

# FORSYTH COUNTY

## BOARD OF COMMISSIONERS

MEETING DATE: JANUARY 12, 2015 AGENDA ITEM NUMBER: 11

**SUBJECT: RESOLUTION ADOPTING A POLICY, ASSESSMENT TOOL AND CRITERIA FOR THE PREQUALIFICATION OF BIDDERS FOR CONSTRUCTION AND/OR REPAIR PROJECTS**

**COUNTY MANAGER'S RECOMMENDATION OR COMMENTS:** Recommend Approval

**SUMMARY OF INFORMATION:**

See attached

ATTACHMENTS:  yes  no

SIGNATURE: *J. Audrey Cato, Jr. /cdh* DATE: January 7, 2015  
COUNTY MANAGER

**RESOLUTION ADOPTING A POLICY, ASSESSMENT TOOL AND CRITERIA  
FOR THE PREQUALIFICATION OF BIDDERS FOR  
CONSTRUCTION AND/OR REPAIR PROJECTS**

**WHEREAS**, prequalification is a process of evaluating and determining whether potential bidders have the skill, judgment, integrity, sufficient financial resources, and ability necessary for the faithful performance of a contract for construction or repair work; and

**WHEREAS**, N.C.G.S. 143-135.8 authorizes governmental entities to prequalify bidders for construction or repair work projects when using certain construction methods when the governing body adopts an objective prequalification policy applicable to all construction or repair work prior to the advertisement of the contract for which the governmental entity intends to prequalify bidders, and when the governmental entity has adopted the assessment tool and criteria for that specific project, which must include the prequalification scoring values and minimum required score for prequalification on that project; and

**WHEREAS**, N.C.G.S. 143-135.8 further requires the objective prequalification policy meet all of the following criteria:

- (1) Must be uniform, consistent, and transparent in its application to all bidders;
- (2) Must allow all bidders who meet the prequalification criteria to be prequalified to bid on the construction or repair work project;
- (3) Clearly state the prequalification criteria, which must comply with all of the following:
  - a. Be rationally related to construction or repair work;
  - b. Not require that the bidder has previously been awarded a construction or repair project by the governmental entity;
  - c. Permit bidders to submit history or experience with projects of similar size, scope, or complexity;
- (4) Clearly state the assessment process of the criteria to be used;
- (5) Establish a process for a denied bidder to protest to the governmental entity denial of prequalification, which process shall be completed prior to the opening of bids under G.S. 143-129(b) and which allows sufficient time for a bidder subsequently prequalified pursuant to a protest to submit a bid on the contract for which the bidder is subsequently prequalified;
- (6) Outline a process by which the basis for denial of prequalification will be communicated in writing, upon request, to a bidder who is denied prequalification; and

**WHEREAS**, if the governmental entity opts to prequalify bidders, bids submitted by any bidder not prequalified shall be deemed nonresponsive, except for bidders initially denied prequalification that are subsequently prequalified pursuant to a project under the governmental entity's prequalification policy; and

**WHEREAS**, Forsyth County intends to use a construction manager at risk for some future projects and N.C.G.S. 143-128.1 outlines how the construction manager at risk must use the prequalification process; and

**WHEREAS**, the General Services Department, Design and Construction Manager recommend adoption of the attached prequalification policy and Assessment Tool and Criteria for Construction and/or Repair Projects;

**NOW, THEREFORE, BE IT RESOLVED** that the Forsyth County Board of Commissioners hereby adopts the attached Policy To Prequalify Bidders For Construction and/or Repair Projects and the Assessment Tool and Criteria, subject to a pre-audit certificate thereon by the Chief Financial Officer, if applicable, and approval as to form and legality by the Forsyth County Attorney.

Adopted this the 12<sup>th</sup> day of January 2015.

**Forsyth County  
Contractor Prequalification Application**

**Project Name Here**

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Forsyth County  
General Services Department  
Construction Management Division  
Forsyth County Government Center 4th. Floor  
201 N. Chestnut Street  
Winston-Salem, NC 27101  
336-703-2207

**Date Here**

## Project Summary & Application Overview

### A. Project Overview

Forsyth County, North Carolina is seeking prequalification statements from General Contractors for **(Project Name and Address)**. This project will be bid as a Single Prime contract. Any contractor wishing to be prequalified for the work must complete this application and be approved by Forsyth County for bidding.

