capital Program including CFPF, Contracting and Compliance, and Supplier Diversity (which are under the umbrella of Procurement Services). The EVPACFO is also responsible for several departments including overseeing construction, renovation, operation, facilities operations, logistics, and security of the University's physical plant; human resources, labor relations, and payroll; accounting office; accounts payable; purchasing; business services; information technology systems; and public and environmental safety.

1.6 CAPITAL PROJECTS AND FACILITIES PROCUREMENT ORGANIZATION/APPROACH

Once projects are well defined in terms of feasibility, scope, budget, and schedule, the process of procuring professional and construction services for a project is entrusted to CFPF for coordination and accountability.

The Director of CFPF is responsible for managing the overall execution and administration of CFPF policies and procedures and the day-to-day oversight of the operations of the department. The Director provides technical expertise in professional services and construction, and oversees the evaluation and sourcing of goods and services in for the University's Capital Program and facility maintenance needs. In this role, the Director collaborates with the University's stakeholders to solicit goods and services that result in the best value and minimum risk to the University and in a manner that is compliant with federal regulations, state statutes, and University policies. The Director also serves as an extension of the Associate Vice President of University Business Services & Chief Procurement Officer, provides professional leadership, participates in policy development and implementation, serves as a resource for the development and negotiation of contracts, and collaborates with the Supplier Diversity Executive Program Director to ensure compliance with established supplier diversity principles and requirements.

CFPF is comprised of subject matter experts in professional services and construction procurement required for the implementation of the program. These experts are regarded and recognized as internal shared resources supporting Senior Management decision making with respect to both professional and construction procurement and contracting. CFPF also provides support to University clients such as UPDC, UCH CPD&C, Facilities Operations, ITS, and Athletics.

It is CFPF's responsibility to collaborate with the sponsoring department(s) and provide the correct team to engage in the prequalification and procurement selection and to involve those individuals as necessary to execute their respective responsibilities through the procurement process. It is also CFPF's compliance responsibility to maintain transparency, integrity, and quality assurance/quality control, in the procurement, evaluation, and sourcing process for professional services and construction delivery methods while acquiring the best value for the University. These experts also apply the same compliance responsibilities to managing the established construction and professional contracts.

1.7 CONTRACTING AND COMPLIANCE ORGANIZATION/APPROACH

Contracting and Compliance, reporting under the umbrella of Procurement Services, memorialize vendor relationships, business terms, and project vision developed by the University community, into contracts that ensure those relationships, business terms, and project vision reflect the values and priorities of the University and the State of Connecticut and comply with state statutes and regulations. To accomplish this goal, Contracting & Compliance fulfills three functions:

- **Contracting** - Contract Specialists develop contracts with the vendors selected through the Purchasing/CFPF processes. Contracts are tailored to accurately memorialize the business terms negotiated by end users and to comply with State and University requirements. As requested, Contract Specialists provide end users with guidance on compliance with contract terms and resolving contract disputes.
- **Supplier Diversity** – The Supplier Diversity Program role is to expand enrollment and participation of small/minority businesses on University contracts by facilitating the opportunity for said businesses to provide valuable, quality, timely goods and services, while building mutually beneficial, respectful, lasting business relationships with the University community. This Program ensures equality of

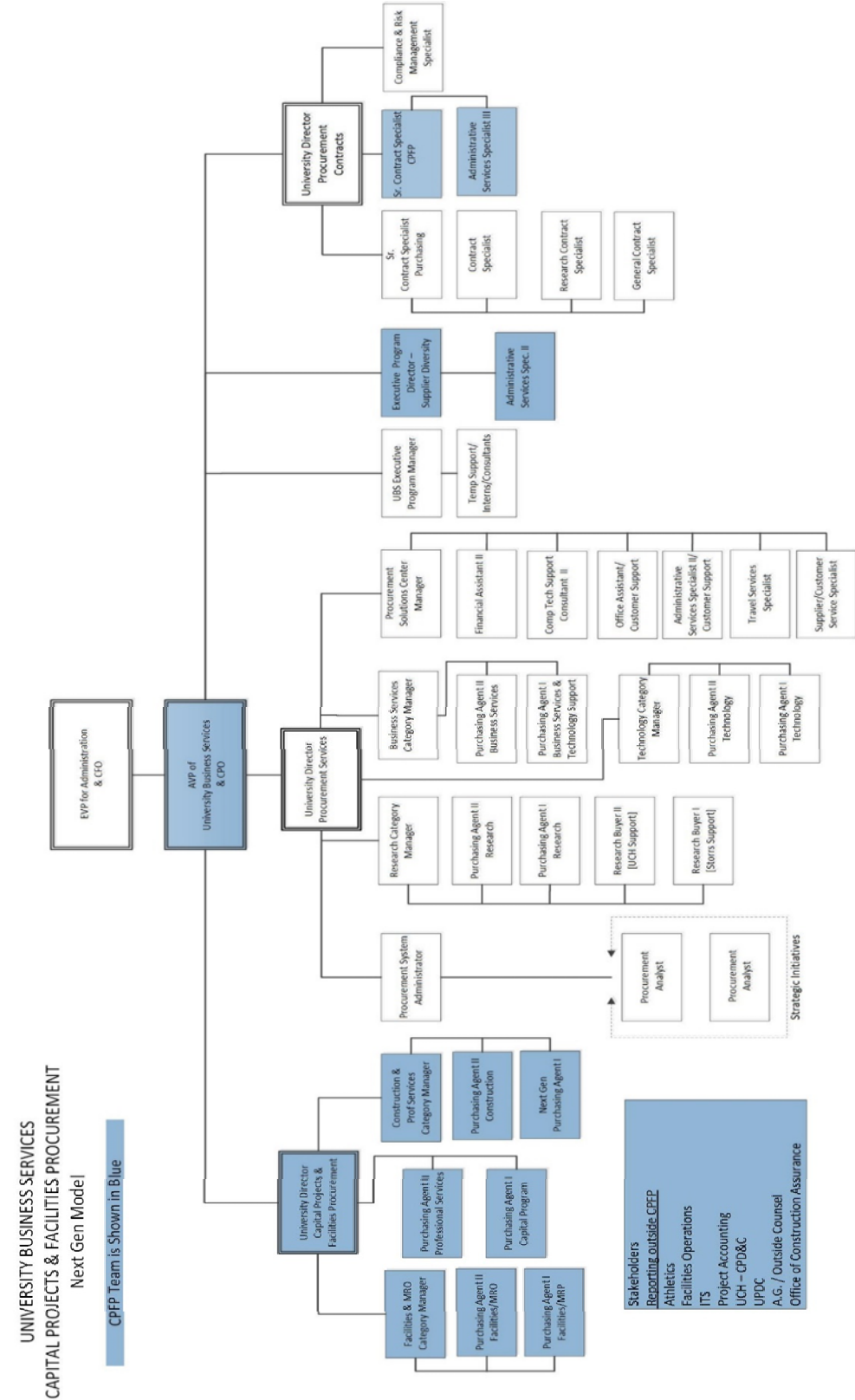
opportunity by encouraging participation, managing relationships, educating both contractors, vendors and departments, and measuring compliance.

- Compliance - Members of Contracting and Compliance advise Procurement Services, end users, and others in the University community on compliance with State and University sourcing and contracting requirements.

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Figure 1 – Organization Chart

Below is the Business Services/CPFP Next Generation Program organizational chart.



June 2019

UNIVERSITY BUSINESS SERVICES
CAPITAL PROJECTS & FACILITIES PROCUREMENT
Next Gen Model

CPFP Team is Shown in Blue



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Title	Overview of CFPF Delivery Methods & Sourcing Options
Authors	Capital Projects & Facilities Procurement
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SECTION II: OVERVIEW OF CFPF DELIVERY METHODS AND SOURCING OPTIONS

REASON FOR POLICY

This policy establishes guidelines for procurement (sourcing options) of delivery methods through selection and bidding policies to be utilized in construction and professional services at the University and are consistent with CT General Statutes and the UCONN 2000 Legislation for the procurement of construction services for the University of Connecticut.

APPLIES TO

All covered employees, on all campuses when CFPF manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, include all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty, professional and scientific staff, merit staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CFPF has defined the delivery methods and sourcing options for the delivery methods for the purpose of procuring construction and professional services to aid CFPF, the University, and the public in understanding how contracts are awarded on an impartial, equitable, and rational basis. The policies and procedures are intended to ensure the integrity of all selection and bidding procedures and to define the duties and responsibilities of the various participants. Nothing in these Policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the statute.

Governed Sourcing Activities for University projects shall be conducted utilizing one of the following delivery methods:

Delivery Method – Design/Bid/Build (Construction)

The use of this delivery method is available for construction projects (renovations, alterations, repairs, new construction, etc.) where the construction documents, specifications, and scope of work, are complete and clearly defined. Prequalification is required prior to bidding projects with an estimated construction cost over \$500,000 and is required for both the On-Call Trade/General Programs The Trade/General Contractor is selected based on either a time and material basis or a competitive lump sum bid under the On-Call \$0 to less than \$100,000 Trade/General Program. The Trade/General Contractor is selected based on the “Lowest Responsible and Qualified Bid” under an Invitation to Bid and under the On-Call \$100,000 to less than \$500,000 Trade/General Program.

<u>Sourcing Options</u>	<u>Policy No.</u>
Prequalification for Contractors and Construction Managers	CPFP S1
Invitation to Bid for Construction	CPFP S2
On-Call \$100,000 to less than \$500,000 Trade/General Contractor Program	CPFP S4
On-Call \$0 to less than \$100,000 Trade/General Contractor Program	CPFP S5

Delivery Method – Professional Services

A delivery method to provide professional services, such as an architect or engineer, for current and emerging projects. Prequalification is required for soliciting professional services on projects with an estimated design cost over \$500,000. Solicitations are awarded either through a “best value” selection process or an equalization rotational basis through the on-call program.

<u>Sourcing Options</u>	<u>Policy No.</u>
Professional Services Selection (Open) Policy	CPFP S6
On-Call Professional Services Program	CPFP S7

Delivery Method – Construction Mangers at Risk (CMr)

The Construction Manager at Risk (CMr) delivery method entails a commitment by the Construction Manager (CM) to deliver the project for a Guaranteed Maximum Price (GMP) based on the construction documents and specifications at the time of the GMP plus any reasonably inferred items or tasks. The CMr is to act as a consultant to the owner in the design development and construction phases. The University typically utilizes this delivery method for complex construction projects and benefits from the technical construction management expertise via presence of the CMr during the design development phases. In addition, the owner can transfer the risk for construction to a CM who will complete the project for a Guaranteed Maximum Price (GMP).

<u>Sourcing Options</u>	<u>Policy No.</u>
Prequalification for Contractors and Construction Managers	CPFP S1

Delivery Method – Design Build

Design-build is a method of project delivery that combines the design and construction functions and vests the responsibility for such functions with one contractor – the design-builder. The University defines the project scope and creates bridging documents which are passed on to the contractor who completes the documents and constructs the project.

This method will be brought for approval at a later date to the BGE Committee.

Sourcing Options

Design Build

Policy No.

CPFP S9

Alternate Delivery Methods –

Exigent –

This delivery method requires that one, some, or all of the conditions noted on the Board of Trustees Exigent Policy are met and requires pre-approval by the Executive Vice President for Administration and Chief Financial Officer to utilize this method. The limited use of the Board of Trustees policy requires CPFP to oversee the process of an exigent procurement.

Sourcing Options

Exigent Procurement

Policy No.

CPFP S8

Private Developer – This delivery method was established by the Attorney General’s Office, CMOC/BGE, and Board of Trustees and resides with University Planning, Design and Construction (UPDC). CPFP’s role is minimal and has no procurement oversight in sourcing of a private developer. For more information on this delivery method see UPDC’s Policy Manual.

Real Estate – This delivery method established by Attorney General’s Office, CMOC/BGE and Board of Trustees resides with the Attorney General’s Office. CPFP’s role is minimal and has no procurement oversight in sourcing of real estate. For more information on this delivery method see UPDC’s Policy Manual.

- B. **The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy.** CPFP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.

