



CONNECTICUT  
**STATE HISTORIC PRESERVATION OFFICE**  
INVESTING IN PRESERVATION SINCE 1955

## **Historic Restoration Fund Grant**

*Bidding, Contracting, and Construction Guidelines*

2018

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## Procurement Summary

Congratulations on being awarded a Historic Restoration Fund grant! The following outlines how to bid your proposed project according to the Department of Economic and Community Development procurement requirements. Please read the entire document before starting the bidding process. For additional information, visit:

[www.ct.gov/ecd/lib/ecd/2017\\_Bidding%2C\\_Contracting%2C\\_&\\_Construction\\_Procedures.pdf](http://www.ct.gov/ecd/lib/ecd/2017_Bidding%2C_Contracting%2C_&_Construction_Procedures.pdf).

## Procurement Administration

1. Invitation to bid package submitted to SHPO for review and approval before advertised
2. Grantee advertises the project
3. Grantee manages the bid process
4. Bid results submitted to SHPO for review and approval before a contractor is chosen
5. Grantee chooses contractor
6. Project contract submitted to SHPO for review and approval before executed
7. Construction starts

*Each of these steps is described in more detail below.*

### 1. Invitation to Bid

A draft invitation to bid package should be submitted to SHPO for review and approval at least two weeks prior to advertisement. The project should go out to bid within 120 days of contract execution. The bid package must include:

- A. Invitation to bid
  - Required language is included in red in the optional template invitation to bid included as Appendix A.
- B. Construction plans and specifications
  - All construction plans and specifications must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties.
- C. Commission on Human Rights and Opportunities (CHRO)
  - All contractors must comply with 4a-60 and 4a-60a of the Connecticut General Statutes (C.G.S.) and Sections 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which require them to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials."
  - To that end, all contractors must complete, sign, and return the *CHRO Contract Compliance Regulations Notification to Bidders* form to the grantee at the time of bid opening. Bids not including this form should be considered incomplete and rejected. This form can be found here:  
<http://www.ct.gov/chro/lib/chro/pdf/notificationtobidders.pdf>.
  - Municipal applicants must also adhere to the set-aside requirements outlined in Appendix B.

- D. Construction compliance certification forms, *if applicable*
- If an historic architect and engineer is being used, he/she should complete the construction compliance and certification forms found in Appendix C.

*All documents should be submitted as a single package, mailed to the SHPO (not emailed).*

## 2. Project Advertisement

Requirements for project advertisement differ based on total project cost:

- \$10,000 or less – applicant can directly solicit a contractor
- \$10,000 to \$100,000 – applicant can solicit contractors via letter, fax, or email and must receive at least three written bids
- More than \$100,000 – applicant is required to publically advertise the project
  - Non-profits
    - Must advertise in the public notices section of one of the following newspapers: Hartford Courant, Waterbury Republican, New Haven Register, Bridgeport Post, Norwich Bulletin, or Stamford Advocate. The notice must run for at least two days.
    - Have the option to also advertise on the DAS State Contracting Portal if at least 60% of the organization's/municipality's total budget comes from state and/or federal funding: <http://das.ct.gov/Portal>.
  - Municipalities
    - Must advertise on the DAS State Contracting Portal for a minimum of five business days: <http://das.ct.gov/Portal>.
    - Have the option to also advertise in the abovementioned newspapers. The notice must run for at least two days.
  - To supplement the above requirements, applicants can also run a project notice in the Public Notices section of a local newspaper or in trade media such as F.W. Dodge Reports, New England Construction News/CDC News, The Blue Book
  - The same language is required in the advertisement as in the invitation to bid (see 1. A. above).

## 3. Managing the Bid Process

### Sign-up sheet

- At the pre-bid meeting, grantees should require all contractors to sign in and supply their name, company, and email address.

### Contractor Inquiries

- Any written information adding to or clarifying the bid documents – including communications with individual contractors – must be distributed to all potential bidders.