The project includes the following:

1. **Project Description**
2. **Project Description**

The anticipated value of this project is \$ **(Insert Anticipated Value)**

The designer for this renovation project is:

***Insert Design Firm Here***  
***Lead Designer Name Here***  
***Design Firm Address***  
***Design Firm Address***  
***Lead Designer Email Here***

Evaluation of the applications for prequalification shall be made by Forsyth County and the Designer. This prequalification of contractors to bid on this project is applicable to this project only.

Questions regarding these prequalification documents may be directed to the Owner's Representative listed under Item C3. Applicants having questions regarding the project scope of work shall promptly notify the Designer. Neither Forsyth County nor the Designer will be responsible for any interpretation other than those issued in written form. Therefore, email inquiries are preferable.

### B. Purpose

This prequalification procedure is established pursuant to the General Statutes of North Carolina.

The purpose of this procedure is to define the manner in which contractors shall be determined by Forsyth County to be prequalified to bid on the project. *No bid shall be accepted by Forsyth County for the project unless the contractor submitting such bid has been prequalified in accordance with these procedures.*

### C. Instructions to Applicants

A contractor who seeks to be prequalified for this project shall submit this completed **Forsyth County Contractor Prequalification Application**.

1. Contractors are specifically directed to provide only information requested in the prequalification package. Do not send corporate brochures or marketing information not intended to address specific questions.
2. Applications that are incomplete or received after the deadline will not be considered for prequalification on this project.
3. **Two bound, tabbed copies of this application package shall be submitted to:**

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**(Insert Date and Time Prequalification packages due)**

Forsyth County reserves the right to reject any and all applications; to waive all technicalities and irregularities; and to request additional information from an applicant.

**D. Consideration of an Application for Prequalification - General Requirements**

A Prequalification Committee established by Forsyth County shall evaluate the application and determine whether the applicant is prequalified to bid on the project, following an objective set of criteria, based upon the information contained in the application, on any supplemental information acquired by Forsyth County from the applicant, or any other relevant information known to Forsyth County. **Failure to answer all of the questions may result in disqualification.**

In order to be considered for prequalification, the applicant must first meet or comply with the following basic prerequisite requirements, based on the information to be provided in Section I – “General Overview Information,” for Items 1-4, and Section V – “

1. Contractor must provide information on the type of company and type of work the contractor performs.
2. The contractor must meet the requirements of Chapter 87 of the General Statutes of North Carolina (North Carolina Licensing Requirements) applicable for the contract for which it is seeking prequalification.
3. Provide proof of bonding capacity, as indicated in Part D. which will be available no later than **(Insert Date Here)**, of at least:

**§ (Insert Value Here)**

4. Provide evidence of insurance coverage, which will be available no later than **(Insert Date Here)**, as indicated in Part E.
5. Sign, date and notarize the certification section of the application as shown in Section V.

Applicants must provide all information described in Section II – “Company Profile & History,” Section III - “Contractor Performance History” and Section IV – “Contractor Project Information.”

6. The contractor must provide information on at least three (3) projects successfully completed within the past five (5) years which are similar in size and cost to the portion of the project for which the contractor wishes to prequalify. See Part \_\_\_\_
7. The contractor must have satisfactorily completed within the past five (5) years, at least one project of similar size and complexity to this project, for the State of North Carolina or a Local Government within the State, which has a total actual contract amount (not project cost) in excess of:

***i. § (Insert Value Here) to prequalify for single prime construction contract.***

E. Evaluation Criteria and Scoring

All applications submitted will be evaluated according to the criteria and scoring values shown in Section VI. The evaluation criteria is generally based on the following factors:

- Satisfactory experience and success with projects of similar scope
- Proven experience in good project management and timely completion of previous contracts
- Monetary value of construction contract change orders and responsiveness of the contractor in providing sufficient documentation to finalize these Change Orders.
- Bonding capacity and adequate insurance coverage.
- Reputation for timely, high quality and workmanlike completion of prior contracts based upon references from owners and architects on previous projects
- Prior satisfactory construction experience with State or local government projects within the State of North Carolina.
- Staff qualifications, experience, workload and staff availability for this project.
- History and frequency of claims, lawsuits, arbitration, mediation, or other disputes on construction projects
- Demonstrated practice of encouraging participation of Minority Business firms.
- Satisfactory safety record over the past three years.