- D. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

RELEVANT POLICY STATUTES

BOT Policy Dated 23 March 2004

C.G.S. Section 10a-109n

Public Act 06-134

CMOC Letter Dated 6 November 2013

C.G.S. Section 1-101nn

C.G.S. Section 1-101qq

C.G.S. Section 4a-100

C.G.S. Section 4b-51

C.G.S. Section 4b-55 through 57

C.G.S. Section 4b-91

C.G.S. Section 4b-92

C.G.S. Section 4b-93

C.G.S. Section 4b-94

C.G.S. Section 4b-95a

C.G.S. Section 4b-96

C.G.S. Section 10a-151h

C.G.S. Section 46a-68

C.G.S. Section 49-41

40 U.S. Code 3141-3148 Federal Davis Bacon (When Applicable)

POLICY HISTORY

Delivery Methods created 2008

Modified 06/2019

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SECTION III: POLICIES AND PROCEDURES

CPFP AUTHORITY POLICY

REASON FOR POLICY

The purpose of this Policy to establish delegation of authority to Capital Projects and Facilities Procurement (CPFP) to ensure that the University of Connecticut obtains the best value for all Capital Program expenditures while ensuring that:

- Sourcing processes adhere to the C.G.S. 10a-109n, 4b-51, 4b-91, 4b-92, 4b-93, 4b-94, 4b-95a, 4b-96, 1-101nn, 1-101qq, 49-41 and 46a-68; University Policies Procedures, and Federal Regulation (when applicable).
- Processes are open, transparent and fair
- All qualified vendors have the opportunity to compete for the University's business in an open and transparent manner

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, include all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty, professional and scientific staff, merit staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

A. The Board of Trustees of the University of Connecticut (UConn), under the powers granted to it by the Legislature, C.G.S. 10a-109n., shall have charge and supervision of the design, planning, acquisition, remodeling, alteration, repair, enlargement or demolition of any real asset or any other project on its campuses. The UConn Board of Trustees; UConn President's Signing Authority Delegation for UConn contracts; Executive Vice President for Administration & Chief Financial Officer; and Associate Vice President & Chief Procurement Officer Signing authority for Procurement Services authorizes CPFP to procure any approved state or non-state funded capital goods and services including: design, planning, acquisition, remodeling, alteration, repair, enlargement or demolition of any real asset or any other project on its campuses.

1. Only duly authorized individuals can commit the University to supply agreements, purchase orders, licenses, contracts, leases or other legally enforceable documents.

2. Where a commitment is purported to have been made in the name of the University by someone who does not have proper authorization, the University will not be bound by the commitment. In the event the unauthorized commitment is made by an employee of the University, that employee will be financially liable for the commitment and will not be indemnified by the University.

- B. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

RELEVANT POLICY STATUTES

BOT Policy Dated 23 March 2004

C.G.S. Section 1-101nn

C.G.S. Section 1-101qq

C.G.S. Section 4a-100

C.G.S. Section 4b-51

C.G.S. Section 4b-91

C.G.S. Section 4b-92

C.G.S. Section 4b-93

C.G.S. Section 4b-94

C.G.S. Section 4b-95a

C.G.S. Section 4b-96

C.G.S. Section 10a-109d

C.G.S. Section 10a-109n

C.G.S. Section 49-41

C.G.S. Section 46a-68

Public Act 06-134

POLICY HISTORY

CPCA Authority created 2008

Modified 06/2019

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CPFP S1: PREQUALIFICATION FOR CONTRACTORS & CONSTRUCTION MANAGERS AT RISK POLICY

REASON FOR POLICY

This purpose of this Policy is to establish the means for Construction Managers and Contractors to be prequalified for an assignment that is fully compliant with statutory requirements and policies of the University and UCONN 2000 and under the authority of CMOC/BGE.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty, professional and scientific staff, merit staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CPFP will initiate the prequalification from the project requirements; solicit contractors; and oversee the selection process. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is are in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the project procurement and contracting activities for the particular project are current, applicable and compliant.
- B. **The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy.** CPFP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.
- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CPFP S1.1 Procedure
CPFP S1.2 Committee Guidelines
CPFP S1.3 Reconsideration Procedure
Prequalification/RFQ Template
Prequalification Committee Evaluation and Notes Form
Prequalification Evaluation Recommendation Form
Prequalification Checklist
Procurement Evaluation Committee Principles of Conduct Form
Prequalification Buyer sign off form

RELEVANT POLICY STATUTES

BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109n
C.G.S. Section 4a-100Public Act 06-134
University Letter to CMOC, Dated 6 November 2013 regarding Financial Requirements

POLICY HISTORY

Prequalification/Request for Qualification - Created 2008
Revised 06/2019

Title	CPFP S1.1: Prequalification for Contractors & Construction Managers Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S1.1: PREQUALIFICATION FOR CONTRACTORS & CONSTRUCTION MANAGERS PROCEDURE

Prequalification When to Use –

The prequalification method is to procure services for a project that has an estimated construction budget greater than five hundred thousand dollars (\$500,000), or when a project requires highly technical expertise and a construction manager at risk is desired. The prequalification process identifies the firms or contractors that have the integrity, financial, managerial, and technical abilities, and can demonstrate similar relevant experience to complete the construction phase of the project.

Steps in the Prequalification Procedure

1. Initiator completes a Request for Solicitation Form and provides the scope of work, project description, estimated construction budget, schedule, and other project related information to CPFP.
2. CPFP & Initiator determine the appropriate Department of Administrative Services (“DAS”) Classification for the Contractor or Construction Manager.
3. CPFP prepares the “Invitation to Submit Prequalification Application” and posts it on the CPFP website and the DAS website.
4. CPFP & Initiator(s) identify Evaluation Committee members as follows:
 - For projects with an estimated construction budget of ten million dollars (\$10,000,000) or less, the committee must be comprised of 3 to 5 subject matter experts.
 - For projects with an estimated construction budget greater than ten million dollars (\$10,000,000), the committee must be comprised of 5 or more subject matter experts.
 - The Committee must have an odd number of evaluating members to insure a majority decision.
5. CPFP reviews any “Requests for Information” questions submitted by applicants. The Responses are posted as an Addendum.
6. CPFP may issue Addendums, if needed, to clarify and/or provide additional information. Addendums are posted on the CPFP website and the DAS website.
7. CPFP receives the Prequalification Applications by the due date and time set forth in the Invitation to Submit Prequalification Application and they should remain sealed until the due date and time.

Any Applications received after the date and time specified shall not be opened or considered, will be marked "LATE," and shall be returned unopened to the Applicant.

8. CPFP performs a compliance and completeness check on the submitted Applications to verify that all required documents/information is included (and executed if necessary). Basic information about each Applicant (i.e., company information) and the Applicant's responses to the objective questions is summarized on the Prequalification Checklist completed by CPFP.
9. The CPFP will forward all Applicants' financial information received as part of the Prequalification Submission to the Finance and Budget Division – Project Accounting department for an independent financial evaluation in accordance with the Capital Project Delivery Process Manual for Prequalification. See ([Capital Project Delivery Process Manual - Prequalification](#)).
10. CPFP prepares and distributes to each Evaluation Committee Member:
 - The Prequalification Application Solicitation
 - The Prequalification Submissions
 - Prequalification Checklist
 - Evaluation [Committee Guidelines \(CPFP S1.2\)](#)
 - Committee Evaluation Forms
 - Procurement Evaluation Committee Principles of Conduct Form
11. The CPFP Buyer will schedule and facilitate a meeting with the Evaluation Committee to discuss the Applicants' Submissions.
12. During the meeting CPFP will review the following information with the Committee:
 - Prequalification Checklist
 - Responses to the "Automatic Out" questions. See "Automatic Out" Procedure ([CPFP S13.7](#)).
 - Whether Applicants' financial information passed the independent financial evaluation by Project Accounting.
 - Any minor irregularities with the Submission (i.e., missing addendum acknowledgement, missing signatures, etc.) ([CPFP S13.3](#)).
 - Any missing documents or requested information.
13. Following the Evaluation Committee review of each Application, the group will provide a consensus disposition of either "accept" or "not accept" for each Application. CPFP will document and record the Committee's decisions. If, after meeting with the Committee CPFP may deem the Applicant as non-responsive (due to an Applicant's responses to the "Automatic Out" questions). The CPFP Buyer shall consult with the Director of CPFP prior to deeming a bidder as non-responsive (resulting in a not accept status).
14. CPFP prepares the disposition letters.
 - "Not accept" disposition letters shall include the reason(s) why the Applicant was not accepted. Applicants not accepted have an opportunity to comply with the conditions not met in the

Prequalification Application through the Reconsideration Process. See Reconsideration Procedure ([CPFP S1.3](#)).

- “Accept” disposition letters invite the Applicant to submit a sealed bid during the Request for Proposal/Invitation to Bid phase or, in the case of the On-Call Program, will be offered a master contract for the On-Call program.

DRAFT

Title	CPFP S2: Invitation to Bid for Construction Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S2: INVITATION TO BID FOR CONSTRUCTION POLICY

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n (c)(3), establishes minimum standards for Governed Sourcing Activities for construction where an award can be made based on the selection method of “Lowest Responsible and Qualified Bid” (for general contractors and trade contractors) that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff; contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

A. CPFP will initiate the Invitation to Bid (ITB) and oversee the entire ITB process. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the project procurement and contracting activities for the particular project are current, applicable and compliant.

The ITB shall be designed and implemented in a manner that is transparent, fair and open, does not directly cause any one prospective bidder to have an unfair advantage over another, and is as competitive as is commercially feasible. The University shall assess the proposals in accordance with the terms of the ITB to determine the lowest responsible and qualified bidder to perform the work.

B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CPFP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.

- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CPFP S2.1 Invitation to Bid Procedure
Authorization to Proceed (ATP)
Invitation to Bid Template
Addendum Template
RFI Summary Log Form
Bid Recording Form
Bid Leveling Form
Letter of Intent Template
Contract Approval Request (C.A.R.)
Approved Form of Contract
Buyer Sign-Off Form

RELEVANT POLICY STATUTES

BOT Letter Dated 17 October 1997
BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109a through 10a-109y
C.G.S. Section 1-101nn
C.G.S. Section 1-101qq
C.G.S. Section 4a-100
C.G.S. Section 4b-51
C.G.S. Section 4b-91
C.G.S. Section 4b-92
C.G.S. Section 4b-93
C.G.S. Section 4b-94
C.G.S. Section 4b-95a
C.G.S. Section 4b-96
C.G.S. Section 49-41
C.G.S. Section 46a-68
Public Act 06-134
40 U.S. Code 3141-3148 Federal Davis Bacon (When Applicable)

POLICY HISTORY

Created 2008
Revised 06/2019

Title	CPFP S2.1: Invitation to Bid for Construction Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S2.1: INVITATION TO BID FOR CONSTRUCTION PROCEDURE

Invitation to Bid Procedure When to Use –

An Invitation to Bid (ITB) is used for a project that has sufficient information to clearly define the scope of work, and thus allows a bidder to submit a cost to complete the work, which is awarded to the lowest responsible and qualified bidder.

Steps in the Invitation to Bid Procedure

1. Initiator completes a Request for Solicitation Form and provides the scope of Work, project description, estimated construction budget, schedule, drawings, specifications, field reports, and other project related information to CPFP. Initiator shall also provide CPFP with a list of clearly defined Alternates, Allowances and/or Unit Prices.
2. Based on the information provided, including the estimated construction budget, CPFP determines the appropriate General Contractor/Trade groups who are eligible to submit a bid:
 - For projects with an estimated construction budget of \$500,000 or more, a Prequalification process would have taken place prior to this ITB stage resulting in a list of prequalified firms. See Policy on Prequalification ([CPFP S1](#)).
 - For projects with an estimated construction budget of \$500,000 or less, the following groups may be utilized:
 - Estimated construction budget of \$0-\$99,999.00: the On-Call \$0-\$100,000 Trades/General Contractor Program.
 - Estimated construction budget of \$100,000-\$500,000: the On-Call \$100,000-\$500,000 Trades/General Contractor Program.
 - Estimated construction budget of \$0-\$500,000: an Open ITB solicitation process may be utilized when CPFP and Initiator determine that the on-call programs do not have a category with the expertise to be able to perform the scope of work.
3. CPFP shall obtain Prevailing Wages if the construction budget is greater than \$99,999.99. The wages are obtained through the Department of Labor and must be attached to the Invitation to Bid.
4. CPFP prepares the “Invitation to Bid” and posts it on the CPFP website and the DAS website.