## **Bid Submission**

- Grantees should supply contractors with a receipt of bid delivery that includes the date, time, and signatures of both parties. Late bids should not be accepted.

## **4. Bid Results**

Bid results must be sent to SHPO for review before a contractor is selected. The following information is required in the bid results package, unless otherwise noted:

- A. Completed bid tabulation (see Appendix F for guidance)
- B. Copies of 3 lowest bids
- C. Signed copies of the CHRO form from the 3 lowest bidders
- D. Copies of bonds/certified checks (5% minimum) from the 3 lowest bids if the contract, or subcontracts, exceed \$50,000
- E. Copies of legal advertisement
- F. Copies of final addendums, *if applicable*
- G. Letter from historic architect recommending contractor, *if applicable*
- H. Draft letter from grantee awarding the bid

*All documents should be submitted as a single package, mailed to the SHPO (not emailed).*

## **5. Choosing a Contractor**

The grantee is required to choose the lowest responsible and qualified bidder. “Lowest responsible and qualified bidder” means the bidder whose bid is the lowest of those bidders possessing the skill, ability, and integrity necessary to faithfully perform the work.

Should the grantee reject the lowest bidder as not responsible and/or not qualified, the grantee should include in their bid results package (see 4. above) the reasons for the rejection. The Commissioner of DECD shall at his/her discretion either approve or deny the grantee’s rejection. The grantee agrees to hold DECD harmless from any and all claims by rejected bidders.

If less than three bids are received, but proper procurement is followed, the grantee does not need to re-bid, although they have the choice to do so.

The chosen contractor must be able to provide the appropriate bonds and insurance levels (see 6. C. below)

## **6. Executing a Contract**

### **A. Before contract execution:**

- The contract between the grantee and the chosen contractor must include the following:

- “All of the terms, conditions and specifications of Invitation to Bid numbered/titled [NUMBER or NAME DETERMINED BY GRANTEE] are made a part of this agreement by reference.”
- “The Contract documents shall consist of this agreement and all of the terms conditions and specifications of State of Connecticut Contract # [NUMBER PROVIDED BY SHPO], which contract is made a part of this agreement by reference as if fully set forth herein.”
- “All work must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties and be approved by the Connecticut State Historic Preservation Office.”
- A scope of work and performance period that is consistent with the HRF grant application and contract.

**B. After contract execution:**

- The grantee must submit to SHPO the following documentation:
  - Fully executed contract
  - Bonds/certified checks from the contractor according to the following schedule:
    - *Performance Bond* for contracts exceeding \$25,000 or a subcontract exceeding \$50,000
    - *Labor & Material Payment Bond* for contracts exceeding \$100,000
    - If a construction manager is employed, each subcontract exceeding \$100,000 shall be bonded or a certified check required
  - Demonstration of contractor’s insurance, which must include Commercial General Liability (\$1M per occurrence), General Aggregate (\$2M), and Umbrella Liability (if it is provided to the grantee)
    - The “Hold Harmless” Indemnification endorsement of the insurance shall include the interest of the municipality and the State of Connecticut. The Contractor and Subcontractors and other interests shall be so named
  - Notice to proceed sent by grantee to contractor, *if applicable*

*All documents should be submitted as a single package, mailed to the SHPO (not emailed).*

<b>7. Starting Construction</b>
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**Signage:**

- The grantee is required to construct a sign according to the templates found in Appendix C and D. Please note there are different requirements for religious institutions. A Microsoft Publisher template for the sign can also be provided upon request.
- The project sign shall be no less than two feet high and four feet wide.
- It must be prominently displayed throughout the duration of the grant project in a location which is clearly visible from the principle street adjacent to the project site and should not be attached to the building.
- Grantees can use up to \$200 in grant funding to help defray the cost of the sign.