F. Notifications of Applicants

All contractors who submit an application will be notified of their eligibility for bidding prior to the project being released for bid. A listing of all contractors qualified to bid on the project will be made available by Forsyth County at the time the project is released for bid.

G. Appeals Procedure

A written appeal may be filed via hand-delivery or e-mail to the Prequalification Committee, to the attention of the addressee listed above, within three (3) business days (excluding County Holidays) of receipt of notice that the firm has been denied prequalification. The written appeal shall clearly articulate the reasons why the firm is contesting the denial and attach all documents and additional information supporting the firm's position. The Prequalification Committee may contact the firm regarding the information provided prior to ruling on the appeal. If the Prequalification Committee is satisfied that the firm should be prequalified, the firm shall be notified that it is prequalified to bid on the project and allowed to participate in the bid process. If the Prequalification Committee upholds its denial, the firm shall be promptly notified in writing via e-mail by the Manager of Construction Management within five business days of receipt of the written appeal. This decision shall be final.

H. General Comments and Clarifications

1. Any cost incurred by respondents in preparing or responding to this Request for Prequalifications shall be the respondents' sole responsibility.
2. All responses, inquiries or correspondence relating to this Request will become the property of Forsyth County when received.
3. Forsyth County has sole discretion and reserves the right to reject any and all responses received with respect to this Request and to cancel the Request for Prequalification process at any time prior to the beginning of the bid period. The County reserves the right to request additional information or clarification of information provided in the response without changing the terms of the Request.
4. Respondents are advised to refrain from contact with Prequalification Committee members. Any specific questions regarding the Request for Proposal should be directed to  
\_\_\_\_\_.

**Section I**  
**General Overview Information**

**A. Firm's Name and Principal Office serving this project:**

Company Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_ Zip: \_\_\_\_\_

Contact Name: \_\_\_\_\_  
Phone: (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_ Extension: \_\_\_\_\_  
Email: \_\_\_\_\_

B. **Type of Company** (check one): \_\_\_\_ Corporation \_\_\_\_ Individual \_\_\_\_ Partnership  
\_\_\_\_ Joint Venture \_\_\_\_ Other (please specify): \_\_\_\_\_

C. **License** - North Carolina License Type (check): \_\_\_\_ General Construction \_\_\_\_ Mechanical  
\_\_\_\_ Plumbing \_\_\_\_ Electrical \_\_\_\_ Other (please specify): \_\_\_\_\_

1. North Carolina License Number: \_\_\_\_\_

2. License Limitations or Level: \_\_\_\_\_

3. State/County/City Privilege License: \_\_\_\_\_  
(attach copy)

**D. Bonding Capacity**

Attach letter, dated within the last 30 days, from your surety company or its agent licensed to do business in North Carolina, verifying your company's capability and unused capacity based on your current value of work for providing sufficient performance and payment bonds for this project. Surety company bond rating shall be rated "A" or better under the A.M. Best Rating system or The Federal Treasury List. Provide a separate letter from your bonding company, not the agent, indicating their willingness to furnish performance and payment bonds for 100% of the applicable amount(s) listed on page 3.

**E. Insurance**

In order to pre-qualify, firms must indicate that they can provide evidence of insurance coverage for not less than the following limits or greater if required by law, should they subsequently be the successful bidder. Evidence of insurance in the required amounts shall be provided.