5. CFPF and Initiator may hold a non-mandatory Pre-Bid Meeting and site walkthrough for the project. If Initiator requests a mandatory walkthrough, then they will need to provide justification to CFPF who shall obtain prior approval from the CFPF Director.
6. CFPF reviews any “Requests for Information” questions submitted by the firms. The Responses are posted as an Addendum.
7. CFPF may issue Addendums, if needed, to clarify and/or provide additional information. Addendums are posted on the CFPF website and the DAS website.
8. CFPF receives the Bids on the due date and time set forth in the ITB. Bids should remain sealed until the public opening. Any Bids received after the date and time specified shall not be opened or considered, will be marked “LATE,” and shall be returned unopened to the bidder.
9. A public bid opening will be conducted by CFPF on the due date and time set forth in the Invitation to Bid. Any Bid received after the date and time specified shall not be opened or considered, will be marked “LATE,” and shall be returned unopened to the bidder.
10. CFPF reads aloud the contractor’s name, base bid, and any alternates, and records the information on the Bid Opening Form. Bid/Proposal Receipt and Opening ([CFPF S13.2](#)).
11. A bidder can submit a bid protest either “Pre-Award” or “Post-Award.” Bid/Proposal Protest Procedure ([CFPF S13.4](#)).
12. CFPF performs a compliance and completeness check on the submitted bids to verify that all required documents/information is included (and executed if necessary) and completes the bid leveling analysis to determine the lowest responsible qualified bidder in accordance with the ITB criteria.
 - Any requested documents/information that is missing, excluding minor irregularities ([CFPF S13.3](#)) is brought to the CFPF Director’s attention and at the Director’s discretion, the bidder may be deemed non-responsive. CFPF will notify the bidder in writing that they are non-responsive and their bid will not be considered.
13. CFPF post the bid leveling results(including alternates, if applicable) to the CFPF website.
14. After CFPF completes its compliance and completeness check and the bid leveling analysis, this information is shared with the Initiator. If alternates are included in the bid, then CFPF may meet with the Initiator to determine which alternates, if any, will be accepted. This is to ensure that the integrity of the ITB process is maintained and that alternates are chosen that are in the best interest of the University.
 - Choosing Alternates: The lowest responsible bid shall be the lowest total of the bid prices on the base contract and those additive or deductive items that were specifically identified in the bid solicitation as being used for the purpose of determining the lowest responsible bid price. This method allows specifically listing all items that will be considered in determining the lowest responsible bidder, and does not consider available funding. For example, this could allow specifying that the lowest bid will be based upon base bid plus all alternatives. That would ensure that all alternatives bid are competitive figures, but there may not have available funding to include all alternatives bid. There maybe enough funding for base bid and some (not all)

alternatives. The lowest responsible bidder is determined by base bid plus all alternatives, and may result in someone other than the bidder that is actually low with base bid plus the alternatives that are funded.

15. CFPF and Initiator conduct a scope review meeting with the lowest responsible qualified bidder to determine if the contractor can perform the scope of work as bid and per the construction documents.
 - CFPF, Initiator, Project Manager (if different than the Initiator) and the Architect/Engineer of Record are required to attend the scope review. If one of the previously mentioned parties does not attend the scope review, CFPF will document it in their notes.
 - The Architect or Engineer of Record is responsible for taking notes during the scope review and the notes will become part of the project file. The Project Manager is responsible for taking notes if there is no Architect/Engineer of Record for the project.
16. Negotiations with the lowest responsible and qualified bidder are not permitted without prior approval from the Director of CFPF. CFPF is responsible for conducting the negotiations. Negotiation Procedure ([CFPF S13.5](#)).
17. After the scope review is complete, Initiator issues the Recommendation to Award letter to CFPF. The award will include the base bid and all accepted or declined alternates.
18. CFPF Issues the Letter of Intent (LOI) to the lowest responsible qualified bidder who has ten business days to comply with the LOI.
19. CFPF receives the LOI requested documentation from the bidder.
20. CFPF prepares the bid package for Procurement Contracting.
21. CFPF finalizes the Contract Approval Request Form:
 - For University Planning, Design and Construction (UPDC): When the draft (unexecuted) contract is received from Procurement Contracting, CFPF will create a Contract Approval Request Form (CAR) in Unifier and attach supporting documents (draft contract, Bid Results Summary, award recommendation letter, and LOI).
 - For Facilities Operations (FO), Information Technology Systems (ITS), and any other University Department: While Contracting is drafting the contract, CFPF prepares a paper Contract Approval Request (CAR) and includes supporting documents (Bid Results Summary, award recommendation letter, and LOI) for review and approval by CFPF, Initiator, Accounting, FO/ITS and the EVPA & CFO or his delegate.
19. Once the CAR Form and Contract are complete and all approvals/signatures are obtained, CFPF completes the requisition process in HuskyBuy. Initiator can then issue a Notice to Proceed to the Contractor.
20. CFPF completes Buyer Sign-Off Form and submits to the CFPF Director for approval.

Title	CPFP S3: Request for Proposal Construction Manager at Risk Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S3: REQUEST FOR PROPOSAL CONSTRUCTION MANAGER AT RISK POLICY

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n (c)(3), establishes minimum standards for Governed Sourcing Activities for construction where an award can be made based on the selection method of “Best Value” to the University that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff; contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CPFP will initiate and oversee the Request for Proposal (RFP) process. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the project procurement and contracting activities for the particular project are current, applicable and compliant.

The RFP shall be designed and implemented in a manner that is transparent, fair and open, does not directly cause any one prospective bidder to have an unfair advantage over another, and is as competitive as is commercially feasible. The University shall assess the proposals in accordance with the terms of the RFP to determine the “Best Value” firm of interest.

- B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. **CPFP** may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.

- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

- CPFP S3.1 Request for Proposal for a Construction Manager Procedure
- CPFP S3.2 CMr Evaluation Committee Guidelines
- Addendum Template
- Bid Opening Form
- Buyer Checklist (Procurement Contracting Form)
- CM Proposal Leveling Analysis Form
- CM Technical Review / Evaluation Form
- CM RFP Evaluation Scoring Form
- CM Evaluation Shortlist Recommendation Form
- CM Interview Criteria for the Selection Form.
- CM RFP Interview Evaluation Scoring Form
- Contract Approval Request (C.A.R.)
- Letter of Intent Template
- Management Letter Template
- Procurement Evaluation Committee Principles of Conduct Form
- Request for Information Summary Log Form
- Request for Proposal Template
- Request for Solicitation Form

RELEVANT POLICY STATUTES

- BOT Letter Dated 17 October 1997
- BOT Policy Dated 23 March 2004
- C.G.S. Section 10a-109a through 10a-109y
- C.G.S. Section 1-101nn
- C.G.S. Section 1-101qq
- C.G.S. Section 4a-100
- C.G.S. Section 4b-51
- C.G.S. Section 4b-91
- C.G.S. Section 4b-92
- C.G.S. Section 4b-93
- C.G.S. Section 4b-94
- C.G.S. Section 4b-95a

C.G.S. Section 4b-96
C.G.S. Section 49-41
C.G.S Section 46a-68
Public Act 06-134
40 U.S. Code 3141-3148 Federal Davis Bacon (When Applicable)

POLICY HISTORY

Created 2008
Revised 06/2019

DRAFT

Title	CPFP S3.1: Request for Proposal Construction Manager at Risk Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S3.1: REQUEST FOR PROPOSAL CONSTRUCTION MANAGER AT RISK PROCEDURE

Request for Proposal Procedure for a Construction Manager (CM) When to Use –

The purpose of this Procedure is to establish the means by which a Construction Manager (CM) can be selected and a contractual relationship established. This sourcing method may be used when:

- There is a complex project which may requiring construction over several years and/or phases.
- It is beneficial to have a contractor on board during the preconstruction phase to collaborate with the owner/design team on items such as the realities of costs, construction drawings, specifications, materials, phasing of the project, etc. to ensure that the project stays within budget and on schedule.
- There is a fixed schedule and budget and the owner wants to shift the risk for construction to a CM who will complete the project for a Guaranteed Maximum Price (GMP).

Steps in the Request for Proposal Procedure

1. Initiator completes a Request for Solicitation Form and provides the scope of work, project description, estimated construction budget,, schedule, and other project related information to CPFP. Since the Construction Manager at Risk is a “quality based selection” sourcing method, a Prequalification process ([CPFP S1](#)) would have taken place prior to this Request for Proposal (RFP) stage resulting in a list of prequalified firms.
2. CPFP prepares the Request for Proposal and posts it on the CPFP website and the DAS website.
3. CPFP and Initiator may hold a non-mandatory Pre-Proposal Meeting and site walkthrough for the project. If Initiator requests a mandatory walkthrough, they will need to provide justification to CPFP who shall obtain prior approval from the CPFP Director.
4. CPFP reviews any “Requests for Information” questions submitted by the firms. The Responses are posted as an Addendum.
5. CPFP may issue Addendums, if needed, to clarify and/or provide additional information. Addendums are posted on the CPFP website and the DAS website.

6. CFPF receives the Proposals on the due date and time set forth in the RFP. Proposals should remain sealed until the public opening. Any Proposals received after the date and time specified shall not be opened or considered, will be marked "LATE," and shall be returned unopened to the firm.
7. A public opening will be conducted by CFPF on the due date and time set forth in the Request for Proposal. Any Proposals received after the date and time specified shall not be opened or considered, will be marked "LATE," and shall be returned unopened to the firm.
8. CFPF reads aloud the firm's name, the "Proposed Construction Management All-Inclusive Fee," the "Proposed Cost of General Conditions," and the "Proposed All-Inclusive Fee for Pre-Construction Services" and records the information on the Bid Opening Form. Bid/Proposal Receipt and Opening ([CFPF S13.2](#)).
9. CFPF performs a compliance and completeness check on the submitted Proposals to verify that all required documents/information is included (and executed if necessary).
10. CFPF prepares the evaluation package for the Evaluation Committee to review.
 - The Evaluation Committee for the RFP stage is the same committee members that performed the prequalification evaluation for this project.
 - For the scoring form, CFPF and the Initiator assign weights for each project criteria on the Evaluation Form. Weights are from 1 to 10, with 10 given to the criteria which is most important to the project. These weights are shown on the CM Technical Review / Evaluation Form.
11. CFPF distributes to each Evaluation Committee Member:
 - A Cover memo to Committee
 - The submitted Proposals
 - CM Proposal Leveling Analysis Form - cost analysis of the Proposals prepared by CFPF
 - Committee Evaluation Forms
 - Procurement Evaluation Committee Principles of Conduct Form
 - CM Evaluation Committee Guidelines ([CFPF S3.2](#))
12. Evaluation Committee Members independently evaluate and score each firm's Proposal based on the project criteria found in the RFP and return the CM Technical Review / Evaluation Form to CFPF by a specified date and time.
13. CFPF creates a scoring summary using the Committee Members' CM Technical Review / Evaluation Form for each firm and lists the firms' rankings and grand total for each firm on the CM RFP Evaluation Scoring Form.
14. The Committee then meets to review the evaluation rankings to determine the short-listed firms who will be invited to participate in the interview phase. Short-listed firms are selected based on the highest total scores.
15. Each Committee Member must sign the CM Evaluation Shortlist Recommendation Form affirming their agreement of the short-listed firms recommended for the interview phase.
16. CFPF prepares the Interview Evaluation Criteria Form.