**Change Orders:**

- All change orders must be submitted to SHPO for pre-approval. Submittals must include a description of the proposed change, relevant construction drawings and specifications, cost breakdown, justification for the change, and relevant photographs.
- Any changes in the scope of work that is not pre-approved by SHPO will not be eligible toward reimbursement and may jeopardize grant funding if the changes do not meet the Secretary of the Interior's Standards for the Treatment of Historic Properties.

## Additional Considerations

**Grantee Responsibility:**

- SHPO will review project documents to ensure consistency with department and program goals but it is the responsibility of the grantee to ensure that the documents are technically correct, complete and, where necessary, protect the grantee and the State of Connecticut from any and all claims.
- It is the grantee's responsibility to comply with all relevant local, state and federal regulations, and comply with all standard contracting practices to safeguard the interests of the client and the state including, but not limited to, contractor performance, security, insurance, permits, and inspections.
- Members and relations of the governing body and/or staff of the grantee shall be prohibited from receiving contracts for material or services related to the project.

**Pre-construction Requirements:**

- Floodplains
  - If the project proposes an activity within or affecting a floodplain or that impacts storm drainage facilities, SHPO must submit a Flood Management Certification to the Department of Energy and Environmental Protection (DEEP) per C.G.S. 25-68b through 25-68h. The grantee will be responsible for preparing the application. When Certification is required, it must be approved prior to the completion of the bid package. For more information, visit: [www.ct.gov/ecd/cwp/view.asp?a=4934&q=591416](http://www.ct.gov/ecd/cwp/view.asp?a=4934&q=591416)
- Hazardous Materials
  - It is the grantee's responsibility to investigate the possible existence of hazardous materials and evaluate their impact on the proposed project. Hazardous materials include, but are not limited to, lead-based paint, asbestos containing materials, and PCBs.
  - If hazardous materials are present on the project site or in existing buildings, appropriate mitigation must be incorporated into the scope of work, plans, and specifications. Any mitigation must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties.

**Construction Managers versus General Contractors:**

- The grantee may employ a construction manager, but if this management method is used, each subcontract must be bid employing the same procedures outlined above.

**Prequalifying Bidders:**

- Municipal contracts for the construction or renovation of a public works project, where the estimated value is \$500,000 or greater, may need to comply with C.G.S. Sec. 4b-91. In such cases the contractors must be pre-qualified by the State of Connecticut Department of Administrative Services (DAS).

## Appendix A: Invitation to Bid

The following invitation to bid template is optional, with the exception of the language in *red*.

**Invitation to Bid**  
[NUMBER OR NAME PROJECT]  
[INSERT ADDRESS]

The owners of [INSERT ADDRESS] will receive bids in triplicate on [INSERT DATE AND TIME. *Note: It is recommended that the bid remains open for at least 21 days*] at [INSERT ADDRESS]. All sealed bids must be received within the proper date and time. Bids received after the posted cutoff date and time will not be accepted or opened. *Bidders may be present at the opening of bids on [INSERT DATE AND TIME AND LOCATION].*

Bids will be received for furnishing all labor, materials, tools and equipment necessary to [PROJECT DESCRIPTION], in accordance with the scope of work included as [INSERT APPENDIX #/LETTER]. Bid documents, including plans and specifications, are available upon request by contacting [INSERT NAME AND EMAIL AND/OR PHONE NUMBER].

The successful bidder will have [INSERT TIME FRAME] to complete the project, commencing [INSERT DATE] with completion by [INSERT DATE]. A proposed construction schedule should be submitted with the bid.