1. Worker's Compensation:

- a. State: Statutory
- b. Voluntary compensation (by any exempt entities: Same as State)
- c. Applicable Federal (e.g., Longshoremen's): Statutory
- d. Employer's Liability: \$1,000,000 per accident.  
\$1,000,000.00 Disease Policy Limit  
\$1,000,000.00 Disease, Each Employee

2. Comprehensive or Commercial General Liability (including Premises-Operations: Independent Contractor's Protective; Products and Completed Operations; Broad Form Property Damage):

- a. Bodily Injury: \$1,000,000.00 Each Occurrence  
\$2,000,000.00 Aggregate
- b. Property Damage \$1,000,000.00 Each Occurrence  
\$2,000,000.00 Aggregate



- c. Products and Completed Operations to be maintained for 3 years after Final Completion.
  - d. Property Damage Liability Insurance shall provide X, C and U coverage.
  - e. Medical expense limit shall not be less than \$5,000.00 on any one person.
  - f. Broad Form Property Damage Coverage shall include Completed Operations
3. Contractual Liability:
    - a. Bodily Injury: \$1,000,000.00 Each Occurrence
    - b. Property Damage: \$1,000,000.00 Each Occurrence  
\$2,000,000.00 Aggregate
  4. Personal Injury, with Employment Exclusion deleted:  
\$1,000,000.00 Aggregate
  5. Business Auto Liability (including owner, non-owned and hired vehicles):
    - a. Bodily Injury \$1,000,000.00 Each Occurrence  
\$1,000,000.00 Aggregate
    - b. Property Damage \$1,000,000.00 Each Occurrence  
Or \$1,000,000.00 Combined Single Limit
  6. Umbrella Excess Liability:
    - \$5,000,000.00 over primary insurance
    - \$250,000.00 or less retention for self-insured hazards each occurrence.
    - Umbrella Excess Policy shall provide Excess Liability coverage over the General Liability, Automobile Liability, Worker's Compensation and Professional Liability policies. Any exceptions must be approved by the Owner.
  7. Aircraft Liability (owned and non-owned) when Aircraft are used in the performance of the Contract:  
With limits proposed by Contractor for Owner's approval.
  8. Watercraft Liability (owned and non-owned) when Watercraft are used in the performance of the Contact:  
With limits proposed by Contractor for Owner's approval.
  9. If a Commercial General Liability form and/or Business Automobile Liability form is used, Bodily injury and Property Damage limits may be consolidated under a Combined Single Limit of one (1) million dollars (\$1,000,000.00) per occurrence subject to Aggregate of two (2) million dollars (\$2,000,000.00) with a policy aggregate of (2) million (\$2,000,000.00) dollars and the Commercial General Liability Policy endorsed to have the General Aggregate apply to this Project only.
  5. Builder's risk at the full insurable value of the entire work site.

Can your insurer provide evidence of the above insurance? \_\_\_ Yes \_\_\_ No

**Section II**  
**Company Profile & History**

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**A. Company History**

1. Number of years in business as a contractor under the company name listed in Item A., above: \_\_\_\_\_ years. List any other names your firm operated under previously.

\_\_\_\_\_

2. List date, State and type of incorporation, partnership, or proprietorship establishment:

\_\_\_\_\_

*Date*                      *State/Type (incorporation, partnership/proprietorship)*

3. List names of the firm principals appropriate to the type of the firm:  
Corporation – President/ Vice President, Secretary, Treasurer

President: \_\_\_\_\_

Vice-President: \_\_\_\_\_

Secretary: \_\_\_\_\_

Treasurer: \_\_\_\_\_

Partnership – Partners: \_\_\_\_\_

Proprietorship – Owner: \_\_\_\_\_

Other – (List and explain): \_\_\_\_\_

4. Has your company ever performed construction work for Forsyth County, any local government or the State of North Carolina and/or related public agencies? \_\_\_ Yes \_\_\_ No

If yes, please complete the information starting on page 9, including name of the agency, project, dollar value, owner and architect names and contact phone numbers, scheduled completion and actual completion dates for all projects completed within the last five (5) years. (List on Separate Sheet).

5. Has your organization been pre-qualified to bid on a State agency/institution or Local Government project and failed to submit a bid? \_\_\_ Yes \_\_\_ No

If yes, on a separate sheet list name of project and reason you did not submit a bid.