- For the scoring component, CPFPP and the Initiator assign weights for each project criteria on the Evaluation Form. Weights are from 1 to 10, with 10 given to the criteria which is most important to the project. These weights are shown on the Interview Evaluation Criteria Form.
17. CPFPP schedules the interviews and emails each short-listed firm the date and time of their interview along with the interview criteria/ presentation content.
 18. CPFPP notifies the firms not selected for the interview phase.
 19. CPFPP facilitates the interview process.
 20. Upon completion of all interviews, CPFPP will facilitate a discussion with the Evaluation Committee to ensure that they understand the final evaluation and selection process.
 - The Committee will discuss each interview/presentation.
 - In order to preserve the integrity of the Evaluation Committee's role, any stakeholders present to observe the interviews shall leave the room before the Committee begins its discussion with the exception of CPFPP members that are assisting and/or facilitating the meeting and auditors.
 21. Once open discussion has concluded, Committee Members independently score each short-listed firm based on the Interview Evaluation Criteria for the Project.
 - Committee Members hand in their completed forms and notes to CPFPP prior to leaving the meeting.
 22. CPFPP creates a scoring summary using the Committee Members' Interview Evaluation Criteria Forms of each firm and lists the firms' rankings and grand total for each firm on the CM Interview Evaluation Scoring Form. The Firm of Interest is selected based on highest score.
 23. CPFPP will send an email to the Evaluation Committee to confirm the Firm of Interest. Each Committee Member must respond in writing that they agree with the Firm of Interest.
 24. CPFPP prepares a Management Summary and Authorization Letter that describes the procurement process for the project. The Associate Vice President & Chief Procurement Officer presents this letter to the EVPA & CFO for review and approval prior to proceeding to negotiations with the Firm of Interest.
 25. CPFPP and the Initiator manage the contract negotiations with the Firm of Interest. Items confirmed/negotiated include the Construction Management Fee, the Preconstruction Services Fee and the General Conditions cost.
 26. After negotiations are complete, CPFPP issues a Letter of Intent (LOI) to the Firm of Interest.
 27. CPFPP gives the Buyer Checklist and package of information to Procurement Services Contracting to draft and execute the contract.
 28. After the contract is drafted for the Preconstruction Services, CPFPP will complete a Contract Approval Request (C.A.R.), which includes details of the award and verification of funding. Attachments to the CAR form include the draft contract, Letter of Intent and supporting documents.
 29. After the Firm and UConn execute the contract, a purchase order is issued and the Initiator issues a Notice to Proceed.
 30. CPFPP then notifies the other firms that interviewed that were not selected.

31. During the project preconstruction phase, CPFP will meet with the Construction Manager (“CM”), the design team, and the Initiator to review the University of Connecticut Guidelines for CM Prequalification of Subcontractors, Bidding Process and GMP Review document,, the subcontractor prequalification process, and the development of the Guaranteed Maximum Price (GMP).
32. After the CM completes the subcontractor bidding process, CPFP and the Initiator will work with the CM to develop a GMP.
33. Once CPFP and the Initiator negotiate a GMP, Contracting will draft the Contract Amendment adding the GMP to the Contract.
34. After the GMP is established, CPFP submits a Procedure Sign-Off Form to the Director of CPFP.
35. CPFP works with the Initiator and monitors the contract through the contract life cycle to ensure compliance.

DRAFT

Title	CPFP S4: On-Call \$100,000 to Less Than \$500,000 Trade/General Contractor Program Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2015
Proposed Revision Date	September 2019

CPFP S4: ON-CALL \$100,000 TO LESS THAN \$500,000 TRADE/GENERAL CONTRACT PROGRAM POLICY

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n (c)(3), establishes minimum standards for Governed Sourcing Activities for construction where an award can be made based on the selection method of “Lowest Responsible and Qualified Bid” (for trade and general contractors) that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff; contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CPFP will initiate the On-Call \$100,000 to less than \$500,000 Trade/General Contractor Program sourcing method to develop a master list of various Trade and General Contractors who are eligible to perform project-specific work which has an estimated construction budget of \$100,000 to less than \$500,000. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the project procurement and contracting activities for the particular project are current, applicable and compliant.

This on-call process offers the convenience of an established pool of pre-approved Trade and General Contractors for a specific durational timeframe (typically 5 years) who can submit a bid during the competitive bid process. via the Invitation to Bid (ITB) procedure ([CPFP S2.1](#)). This on-call program has a prevailing wage component, however, an award not intended to exceed \$499,999.99. The program is designed and implemented in a manner that is transparent, fair and open, does not

directly cause any one prospective bidder to have an unfair advantage over another and is as competitive as is commercially feasible.

- B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CPFPP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.**
- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).**

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CPFPP S2.1 Invitation to Bid Procedure
Invitation to Bid Template
Addendum Template
Advertisement to Newspaper Template
RFI Summary Log Form
Bid Recording Form
Bid Leveling Form
Letter of Intent Template
Contract Approval Request (C.A.R.)
Approved Form of Contract

RELEVANT POLICY STATUTES

BOT Letter Dated 17 October 1997
BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109a through 10a-109y
40 U.S. Code 3141-3148 (When Applicable)
C.G.S. Section 1-101nn
C.G.S. Section 1-101qq
C.G.S. Section 4a-100
C.G.S. Section 4b-51
C.G.S. Section 4b-91
C.G.S. Section 4b-92
C.G.S. Section 4b-93
C.G.S. Section 4b-94

C.G.S. Section 4b-95a
C.G.S. Section 4b-96
C.G.S. Section 49-41
C.G.S Section 46a-68
Public Act 06-134

POLICY HISTORY

Created 2015

Revised 06/2019

DRAFT

Title	CPFP S4.1: On-Call \$100,000 to Less Than \$500,000 Trade/General Contractor Program Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2015
Proposed Revision Date	September 2019

CPCA S4.1: ON-CALL \$100,000 TO LESS THAN \$500,000 TRADE/GENERAL CONTRACTOR PROGRAM PROCEDURE

On-Call \$100,000 to less than \$500,000 Trade/General Contractor Program Procedure When to Use –

The On-Call process offers the convenience of an established pool of pre-approved Trade Contractors and General Contractors (selected to participate in the on-call program via the prequalification process) who have the opportunity to complete construction projects at the University. Construction projects awarded via this on-call program have an estimated construction budget of between \$100,000 and \$500,000, a clearly defined scope of work, project documents (drawings and specifications, as applicable), and the cost to complete the work can be awarded to the lowest responsible and qualified bidder based on a lump sum bid.

Steps in Establishing the On-Call \$100,000 to less than \$500,000 Trade/General Contractor Master Participant List:

1. Every 5 years, CPFP will review the list of trade categories on the current on-call program to determine which categories, in addition to the general contractor category, shall be solicited to develop a new master list of contractors.
2. CPFP, in collaboration with the applicable University departments (UPDC, FO, UITS and Athletics), develops a detailed scope of work for each trade category and general contractor category.
3. CPFP establishes the on-call trade and general contractors master participant lists using the Prequalification sourcing method ([CPFP S1.1](#)).
4. Once the Prequalification procedure is complete, CPFP awards each prequalified trade contractor/general contractor a master agreement for a durational term of up to 5 years [initial 3-year term plus 2 (1-year) extensions].

5. The trade and general contractors on the on-call list have the opportunity to bid on construction projects (with an estimated construction budget of less than \$500,000) sourced through the on-call program.

Steps in Using the On-Call \$100,000 to less than \$500,000 Trade/General Contractor Program:

1. Initiator completes a Request for Solicitation Form and provides the scope of work, project description, estimated construction budget, schedule, and other project related information to CFPF.
2. Based on the information provided, including the estimated construction budget, CFPF determines the appropriate General Contractor/Trade categories eligible to submit a bid. The solicitation for the project uses the Invitation to Bid sourcing method ([CFPF 2.1](#)).

DRAFT

Title	CPFP S5: On-Call \$0 to Less Than \$100,000 Trade/General Contractor Program Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2015
Proposed Revision Date	September 2019

CPFP S5: ON-CALL \$0 TO LESS THAN \$100,000 TRADE/GENERAL CONTRACTOR PROGRAM

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n (c)(3), establishes minimum standards for Governed Sourcing Activities for construction where an award can be made based on either the selection method of “Lowest Responsible and Qualified Bid” or the “equalization, rotational” method, that is fully compliant with statutory requirements and policies of the University and legislation. The On-Call \$0 to less than \$100,000 program has been established as a set-aside program providing Connecticut DAS approved Small and/or Minority Business Enterprise (S/MBE) Trade and General Contractor an opportunity to perform work for the University and generate economic growth.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, include all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty, professional, non-professional, and scientific staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A.** CPFP will initiate the On-Call \$0 to less than \$100,000 Trade/General Contractor Program sourcing method to develop a master list of various Trade and General Contractors who are eligible to perform project-specific work, which has an estimated construction budget of \$0 to less than \$100,000. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcomes of the process are in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the procurement and contracting activities for the particular project are current, applicable and compliant.

This on-call process offers the convenience of an established pool of pre-approved Trade and General Contractors for a specific durational timeframe (typically 5 years). This on-call program does not have a prevailing wage component and therefore single aggregate assignments/awards cannot exceed \$99,999.99. Construction services are awarded either 1.) On a rotational equalization basis

where the construction cost is based on time and materials or 2.) A competitive bid process where the award is based on a lump sum cost to the lowest responsible qualified bidder.

This program is designed and implemented in a manner that is transparent, fair and open, does not directly cause any one prospective bidder to have an unfair advantage over another, and in a manner that is as competitive as is commercially feasible.

- B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CPFP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.
- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CPFP S5.1 On-Call \$0-\$100,000 Trades/General Contractor Program
Invitation to Bid Template
Addendum Template
RFI Summary Log Form
Bid Recording Form
Bid Leveling Form
Letter of Intent Template
Contract Approval Request (C.A.R.)
Approved Form of Contract

RELEVANT POLICY STATUTES

BOT Letter Dated 17 October 1997
BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109a through 10a-109y
C.G.S. Section 1-101nn
C.G.S. Section 1-101qq
C.G.S. Section 4a-100
C.G.S. Section 4b-51
C.G.S. Section 4b-91
C.G.S. Section 4b-92
C.G.S. Section 4b-93
C.G.S. Section 4b-94
C.G.S. Section 4b-95a

C.G.S. Section 4b-96
C.G.S. Section 49-41
C.G.S Section 46a-68
Public Act 06-134

POLICY HISTORY

Created 2008
Revised 06/2019

DRAFT

Title	CPFP S5.1: On-Call \$0 to Less Than \$100,000 Trade/General Contractor Program Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2015
Proposed Revision Date	September 2019

CPFP S5.1: ON-CALL \$0 TO LESS THAN \$100,000 TRADE/GENERAL CONTRACTOR PROGRAM PROCEDURE

On-Call \$0 to less than \$100,000 Trade/General Contractor Program Procedure When to Use –

The On-Call process offers the convenience of an established pool of pre-approved Trade Contractors and General Contractors (selected to participate in this on-call program via the prequalification process) who have the opportunity to complete construction projects at the University. This on-call program is established as a 100% set-aside program for Connecticut DAS approved Small and/or Minority Business Enterprise (S/MBE) pre-approved Trade and General Contractors. Construction projects awarded via this on-call program have an estimated construction budget less than \$100,000 and either can be awarded on a rotational equalization basis where the construction cost is based on time and materials or competitively bid to the pool where the award is based on a lump sum cost.

Steps in Establishing the On-Call \$0 to less than \$100,000 Trade/General Contractor Master Participant List:

1. Every 5 years, CPFP will review the list of trade categories on the current on-call program to determine which categories, in addition to the general contractor category, shall be solicited to develop a new master list of contractors.
2. CPFP, in collaboration with the applicable University departments (UPDC, FO, UITS and Athletics), develops a detailed scope of work for each trade category and general contractor category.
3. The on-call trade and general contractors master participant lists are established using the Prequalification sourcing method ([CPFP S1.1](#)).
4. Once the Prequalification procedure is complete, each prequalified trade contractor/general contractor is awarded a master agreement for a durational term of up to 5 years (initial 1 year term plus 4 1-year extensions). CPFP monitors the spend of each master agreement, as well as, reviewing any revised rates with submitted renewals. CPFP also, periodically and with renewals, verifies the participating contractors against the State of Connecticut Department of Administration Services Supplier Diversity website for S/MBE certification changes.