*There will be a mandatory pre-bid meeting at [INSERT DATE AND TIME] at [INSERT ADDRESS]. The meeting will include a walkthrough of the site and a review of all of the contract documents. All questions pertaining to this Invitation to Bid must be submitted in writing to [INSERT NAME AND EMAIL AND/OR PHONE NUMBER] by [INSERT DATE AND TIME]. The last day for questions is [INSERT DATE AND TIME] and the last addenda will be distributed [INSERT DATE AND TIME]. (Note: It is common for last questions to be due no later than seven days before the bid closing and the last addenda to be distributed no later than five days before the bid closing.)*

The owner reserves the right to reject any or all bids and to waive any informalities in bidding. All bid documents must be complete when submitted; incomplete bids will be disqualified. No bid shall be withdrawn for a period of ninety days subsequent to the opening of bids – or until the next workday immediately following said period if such period ends on a weekend or State holiday – without the consent of the owner. The contract, if awarded, will be awarded in the sole discretion of the owner to the lowest responsible and qualified bidder, subject to the owner’s right to reject any and all bids. The “lowest responsible and qualified bidder” is defined as the bidder whose bid is the lowest of those bidders possessing the skill, ability, and integrity necessary to faithfully perform the work, in the sole judgement of the owner. The owner reserves the right to consider as unqualified any bidder whose references, as submitted by the bidder with their proposal, do not confirm the proposer’s qualifications to do the work.

*Partial funding for this project is provided by Connecticut’s Historic Restoration Fund, which is funded by the Connecticut Community Investment Act and administered by the Connecticut State Historic Preservation Office (CT SHPO) within the Department of Economic and Community*

Development. All work must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties and be approved by the CT SHPO.

The successful bidder along with the subcontractors shall make a good faith effort, to the greatest extent feasible, to employ and contract small and minority contractors as defined by the State of Connecticut with regards to small and minority business enterprises. In compliance with the State of Connecticut regulations, the bidder must be an affirmative Action/Equal Opportunity Employer.

[INSERT ORGANIZATION NAME] is an Affirmative Action/Equal Opportunity Employer. Minority/Women's Business Enterprises are encouraged to apply. (**Note:** Municipalities should see Appendix B for language regarding set-aside requirements).

**Required Documents in Bid Package:**

- Proposed scope of work
- References for previous historic preservation projects
- Line item budget and total estimated cost
- Proposed construction schedule
- **CHRO Contract Compliance Regulations Notification to Bidders** (see 1. C. above)
- (**Bid bond**, if applicable (see 4. D. above))

## Appendix B: Set-aside Requirements

### **Municipal public works contracts valued at over \$50,000**

- State law requires the contractor, general contractor, or construction manager at risk to set a goal of twenty-five per cent (25%) of the state-funded portion of the contract for award to eligible subcontractors holding current small business enterprise (SBE) certification from the DAS under the provisions of C.G.S. 4a-60g. Of the portion of contracts set aside for SBEs, a goal of twenty-five percent (25%) (or 6.25% of the value of the entire contract funded by the state) must be set aside for awards to eligible contractors holding current minority business enterprise certification (i.e.: DAS certified Minority (“MBE”), Women (“WBE”) and/or Disabled (“DisBE”) owned businesses). The contractor, general contractor, construction manager at risk must make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such projects.

### **Municipal public works projects receiving between \$50,000 and \$500,000 in state funding**

- An Affirmative Action Plan or Set Aside plan must be filed with the Commission on Human Rights and Opportunities (CHRO) within 30 days following the contract award notice (Note: Please contact the Contract Compliance Unit at 860-541-4709 to determine which plan is required).

### **If the above applies, see below for the language to be used when advertising the project:**

- Bid Advertisement Language (for DAS Contracting Portal Bid Notice)
  - This contract is subject to state contract compliance requirements, including nondiscrimination statutes and set-aside requirements. State law requires a minimum of twenty-five (25%) percent of the state-funded portion of the contract be set aside for award to subcontractors holding current certification from the Connecticut Department of Administrative Services. The contractor must demonstrate good faith effort to meet the 25% set-aside goals.
- Bid Notice Language (for print media)
  - This contract is subject to state set-aside and contract compliance requirements.
- Bid Language (for bid documents)
  - The contractor who is selected to perform this State project must comply with CONN. GEN. STAT. §§ 4a-60, 4a-60a, 4a-60g, and 46a-68b through 46a-68f, inclusive, as amended by June 2015 Special Session Public Act 15-5. State law requires a minimum of twenty-five (25%) percent of the state-funded portion of the contract for award to subcontractors holding current certification from the Connecticut Department of Administrative Services (“DAS”) under the provisions of CONN. GEN. STAT. § 4a-60g. (25% of the work with DAS certified Small and Minority owned businesses and 25% of that work with DAS certified Minority, Women and/or Disabled owned businesses). The contractor must demonstrate good faith effort to meet the 25% set aside goals. For municipal public works contracts and quasi-public agency projects, the contractor must file a written or electronic non-discrimination certification with the Commission on Human Rights and Opportunities. Forms can be found at: [www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav\\_GID=1806](http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav_GID=1806)