6. Within the last five (5) years, has any officer or principal of your organization ever been an officer or principal of another organization which failed to complete a construction contract? (If the answer is yes, please attach details.) \_\_\_ Yes \_\_\_ No

**B. Company Location, Size and Capacity**

1. If your organization has multiple office locations, indicate the location of the principal place of business:
2. If your organization has multiple office locations, indicate the location which will serve this project:

- 
3. How many full-time permanent employees work for your organization? \_\_\_\_\_
  4. If your organization has more than one office location, how many full-time permanent employees work for the company at the location which will serve the project? \_\_\_\_\_
  5. Provide a complete listing of anticipated key project team members and their proposed role on this project. Include resumes describing experience on projects of similar size, complexity and cost.

C. Staffing and Organizational Structure

1. Staffing Qualifications – Describe how your firm would staff this project. Provide organizational structure reflecting authority, responsibility, and proportion of time dedicated to this project for all key personnel and job descriptions. As attachments, include qualifications (resumes) of the project team key personnel to be assigned to this project. For each resume include name, length of time employed with your firm, proposed position, education and training, professional registrations, licenses, and affiliations, company and project-specific employment history.
2. Project-specific Staff Experience – Project-specific employment history is requested for key personnel for similar projects performed within the last five (5) years. Information should include project size and description, time and budget performance, position held, authority and responsibilities, contributions made to project success, and include owner/architect contacts with phone numbers. Provide evidence that the key personnel have worked together successfully as a team.
3. Staff Availability – Are key personnel also proposed on any other projects for which bidding and contracting is pending? \_\_\_\_\_ Yes \_\_\_\_\_ No

D. Workload

1. How many projects do you currently have under contract or in progress \_\_\_\_\_  
Total dollar value? \$ \_\_\_\_\_
2. List the three (3) biggest contracts currently under contract or in progress, including the name of the project, owner, and architect names and phone numbers, contract dollar values, percentage complete and currently anticipated completion dates. (list on separate sheet)

### Section III Contractor Performance History

**A. Safety Record for Past Three Years**

1. List your company's Experience Modification Rate (EMR) \_\_\_\_\_
2. List your company's Incidence Recordable Rate (IRR) \_\_\_\_\_
3. List your company's Lost Day Case Rate (LDCR) \_\_\_\_\_
4. If these rates reflect corporate performance over a number of locations, please explain, to the extent possible, the performance experience of the location serving this project.

**B. Claims History (If the answer to any of the questions below is yes, please attach details.)**

1. Has your organization ever failed to complete any work awarded to it?  Yes  No
2. Has your organization ever failed to substantially complete a project in a timely manner (i.e., more than 20% beyond the originally contracted, scheduled completion date)?  Yes  No
3. Has your organization been involved in any suits or mediation/arbitration proceedings within the last five (5) years?  
 Yes  No (If yes, explain)
4. Are there currently any judgments, claims, mediation/arbitration proceedings or suits pending or outstanding against your organization or its officers?  
 Yes  No (If yes, explain)
5. Has your organization filed any lawsuits or requested mediation/arbitration with regard to construction contracts within the last five (5) years?  
 Yes  No (If yes, explain)
6. Has your present organization, its officers, owners, or agents ever been barred from bidding public work in North Carolina?  
 Yes  No (If yes, explain)

**C. Bonding History**

1. Have any funds been expended by a surety company on your behalf?  Yes  No  
If yes, attach explanation.
2. List all surety companies that have provided bonds for your company for the past five (5) years, explanation required if more than one company.

<i>Date</i>	<i>Firm</i>
<hr/>	
<i>Date</i>	<i>Firm</i>

**D. HUB Plan**

1. Does your organization currently have a documented plan for engaging subcontractor participation from Historically Underutilized Businesses?  Yes  No
2. What has been your organization's typical percentage level of HUB participation for similar projects in this locale? \_\_\_\_\_ %

**E. References**

1. Provide letter of reference from each of the following:
  - a. One prime or sub-contractor

- b. One materials supplier
- c. Bank/Lending Institution

## Section IV Contractor's Project Information

### 1. List of North Carolina Projects

Attach a listing of projects completed for the State of North Carolina or Local Governments in North Carolina within the past five (5) years. List the following information for each project:

\*(Note: experience on projects completed directly with Forsyth County is not required)

- a. Project Name
- b. Owner/Contact Name/Address/Phone Number
- c. Dollar Amount
- d. Architect Name & Phone Number:
- e. Scheduled Completion Date:
- f. Actual Completion Date:

### 2. Similar Project Examples

On the following forms; provide background information on a minimum of three (3) projects completed in the past five (5) years that are similar in size and scope to the work for which you seek prequalification.