5. The trade and general contractors on the on-call list have the opportunity to be assigned projects either on a rotational equalization basis or bid on construction projects (with an estimated construction budget of less than \$100,000) which are sourced through the on-call program.

Steps in Using the On-Call \$0 to less than \$100,000 Trade/General Contractor Program Procedure

1. Initiator contacts CPFP with an assignment/project and provides the scope of work, project description, estimated construction budget, schedule, and other project related information.
2. If the estimated construction budget exceeds \$85,000 (but less than \$100,000), then prior approval is required from the Director of CPFP to proceed using this program.
3. CPFP will collaborate with the Initiator to determine the appropriate trade category and whether the project will be assigned using the “lump sum” method or the “time and material” method.
 - **Lump Sum Method** - Solicit to the pool of prequalified On-Call \$0-\$100,000 Trade Contractors or General Contractors. If using the General Contractor category, then the lump sum component must be used. This sourcing method will follow the Invitation to Bid Procedure ([CPFP S2.1](#)).
 - **Time and Material (T&M) Method** – CPFP will assign the next available trade contractor using the rotational equalization method.

Continuing with the T&M Method

4. CPFP provides the trade contractor’s name and contact information to the Initiator via email.
 - It is the intent that the work is evenly distributed among all contractors listed for that specific trade category. CPFP will monitor and assign Contractors based on utilization through equalization by project/assignment and dollar volume. Consideration is given when the need arises for specialty type services within a trade category and there are firms within that trade category who may have experience with that specialty type service.
5. Initiator contacts the identified Contractor directly and provides the project scope of work, any related project documents, and the project schedule.
 - If the Initiator informs CPFP that the contractor is not responsive or has declined the assignment, then CPFP will provide another contractor’s name and contact information.
6. The Contractor provides the Initiator a comprehensive T&M Estimate in accordance with the Master Agreement using the SBE/MBE Contractor Quote Worksheet.
 - S/MBE contractors must self-perform at least 30% of the scope of work and 50% of the entire scope of work must be completed by S/MBE contractors. The 30% self-performance may be included in the overall 50% goal.
 - If a subcontractor for any part of the work is not an S/MBE, the Contractor will need to submit a written explanation as to why that scope of work is not being performed by an S/MBE subcontractor.
7. Initiator reviews the T&M Estimate. When the Estimate is deemed reasonable, the Initiator will email CPFP the Contractor’s Estimate and any applicable back-up documents for review and approval.

8. CFPF reviews and approves the Estimate. CFPF will email the Initiator letting them know they can enter a requisition into the financial system.
9. CFPF will complete and release the Purchase Order.
10. CFPF monitors the contract through the contract life to ensure compliance.

DRAFT

Title	CPFP S6: Professional Services Selection (Open) Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2013
Proposed Revision Date	September 2019

CPFP S6: PROFESSIONAL SERVICES SELECTION POLICY (OPEN)

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n, establishes minimum standards for Governed Sourcing Activities for professional services where an award can be made based on the “Best Value” selection method that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff; contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CPFP will initiate a Professional Services Selection (Open) process, and oversee the process. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP shall be held to ensure that the method of procurement and contracting activities specified are current, applicable and compliant.

The Professional Services Selection (Open) process shall be designed and implemented in a manner that is transparent, fair and open, does not directly cause any one prospective bidder to have an unfair advantage over another, and is as competitive as is commercially feasible. The University shall assess the proposals in accordance with the terms of the Professional Services Selection (Open) Process to determine the “Best Value” firm of interest.

- B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CPFP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.

- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

- CPCA S8.1 Professional Services Selection Procedure
- Professional Selection Template
- Addendum Template
- RFI Summary Log Form
- Letter of Intent Template
- Contract Approval Request (C.A.R.)
- Approved Form of Contract

RELEVANT POLICY STATUTES

- BOT Letter Dated 17 October 1997
- BOT Policy Dated 23 March 2004
- C.G.S. Section 10a-109a through 10a-109y
- C.G.S. Section 1-101nn
- C.G.S. Section 10a-151h
- C.G.S. Section 4b-51

POLICY HISTORY

- Created 2008
- Revised 06/2019

Title	CPFP S6.1: Professional Services Selection (Open) Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2013
Proposed Revision Date	September 2019

CPFP S6.1: PROFESSIONAL SERVICES SELECTION (OPEN) PROCEDURE

Professional Services Selection When to Use –

The purpose of this Procedure is to establish the means by which a Professional Services Firm can be selected for a project and a contractual relationship established that is in full compliance with statutory requirements, CT General Statute 10a-109n(c)(9), and policies of the University. This sourcing method is used when:

- The estimated design cost for a project is over \$500,000.
- It is a complex project requiring design and/or construction over several years and/or phases
- There is a need for a consultant that specializes in or has expertise with a certain building type. (Note: in this case the design cost does not need to exceed \$500,000).
- Note: this method is not limited to projects with an estimated design cost over \$500,000. It can also be used for any complex or specialty project (regardless of dollar value).

Steps in the Professional Services Selection Procedure

1. Initiator completes a Request for Solicitation Form and provides the scope of work, project description, estimated design Budget, schedule, and other project related information to CPFP.
2. CPFP prepares the Request for Qualifications (“RFQ”) and posts it on the CPFP website and the DAS website.
3. CPFP & Initiator(s) identify Evaluation Committee members as follows:
 - For projects with an estimated design cost of ten million dollars (\$10,000,000) or less, the committee must be comprised of 3 or 5 subject matter experts.
 - For projects with an estimated design cost greater than ten million dollars (\$10,000,000), the committee must be comprised of 5 or more subject matter experts.
 - The Committee must have an odd number of evaluating members to ensure a majority decision.
4. CPFP and the Initiator prepare the committee scoring criteria. Weights (points) are assigned to each project criteria listed on the Professional Technical Review /Evaluation Form.
 - The weights represent the importance of each criteria to the overall project.

- The weights range from 1 to 10 points, with 10 points representing the highest level of importance.
5. CFPF reviews any “Requests for Information” questions submitted by applicants. The Responses are posted as an Addendum.
 6. CFPF may issue Addendums, if needed, to clarify and/or provide additional information. Addendums are posted on the CFPF website and the DAS website.
 7. CFPF receives the RFQ Applications on the due date and time set forth in the RFQ. The applications should remain sealed until the due date and time. Any Applications received after the date and time specified shall not be opened or considered, will be marked “LATE,” and shall be returned unopened to the Applicant.
 8. CFPF performs a compliance and completeness check on submitted Applications to verify that all required documents/information is included (and executed if necessary).
 9. CFPF prepares and distributes to each Evaluation Committee Member:
 - The Request for Qualifications Solicitation
 - The submitted Applications
 - Professional Services Committee Guidelines (CPFP S6.2)
 - Committee Evaluation Forms
 - Procurement Evaluation Committee Principles of Conduct Form
 10. Evaluation Committee Members independently evaluate and score the submitted Applications based on the project criteria found in the RFQ and return the scoring sheets to CFPF by a specified date and time.
 - NOTE: If there is a large number of submissions or it is a complex project, the Evaluation Committee may choose to meet first to review the submissions and then independently score the Applicants. Committee Members must hand in their scoring sheets to CFPF prior to leaving the meeting.
 11. CFPF creates a scoring summary using the Committee Members’ Professional Technical Review/Evaluation Forms for each firm and lists the firms’ rankings and grand total for each firm on the Professional Services RFQ Evaluation Scoring Form.
 12. The Committee then meets to review the evaluation rankings to determine the short-listed firms who will be invited to submit a proposal and participate in the interview phase. Short-listed firms are selected based on highest scores.
 13. Each Committee Member must sign the Professional Services Evaluation Shortlist Recommendation Form affirming their agreement of the short-listed firms recommended for the interview phase.
 14. CFPF prepares a Request for Proposal (RFP), schedules the interviews and emails each short-listed firm the date and time of their interview along with the Request for Proposal (which includes the interview criteria/presentation content).
 15. CFPF notifies the firms not selected for the Request for Proposal/Interview phase.

16. CFPF and the Initiator develop the interview criteria/required presentation content that is included in the Request for Proposal.
17. CFPF and the Initiator will assign weights (points) to each interview criteria listed on the Professional Services Interview Criteria for Selection Form.
 - The weights represent the importance of each criteria to the overall project.
 - The weights range from 1 to 10 points, with 10 points representing the highest level of importance.
18. CFPF and Initiator may hold a non-mandatory Pre-proposal Meeting and site walkthrough for the project. If Initiator requests a mandatory walkthrough, they will need to provide justification to CFPF who shall obtain prior approval from the CFPF Director.
19. CFPF reviews any “Requests for Information” questions submitted by the firms. The Responses are posted as an Addendum.
20. Proposals (including the cost proposal) are due from the firms three business days before the Interview date.
21. Prior to the Interviews, CFPF will perform a ratio method analysis on the cost proposals.
 - The proposal with the lowest cost receives the maximum points allowed. All other proposals receive a percentage of the points available based on their cost relationship to the lowest. This is determined by applying the following formula:

$$\frac{\text{Lowest Cost}}{\text{Cost Being Evaluated}} \times \text{maximum points available} = \text{awarded points}$$

Example: The cost for the lowest proposal is \$100,000. The next lowest proposal has a cost of \$125,000. The total points available for cost = 30 points.

$$\frac{\$100,000}{\$125,000} = .80 \times 30 = 24 \text{ points}$$
 - The Evaluation Committee Members do not see the cost proposals. The total points given to each firm is listed on the Interview Evaluation Form and becomes a component of that firm’s total score.
22. CFPF facilitates the interview process.
23. Upon completion of all interviews, CFPF will facilitate a discussion with the Evaluation Committee to ensure that they understand the final evaluation and selection process.
 - The Committee will discuss each interview/presentation.
 - In order to preserve the integrity of the Evaluation Committee’s role, any stakeholders present to observe the interviews shall leave the room before the Committee begins its discussion with the exception of CFPF members that are assisting and/or facilitating the meeting and auditors.
24. Once open discussion has concluded, Committee Members independently score each short-listed firm based on Interview Evaluation Criteria for the Project.
 - Committee Members hand in their completed forms and notes to CFPF prior to leaving the meeting.

25. CFPF creates a scoring summary using the Committee Members' Professional Services Interview Criteria Forms and lists the firms' rankings and grand total for each firm on the Professional Services Interview Evaluation Scoring Form. The Firm of Interest is selected based on the highest score.
26. CFPF will send an email to the Evaluation Committee to confirm the Firm of Interest and also the 2nd ranked Firm of Interest.
27. Each Committee Member must respond in writing that they agree with the Firm of Interest and the 2nd ranked Firm of Interest.
 - If CFPF determines that further discussion is merited due to scores close together or if there is not a consensus among Committee Members, than a second Committee Meeting may be held to review the final scores and determine if a second interview is necessary.
28. CFPF prepares a Management Summary and Authorization Letter that describes the procurement process for the project. The Associate Vice President & Chief Procurement Officer presents this letter to the EVPA & CFO for review and approval prior to proceeding with negotiations with the Firm of Interest.
29. After the EVPA&CFO has reviewed and signed the Management Summary and Authorization Letter, CFPF will share the cost proposals with the Initiator and proceed to negotiations with the Firm of Interest.
30. After negotiations are complete, CFPF issues a Letter of Intent (LOI) to the Firm of Interest.
31. If a fair and reasonable cost is not attained with the Firm of Interest than CFPF shall consult with the Associate Vice President and Chief Procurement Officer and the EVPA&CFO (as necessary).
 - CFPF shall notify the Committee that a fair and reasonable cost with the Firm of Choice could not be attained and will now move on to the 2nd ranked Firm of Interest. All Committee Members must agree in writing that they approve of moving on to the 2nd ranked Firm of Interest.
 - Once all Committee Members have agreed, CFPF writes a letter to the initial Firm of Interest stating that a fair and reasonable cost is unachievable and their Firm will not be awarded the project.
 - CFPF and the Initiator conduct negotiations with the 2nd ranked Firm of Choice and once a fair and reasonable cost is attained, CFPF will issue a Letter of Intent (LOI).
32. CFPF gives the Buyer Checklist and package of information to Procurement Services Contracting to draft and execute the contract.
33. After the contract is drafted, CFPF will complete a Contract Approval Request (C.A.R.) which includes details of the award and verification of funding. Attachments to the CAR form include the draft contract, Letter of Intent and supporting documents.
34. After the Firm and UConn execute the contract, a purchase order is issued and the Initiator issues a Notice to Proceed.
35. CFPF then notifies the other firms that interviewed that they were not selected.
36. Upon contract execution, CFPF submits a Procedure Sign-Off Form to the Director of CFPF for approval.