**Appendix C: Construction Compliance Certification Forms**

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

GRANTEE: \_\_\_\_\_

PROJECT NAME AND MUNICIPALITY: \_\_\_\_\_

\_\_\_\_\_

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

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

Signed \_\_\_\_\_

Title: \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_ Date \_\_\_\_\_

## CONSTRUCTION CONTRACT AND MONITORING COMPLIANCE CERTIFICATION

GRANTEE: \_\_\_\_\_

PROJECT NAME AND MUNICIPALITY: \_\_\_\_\_

\_\_\_\_\_

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

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

Signed \_\_\_\_\_

Title: \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_ Date \_\_\_\_\_

**Appendix D: Signage**

Department of Economic and  
Community Development

**Connecticut**  
*still revolutionary*

*[PLACE HERE names of project sponsors,  
trustees, architect, contractor, and/or  
others you would like to recognize]*

**PRESERVATION MEANS  
JOBS IN YOUR COMMUNITY**

The rehabilitation of [HISTORIC PROPERTY NAME], which is listed on the [STATE OR NATIONAL REGISTER OF HISTORIC PLACES], is funded by a matching grant from the Connecticut Community Investment Act’s Historic Restoration Fund.

**State of Connecticut**

The Honorable  
**Dannel P. Malloy**  
*Governor*

**ADMINISTERED BY:**

State Historic Preservation Office  
Department of Economic and Community Development

*Catherine Smith, Commissioner*

**Appendix E: Signage for Religious Institutions**

Department of Economic and Community Development

**Connecticut**  
*still revolutionary*

*[PLACE HERE names of project sponsors, trustees, architect, contractor, and/or others you would like to recognize]*

**PRESERVATION MEANS  
JOBS IN YOUR COMMUNITY**

The rehabilitation of [HISTORIC PROPERTY NAME], which is listed on the [STATE OR NATIONAL REGISTER OF HISTORIC PLACES], is funded by a matching grant from the Connecticut Community Investment Act’s Historic Restoration Fund.

The State Historic Preservation Office has awarded a grant-in aid for this project on the basis that the work funded is primarily secular in nature, both in intent and effect. The State Historic Preservation Office’s involvement in this project is not meant and shall not be taken to mean that the Office or the State of Connecticut supports or intends to promote the religious activities of the Church.

**State of Connecticut**

The Honorable  
**Dannel P. Malloy**  
*Governor*

**ADMINISTERED BY:**

State Historic Preservation Office  
Department of Economic and Community Development

*Catherine Smith, Commissioner*

## Appendix F: Bid Tabulation

A bid tabulation serves to summarize and help analyze the bids received. The following is an optional template to use as guidance.

Contractor Name	Bid Amount	Attended Pre-bid Meeting	Bid Received on Time	CHRO Form Submitted	Bid Bond Submitted (if applicable)	[INSERT other requirements as outlined in the invitation to bid*]	[INSERT other requirements as outlined in the invitation to bid*]	Etc.
Contractor X	\$100,000	Yes	Yes	Yes	Yes			
Contractor Y	\$90,000	Yes	Yes	No	No			
Etc.								

\* Per the optional Invitation to Bid template (see Appendix A), this might include references, historic preservation experiences, line item budget, or construction schedule consistent with owner’s preferred schedule.