37. CFPF works with the Initiator and monitors the contract through the contract life cycle to ensure compliance.

DRAFT

Title	CPFP S7: On-Call Professional Services Program Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2013
Proposed Revision Date	September 2019

CPFP S7: ON-CALL PROFESSIONAL SERVICES PROGRAM POLICY

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n, establishes minimum standards for Governed Sourcing Activities for professional services where an award can be made based on either the selection method of “Best Value” or the “equalization, rotational” method, that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CPFP will initiate the On-Call Professional Services Program sourcing method to develop a master list of various Professional Service Firms who are eligible to perform project-specific work, which has an estimated design budget of less than \$500,000. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcomes of the process are in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the procurement and contracting activities for the particular project are current, applicable and compliant.

This On-Call process offers the convenience of an established pools of pre-approved Professional Service Firms for a specific durational timeframe (typically 5 years). Professional services are awarded either 1.) On a rotational equalization model or 2.) A competitive bid process where the design work is bid to the pool of firms in one of the established categories and the award is based on the lowest lump sum cost.

This program is designed and implemented in a manner that is transparent, fair and open, does not directly cause any one prospective bidder to have an unfair advantage over another, and in a manner that is as competitive as is commercially feasible.

- B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CFPF may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.
- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CFPP S7.1 On-Call Professional Services Program Procedure
Professional Selection Template
Addendum Template
Advertisement to Newspaper Template
RFI Summary Log Form
Letter of Intent Template
Purchase Order – completed in HuskyBuy
State of CT Standard Terms and Conditions

RELEVANT POLICY STATUTES

BOT Letter Dated 17 October 1997
BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109a through 10a-109y
C.G.S. Section 1-101nn
C.G.S. Section 10a-151h
C.G.S. Section 4b-51

POLICY HISTORY

Created 2013
Revised 06/ 2019

Title	CPFP S7.1: On-Call Professional Services Program Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2013
Proposed Revision Date	September 2019

CPFP S7.1: ON-CALL PROFESSIONAL SERVICES PROGRAM PROCEDURE

On-Call Professional Services Program Procedure When to Use –

The On-Call process offers the convenience of an established pool of pre-approved Professional Service Firms (selected to participate in this on-call program via a professional services prequalification process) who have the opportunity to complete design work for projects at the University. Design work awarded via this on-call program have an estimated design cost of less than \$500,000 and can be awarded either on a rotational equalization basis or competitively bid to the pool of one of the established categories.

Steps in Establishing the On-Call Professional Services Master Participant List

1. Every 3 years, CPFP will review the list of professional services specialty design categories on the current on-call program to determine which categories shall be solicited to develop a new master list of professional firms.
2. CPFP, in collaboration with the applicable University departments (UPDC, FO, UITS and Athletics), develops a detailed scope of work for each specialty design category.
3. The on-call professional services master participant list is established using the Request for Qualifications (RFQ) component of the Professional Services Selection (Open) sourcing method ([CPFP S6.1, steps #2-#13](#)).
4. Once the Prequalification procedure is complete, each prequalified professional firm is awarded a master agreement for a durational term of 3 years. CPFP monitors the spend of each master agreement.
5. The professional services firms on the on-call list have the opportunity to be assigned professional services on a rotational equalization basis or have the opportunity to offer proposals on professional services for projects with an estimated design cost of less than \$500,000 which are sourced through the on-call program.

Steps in Using the On-Call Professional Service Program Procedure

1. Initiator contacts CPFPP with an assignment/project and provides the scope of work, project description, estimated design budget, schedule, and other related project information.
2. CPFPP will collaborate with the Initiator to determine the appropriate professional services category and whether the design work will be assigned using the competitive bid process or the rotational equalization process.
 - **Competitive Bid Process** – CPFPP will issue a Request for Proposal to the pool of prequalified firms in the appropriate category and establish an RFI due date along with the Proposal due date and time. The award is given to the lowest qualified proposal.
 - **Equalization, Rotational Process** - CPFPP will assign the next available professional service firm using the rotational equalization method. Once the Initiator has this information from CPFPP, the Initiator can directly contact to the firm for a proposal. A Task Order is issued to the firm for the Project work.

Continuing with the Equalization, Rotational Process

3. CPFPP identifies an appropriate professional service firm using the rotational equalization method taking into consideration the following:
 - Scope of work provided by the Initiator. CPFPP encourages the Initiator to solicit services for the entire project with the initial task order.
 - Previous awards and total spend for each firm under that professional service category. The size and complexity of the related assignment.
 - The firm's ability and resources to complete the assignment in a timely manner.
 - Impact of other current firm assignments at the University.
 - Any other criteria deemed to be in the University's best interests.
4. CPFPP provides the firm's name and contact information to the Initiator.
 - It is the intent that the work is evenly distributed among all firms listed for that specific design category. CPFPP will monitor and assign firms based on utilization through equalization by project/assignment and dollar volume. Consideration is given when the need arises for specialty type services within a design category and there are firms within that design category who may have experience with that specialty type service.
5. Initiator contacts the identified firm directly and provides the project scope of work, any related project documents, and the project schedule.
 - If the Initiator informs CPFPP that the firm is not responsive or has declined the assignment, then CPFPP will provide another firm's name and contact information.
6. The firm provides the Initiator a comprehensive proposal in accordance with the Master Agreement.
 - Initiator reviews the Proposal. When the Proposal is deemed reasonable, the Initiator will enter it into the financial system or into Unifier (UPDC only) along with a draft Task Order. If CPFPP approves of the proposal, CPFPP will complete and finalize the task order.

7. CFPF will review the Proposal and draft Task Order to ensure that it is compliant/consistent with the Master Agreement.
8. CFPF will email the Task Order to the firm for signature. Note: for UPDC only Task Orders, UPDC will perform this step.
9. Once the Task Order is received back from the Firm, CFPF will have the Director of CFPF review and sign the Task Order. Note: for UPDC only Task Orders, UPDC will perform this step and sign the Task Order.
10. CFPF will upload the executed Task Order into the financial system. Note: for UPDC only Task Orders, UPDC will perform this step and upload to Unifier.
11. CFPF will complete and release the Purchase Order.
12. If the Initiator requires additional services after Task Order 1, the Initiator will go directly to the firm. CFPF will review subsequent task orders when they come through Unifier/HuskyBuy.
13. CFPF monitors the contract through the contract life cycle to ensure compliance.

DRAFT

Title	CPFP S8: Exigent Procurement Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2019
Proposed Revision Date	September 2019

CPFP S8: EXIGENT PROCUREMENT POLICY

REASON FOR POLICY

This policy, in accordance with CGS 10a-109n(c)(2)(B), establishes minimum standards for Governed Sourcing Activities for projects that are deemed “exigent” in nature and an award can be made to a contractor that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty, professional and scientific staff, merit staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A.** Under CGS 10a-109n(c)(2)(B), the statute requires the Board of Trustees (BOT) to authorize the use of exigent procurement for contracts valued at \$500,000 or greater. In a Resolution dated March 23, 2004, the BOT enumerated certain circumstances under which it is likely to deem a contract exigent.
- B.** CPFP will initiate the exigent process with the help of the Initiator. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the project procurement and contracting activities for the particular project are current, applicable and compliant.
- C.** This process enables CPFP to negotiate with any qualified construction manager or general contractor currently under contract and working at the University for “Project” work not specifically related to the ongoing contracts.

- D. Use of Exigent Procurement shall be limited and must be pre-approved by the **Executive Vice President for Administration and Chief Financial Officer (EVPACFO)**.
- E. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CFPF may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.
- F. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CPFP S8.1 Exigent Procurement Procedure
Contract Approval Request (C.A.R.)
Approved Form of Contract

RELEVANT POLICY STATUTES

BOT Letter Dated 17 October 1997
BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109n

POLICY HISTORY

Created 9/2019

Title	CPFP S8.1: Exigent Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2019
Proposed Revision Date	September 2019

CPFP S8.1: EXIGENT PROCEDURE

Exigent Procurement When to Use –

The purpose of this procedure is to establish the means for exigent procurement in accordance with CGS 10a-109n(c)(2)(B) (authorizing exigent procurement) and the Board of Trustees (BOT) statute requirements (Resolution dated March 23, 2004). The BOT Resolution enumerates certain circumstances under which it is likely to deem a contract exigent. The following conditions warrant the use of Exigent Procurement in the BOT Resolution:

- Prevent loss of grant income or other revenue
- Produce additional revenue or grant income
- Ensure renovations are complete for new faculty and staff members
- Provide for safety and health of the University Community
- Comply with any Federal or State laws or regulations
- Ensure timely and orderly completion of UConn 2000, 21st Century UConn Projects or Next Generation Program

Exigent Procurement is limited in use and pre-approved is required by the **Executive Vice President for Administration and Chief Financial Officer (EVPACFO)**.

If conditions for exigent procurement are met, then the Exigent Policy enables CPFP to negotiate with any qualified construction manager or general contractor currently under contract and working at the University for “Project” Work not specifically related to the ongoing contracts.

Steps in the Exigent Procurement Procedure

1. CPFP and Initiator (University Planning, Design and Construction, Facilities Operations or UCH Campus Planning, Design and Construction) determine appropriate selection and contract method for contracting with the appropriate contractor.
2. The Initiator shall provide a written recommendation memorandum in support of Exigent Procurement for the AVP & Chief Procurement Officer/Director of CPFP.

3. CPFP shall review the written recommendation for completeness and applicability to one or more of the following conditions as warranted for the use of Exigent Procurement:
 - Prevent loss of grant income or other revenue
 - Produce additional revenue or grant income
 - Ensure renovations are complete for new faculty and staff members
 - Provide for safety and health of the University Community
 - Comply with any Federal or State laws or regulations
 - Ensure timely and orderly completion of UConn 2000, 21st Century UConn Projects or Next Generation Program
4. CPFP prepares a written “request for authorization memo” for the AVP & Chief Procurement Officer to submit with the recommendation package to the EVPACFO for final disposition. The recommendation package shall include:
 - Description of exigent condition
 - Recommendation
 - Anticipated selection of contractor
 - Anticipated selection of design firm (If applicable)
 - Estimated budget
 - Delivery method
 - Recommended contracting method
5. EVPACFO approves exigent recommendation package.
 - If project total is greater than \$500,000, the EVPACFO shall submit the recommendation package to the Board of Trustees for approval use of exigent procurement and project budget.
6. Upon receipt of authorization, CPFP will initiate a Contract Approval Request (CAR).
 - Exception - In the case of an emergency due to an existing field condition, a contractor may be directed by a University Representative to conduct the work. Should the cost of the work exceed \$500,000, CPFP shall notify DAS in the case where the selected contractor is not DAS prequalified.
7. CPFP shall initiate negotiations with the selected contractor.
8. After negotiations are finalized, CPFP will recommend the exigent contract for approval and execution to the EVPACFO.
9. EVPACFO signs contract.
10. Exigent procurement documentation shall be located in CPFP document control system in appropriate.
11. CPFP shall secure required contract documentation with contract or change order to including AAP's, Bonds, Insurance, Affidavits, Certification Forms, etc.
12. CPFP shall monitor the contract for compliance.

Title	CPFP S9: Design Build Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2019
Proposed Revision Date	September 2019

CPFP S9: DESIGN BUILD POLICY

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n, Public Act 91-256 and Public Act 13-177, establishes minimum standards for Governed Sourcing Activities for design build services where an award can be made based on the “Best Value” selection method that is fully compliant with statutory requirements and policies of the University and legislation.

APPLIES TO

All covered employees, on all campuses when CPFP manages procurement of a capital project conducting a Governed Sourcing Activity per Connecticut State Statutes. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff, contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A.** CPFP will initiate and oversee the Design Build process.. CPFP will lead and facilitate these activities in the interest of compliance and economic value; it remains however the responsibility of all participants to ensure that the outcome of the process is in the best interest of the project and the University. A detailed consultation between the Initiating Department and CPFP should be held to ensure that the project procurement and contracting activities for the particular project are current, applicable and compliant.

The Design Build process shall be designed and implemented in a manner that is transparent, fair and open, does not directly cause any one prospective bidder to have an unfair advantage over another, and is as competitive as is commercially feasible. The University shall assess the proposals in accordance with the terms of the Design Build Process to determine the “Best Value” firm of interest.

- B.** The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. CPFP may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.

- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

CPFP S9.1 Design Build Procedure
Design Build Selection Template
Addendum Template
RFI Summary Log Form
Letter of Intent Template
Contract Approval Request (C.A.R.)
Approved Form of Contract

RELEVANT POLICY STATUTES

BOT Letter Dated 17 October 1997
BOT Policy Dated 23 March 2004
C.G.S. Section 10a-109a through 10a-109y
40 U.S. Code 3141-3148

POLICY HISTORY

Created 9/2019

Title	CPFP S9.1: Design Build Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2019
Proposed Revision Date	September 2019

CPFP S9.1: DESIGN BUILD PROCEDURE

Design Build Services When to Use –

The purpose of this Procedure is to establish the means by which a Design Build Contractor (DBC) can be selected and a contractual relationship established. This sourcing method may be used when:

- An opportunity exists for the University to begin construction on a project while the Design Build Contractor is completing the construction documents and finalizing the design with the University.
- An accelerated delivery is needed for a non-complex project.

Steps in the Design Build Procedure

The sourcing method for a Design Build Contractor is broken into two phases:

1. Sourcing the Bridging Architect
2. Sourcing the Design Build Contractor

Sourcing the Bridging Architect

1. The sourcing of a Bridging Architect is completed by following the Professional Services Selection (Open) Procedure ([CPFP S6.1](#)) or the On-Call Professional Services Procedure (CPFP S7.1). The estimated design cost will determine which sourcing method can be used.
2. Once the Bridging Architect is contracted, they develop preliminary project design documents or “bridging documents.” The construction documents are then completed by the Design Build Contractor.

Sourcing the Design Build Contractor

1. The Initiator, submits a Request for Solicitation Form and provides the scope of work, project description, estimated construction budget, ,schedule, and other project related information to CPFP. The selection of a Design Build Contractor follows the Trade/General Contractor sourcing method and requires a Prequalification Procedure([CPFP S1.1](#)) and an Invitation to Bid for Construction Procedure (CPFP S2.1).

Title	CPFP S10: Supplemental Policy
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10: SUPPLEMENTAL POLICY

REASON FOR POLICY

This policy, in accordance with CT General Statute 10a-109n (c)(3), establishes a supportive series of procedures that are utilized in procurement construction and professional services at the University.

APPLIES TO

All covered employees, on all campuses when CPCA manages procurement of a capital project conducting a Governed Sourcing Activity. Covered employees, for the purpose of this policy, includes all persons carrying out duties, whether paid or unpaid, on behalf of the university. This includes full-time and part-time faculty; professional, non-professional, and scientific staff; contract employees, graduate assistants and postdoctoral scholars.

POLICY STATEMENT

- A. CPFP will utilize the adjunct procedures to oversee the entire sourcing process. CPFP will lead and facilitate these activities.
- B. The Executive Vice President for Administration and Chief Financial Officer shall be informed of any governed Sourcing Activity that is conducted in a manner inconsistent with this policy. Procurement Services may deviate from, or allow deviation from, these Procedures only with the prior written consent of the Executive Vice President who has oversight of Procurement Services.
- C. Nothing in these policies is intended to bar the University from conducting a Sourcing Activity with a greater degree of competition than is required under the State Statutes (and Federal Regulations, when applicable).

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS

RELEVANT POLICY STATUTES

BOT Policy Dated 23 March 2004

C.G.S. Section 10a-109n

C.G.S. Section 4a-100

Public Act 06-134

CMOC Letter Dated 6 November 2013

POLICY HISTORY

CPCA Authority created 2008

Modified 05/2019

DRAFT

Title	CPFP S10.1: Public Advertisement Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.1: PUBLIC ADVERTISEMENT PROCEDURE

Public Advertising When to Use –

The Public Advertisement Procedure will be adhered to in accordance with CT General Statute 10a-109n(c)(2)(A) and Executive Order 3 (4), dated December 15, 2004. This is to increase transparency into the procurement process, as well as, to promote fair and open competition. This procedure is required for all construction related solicitations, including Requests for Prequalification, Open solicitations and Invitations to Bid, and Request for Proposals, regardless of construction cost.

Steps in the Public Advertisement Procedure

1. CPFP will post the solicitation on the following websites:
 - Capital Projects and Facilities Procurement
 - CT DAS Contracting Portal
 - Other websites and print sources that may be deemed appropriate
2. Release date of solicitation and public advertisement/website date are to be the same date.
 - If this is an Invitation to Bid or Request for Proposal solicitation to a previously prequalified pool, than the posting shall include a document listing the prequalified contractor(s) that are eligible to submit a bid/proposal.

Title	CPFP S10.2: Minor Bid Irregularity Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.2: MINOR BID IRREGULARITY PROCEDURE

In accordance with CT Gen Stat §4b-95(c), the University may waive a minor irregularity in a bid which are considered in the best interest of the University. A minor informality or irregularity is one that is a matter of form and not of substance. It also pertains to some immaterial defect in a bid or variation of a bid from the exact requirements of the solicitation that can be corrected or waived without being prejudicial to other bidders.

Minor Bid Irregularities Procedure

1. If an irregularity is discovered in a Prequalification Submission, Bid, or Proposal, the CPFP Buyer shall review the submission with the CPFP Director.
2. CPFP may waive any such minor irregularity and proceed with the Prequalification Submission, Bid, or Proposal as submitted.
3. When a minor irregularity is waived CPFP shall provide in writing the reasons for any such waiver and place a copy of such documentation in the project file.

Title	CPFP S10.3: Bid/Proposal Protest Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.3: BID/PROPOSAL PROTEST PROCEDURE

An Interested Party may protest the contents of a Request for Proposal (“proposal”)or Invitation to Bid (“bid”)(and/or other elements of the sourcing process, either as a “Pre-Award Protest” or a “Post-Award Protest.” The sole grounds of any such protest shall be that the protestor was Materially Prejudiced (as defined hereinafter) as a result of UConn’s failure to comply with (1) applicable law, (2) UConn Policies, and/or (3) UConn Procedures.

Bid/Protest Procedure

1. A Pre-Award Protest must be submitted no less than two (2) business days prior to the due date for the bid/proposal. . A Post-Award Protest must be submitted no more than two (2) business days from the date the bid/proposal results are posted on the CPFP website.
2. Protests will be held for three (3) business days pending receipt of the Review Fee (as defined hereinafter). If the Review Fee for a protest is not properly received by the University within such three (3) day period, the protest will not be considered. The Review Fee shall be mailed to the CPFP Buyer listed in the solicitation. The University’s timestamp shall be determinative.
3. A protest must include:
 - 3.1. Name, address, e-mail address, fax and telephone numbers of the filer.
 - 3.2. Solicitation or contract number.
 - 3.3. Detailed statement of the legal and factual grounds for the dispute, including (a) the specific law or University Policy/Procedure with which the University is alleged to have failed to comply with and (b) the manner in which such failure has materially prejudiced the protesting Interested Party.
 - 3.4. Copies of relevant documents.
 - 3.5. Explicit request for a ruling by the University.
 - 3.6. Statement as to the form of relief requested.
 - 3.7. Information establishing that the filer is an Interested Party for the purpose hereof.
 - 3.8. Information establishing the timeliness of the dispute.

4. A protest must be submitted by electronic mail to the CFPF Buyer listed in the solicitation. For the purposes of the deadlines stated in this procedure, the timestamp assigned by the University's email system shall be determinative. Improperly or untimely submitted protests shall be not be considered.
5. The Compliance Committee will consider all information the Compliance Committee deems relevant to the protest and shall issue a determination within thirty (30) business days of receipt of the Review Fee; provided, however, that such period may be extended for an additional thirty (30) business days with notice to the protestor. The Compliance Committee may, in its discretion, suspend, modify, or cancel the disputed sourcing action prior to issuance of a formal determination.
6. In the event the Compliance Committee determines that the protestor was Materially Prejudiced (as defined hereinafter) as a result of the University's failure to comply with (1) applicable law, (2) University Policies, and/or (3) University Procedures, the Compliance Committee shall recommend such remedy as would place the protestor in as near a state as would be feasible had the Material Prejudice not occurred. However, absent intentional misconduct on behalf of an employee of the University, such remedy shall not penalize the University to a commercially unreasonable degree. The Compliance Committee's recommendation shall be reviewed by [____], who shall make a final determination as to whether, and the extent to which, such recommendation will be implemented.
7. Determinations of the Compliance Committee shall be final and not subject to appeal.
8. For the purposes of this procedure, an "Interested Party" is: (1) for a pre-award protest, any individual or entity submitting a bid or proposal in response to the sourcing activity in question and (2) for a post-award protest, any individual or entity that submitted a responsive bid or proposal in response to the sourcing activity.
9. For the purposes of this procedure, "Review Fee" is a certified check for [\$100.00] made payable to the "University of Connecticut."
10. For the purposes of this procedure, the "Compliance Committee" is composed of three members. The Executive Vice President & Chief Financial Committee or his/her designee, an Attorney from the General Councils Office and a designee from the Office of the Provost.
11. For the purposes of this procedure, an act or omission is deemed to have "Materially Prejudiced" an Interested Party if such act or omission directly caused (in the case of a Pre-Award Protest) or would have directly caused (in the case of a Post-Award Protest) such Interested Party to have a lesser opportunity to secure the award of a Contract than other bidders/proposers.

Title	CPFP S10.4: “Automatic Out” Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.4: “AUTOMATIC OUT” PROCEDURE

An “Automatic Out” question is one that, per statute or regulation, would disqualify an Applicant from prequalifying. These questions are included as part of the construction prequalification process and the responses are reviewed by CPFP and the Evaluation Committee.

List of Questions

1. If the firm is not DAS pre-qualified in the categories required at the time the Request for Qualification is due.
A copy of DAS Prequalification Certificate should be included with Application.
Reference: C.G.S. §10a-109n(c)(2).
2. If the firm does not have a current license for the particular trade to be performed.
Copies of current licenses, registrations, and/or certifications from the State of Connecticut should be included with Application.
Reference: Title 20: Professional and Occupational Licensing, Certification, Title Protection and Registration. Examining Boards.
3. If the project is a “threshold” building under C.G.S. §29-276b, if the firm does not have a license or certificate of registration as required under the provisions of chapter 539 (Operators of Cranes or Hoisting Equipment) or a registration from the Department of Consumer Protection in accordance with the provisions of §20-341gg (Registration of major contractors).
A copy of current license, registration, and/or certification from the Department of Consumer Protection should be included with Application.
Reference: C.G.S. §29-276b
Pursuant to C.G.S. §29-276b, the term “threshold limit” shall apply to any structure or addition thereto (1) having four stories, (2) sixty feet in height, (3) with a clear span of one hundred fifty feet in width, (4) containing one hundred fifty thousand square feet of total gross floor area, or (5) with an occupancy of one thousand persons.

4. Does the firm have a Certificate of Existence or Authorization to do business in Connecticut from the Secretary of the State?

A copy of current Certificate of Existence or Authorization should be included with Application.

Reference: C.G.S. §33-615

5. If the firm has received one or more criminal convictions related to the injury or death of any employee in the three (3) year period preceding the date of this Application.

Details of such violations should be included in Tab 6.

Reference: C.G.S. §31-57b.

6. If within the last five (5) years the applicant has ever been barred, suspended, disqualified or otherwise precluded from bidding or offering a proposal on contracts by any municipality or any agency of the State of Connecticut, other states, or the Federal Government.

Details of such debarment, suspension, or disqualification should be included in Tab 7.

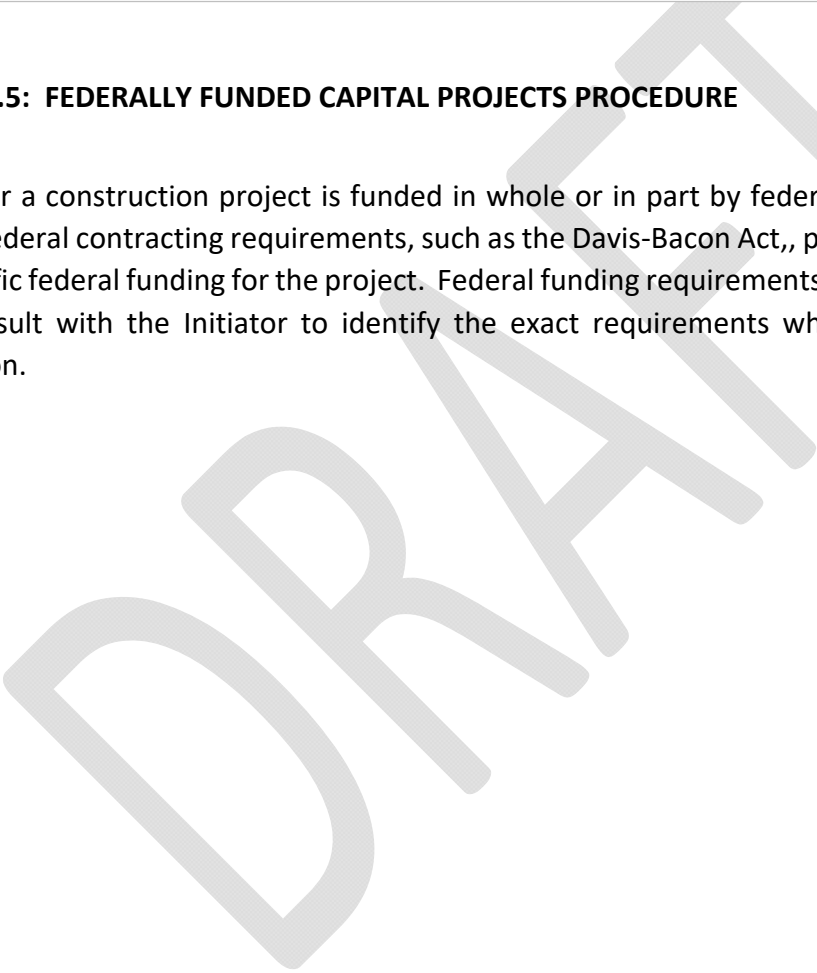
Reference: No statutory reference.

DRAFT

Title	CPFP S10.5: Federally Funded Capital Projects Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.5: FEDERALLY FUNDED CAPITAL PROJECTS PROCEDURE

Whenever a construction project is funded in whole or in part by federal funds, the CPFP Buyer must include federal contracting requirements, such as the Davis-Bacon Act,, pursuant to the requirements of the specific federal funding for the project. Federal funding requirements vary widely, so the CPFP Buyer shall consult with the Initiator to identify the exact requirements which are to be included in the solicitation.



Title	CPFP S10.6: Tie Bids Procedure Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.6: TIE BIDS PROCEDURE

This procedure is used to determine the low bidder in the case of a “tie bid.” A tie bid exists when the total cost of two or more proposals for a construction project are identical.

If a tie bid exists

1. CPFP shall review the proposals to ensure that all bidders have submitted responsive proposals.
2. When evaluating the cost, the total cost can be carried out to two decimal points to break a tie.
3. If a tie still exists, after requesting and receiving approval from the Director of CPFP, the lowest bidder shall be determined by “flipping a coin” during a specified date and time.
 - 3.1. The CPFP Buyer shall inform the bidders (with the tie bids) of the current scenario and invite them to witness the “coin flip” during the specified date and time.
 - 3.2. In addition to the bidders (with the tie bids), at least one other CPFP team member shall be present to witness the “coin flip.”
 - 3.3. During the “coin flip,” there shall be a sign-in sheet which lists the bidders, witnesses, and which bidder is assigned “heads” and which bidder is assigned “tails.”
 - 3.4. “Heads” shall be assigned to the bidder which company name is alphabetically first. The other bidder will be assigned “tails.”
 - 3.5. The CPFP Buyer shall flip a coin allowing the coin to come to rest on the floor.
 - 3.6. If “heads” is up, the bidder whose company name is alphabetically first is declared the low bidder. If “tails” is up, the other bidder is declared the low bidder.
4. Any process used to break a tie bid must be documented in the Summary Tabulation document. The witnesses must sign and date the document and provide their contact information. The CPFP Buyer shall also sign and date the form.

Title	CPFP S10.7: Unauthorized Purchase Procedure
Authors	Capital Projects & Facilities Procurement
Effective Date	September 2019
Applies To	Faculty, Staff and Third Party Consultants
Last Reviewed Date	September 2008
Proposed Revision Date	September 2019

CPFP S10.7: UNAUTHORIZED PURCHASES PROCEDURE

Any employee who commits the University to a purchase, service, lease, or other arrangement without following the CPFP sourcing policies and procedures creates an unauthorized purchase. The failure by the employee to follow these policies and procedures constitutes a purchase (sourcing) procedure violation and may be classified by auditors as a “finding” to the University. For information related to this procedure see Purchasing Policies and Procedures, Unauthorized Purchases ([PS2015-S1.3](#)).

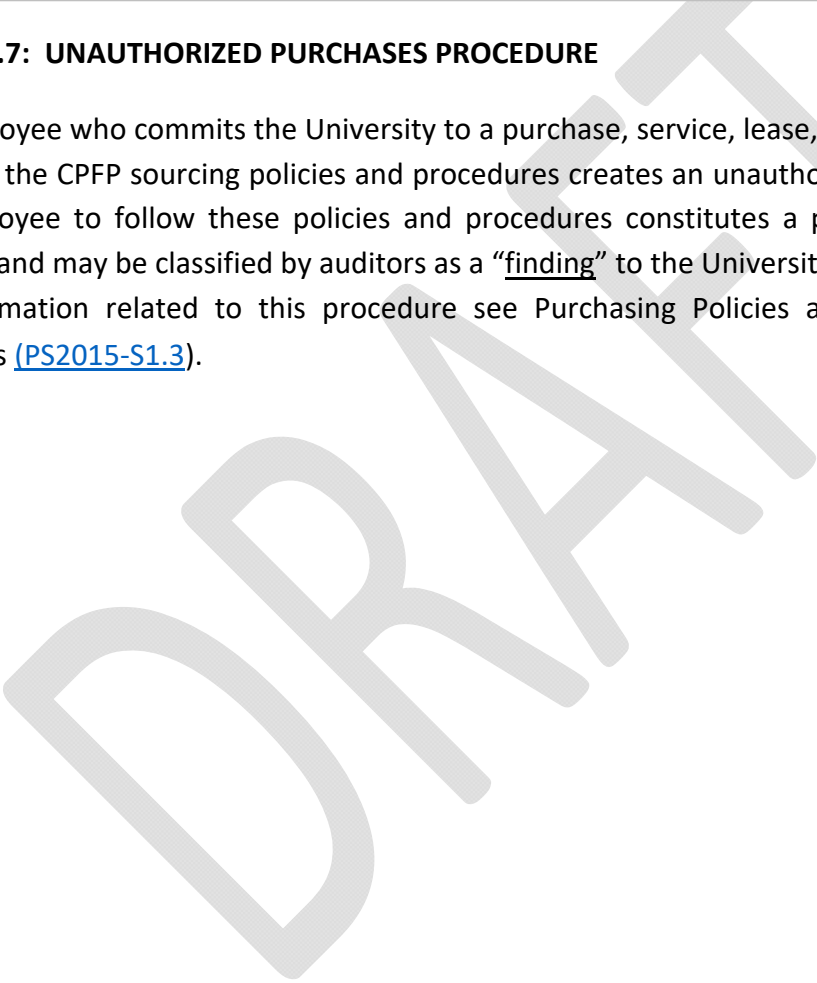


Figure 2 – Design Bid Build Procurement Flowchart

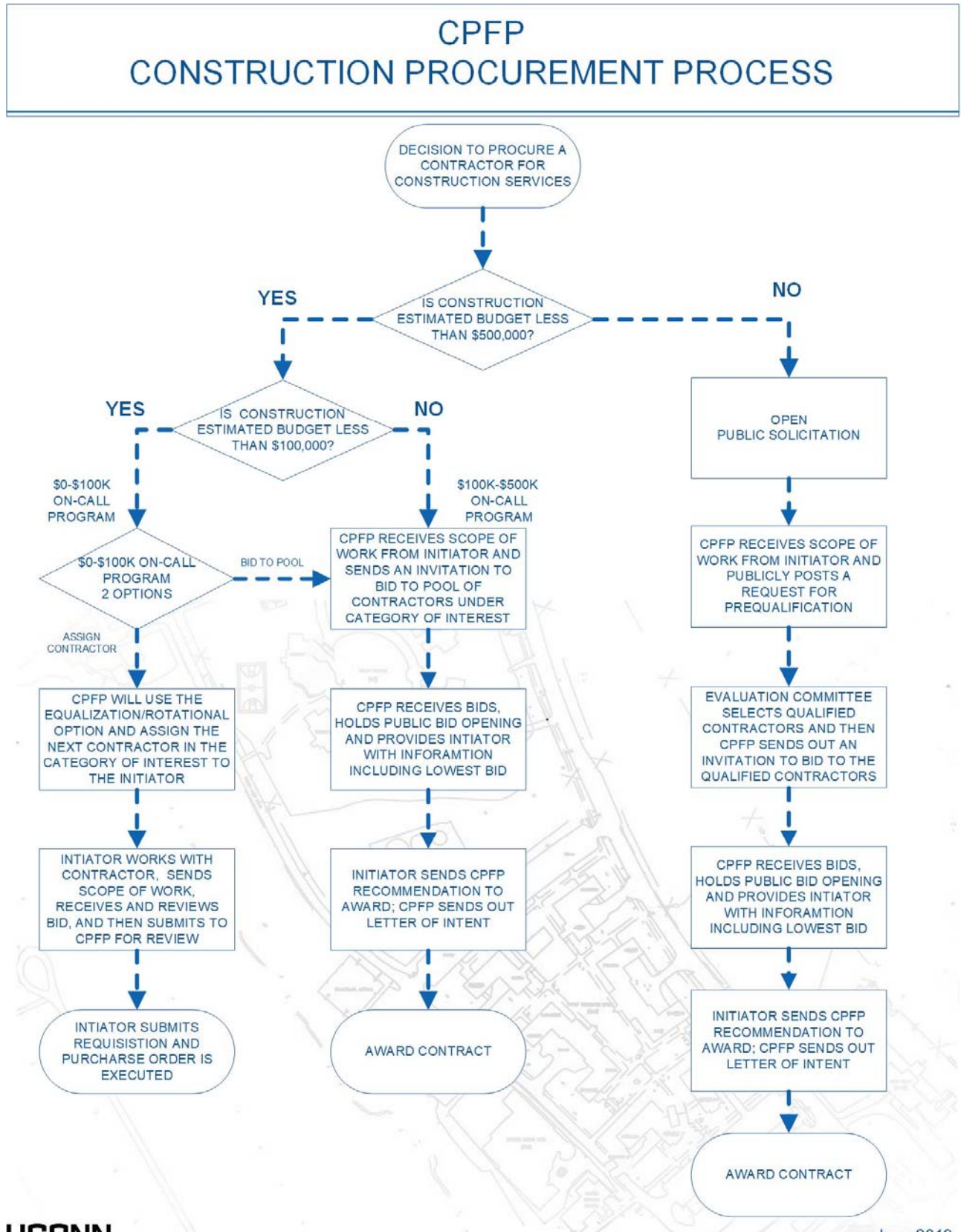


Figure 3 – Professional Services Procurement Flowchart