Include at least one project completed for the State or a Local Government in North Carolina.

Provide a letter from your bonding company, not the agent, indicating their willingness to furnish performance and payment bonds for 100% of the applicable amount(s) listed in Section II (1) (d).

## Similar Project Examples Project 1 of 3

Provide the following background information on your firm's most recent completed projects (in the past five (5) years) that is most similar in size and cost to the scope of work for which you seek prequalification.

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

Project Owner: \_\_\_\_\_

Project Location: \_\_\_\_\_

Project Designer (include company, lead designer, and phone):  
\_\_\_\_\_  
\_\_\_\_\_

Year Completed: \_\_\_\_\_

Original Contract Time (Days): \_\_\_\_\_

Final Contract Time (Days): \_\_\_\_\_

Delay or Liquidated Damages Claims Made by the Owner (Dollars): \_\_\_\_\_

Any arbitration, mediation, lawsuits, or other disputes associated with this project? Yes \_\_\_ No \_\_\_  
(If yes, list on separate page)

Original Contract Amount: \_\_\_\_\_

Final Contract Amount: \_\_\_\_\_

Minority Business Participation: Y \_\_\_ N \_\_\_      Percent of total M/WBE participation: \_\_\_\_\_

Briefly describe the project:    Area: \_\_\_\_\_ SF;    Building Type (i.e. Library, Town Hall): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

List of key personnel in your firm who were assigned to the project (project manager, field superintendent, field engineers, etc.) who had direct responsibility for the day-to-day management of the project:

Project Manager: \_\_\_\_\_

Superintendent: \_\_\_\_\_

Field Engineer: \_\_\_\_\_

Other: \_\_\_\_\_

## Similar Project Examples Project 2 of 3

Provide the following background information on your firm's most recent completed projects (in the past five (5) years) that is most similar in size and cost to the scope of work for which you seek prequalification.

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

Project Owner: \_\_\_\_\_

Project Location: \_\_\_\_\_

Project Designer (include company, lead designer, and phone):

\_\_\_\_\_

Year Completed: \_\_\_\_\_

Original Contract Time (Days): \_\_\_\_\_

Final Contract Time (Days): \_\_\_\_\_

Delay or Liquidated Damages Claims Made by the Owner (Dollars): \_\_\_\_\_

Any arbitration, mediation, lawsuits, or other disputes associated with this project? Yes \_\_\_ No \_\_\_  
(If yes, list on separate page)

Original Contract Amount: \_\_\_\_\_

Final Contract Amount: \_\_\_\_\_

Minority Business Participation: Y \_\_\_ N \_\_\_      Percent of total M/WBE participation: \_\_\_\_\_

Briefly describe the project:    Area: \_\_\_\_\_ SF;    Building Type (i.e. Library, Town Hall): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

List of key personnel in your firm who were assigned to the project (project manager, field superintendent, field engineers, etc.) who had direct responsibility for the day-to-day management of the project:

Project Manager: \_\_\_\_\_

Superintendent: \_\_\_\_\_

Field Engineer: \_\_\_\_\_

Other: \_\_\_\_\_

## Similar Project Examples Project 3 of 3

Provide the following background information on your firm's most recent completed projects (in the past five (5) years) that is most similar in size and cost to the scope of work for which you seek prequalification.

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

Project Owner: \_\_\_\_\_

Project Location: \_\_\_\_\_

Project Designer (include company, lead designer, and phone):

\_\_\_\_\_

Year Completed: \_\_\_\_\_

Original Contract Time (Days): \_\_\_\_\_

Final Contract Time (Days): \_\_\_\_\_

Delay or Liquidated Damages Claims Made by the Owner (Dollars): \_\_\_\_\_

Any arbitration, mediation, lawsuits, or other disputes associated with this project? Yes \_\_\_ No \_\_\_  
(If yes, list on separate page)

Original Contract Amount: \_\_\_\_\_

Final Contract Amount: \_\_\_\_\_

Minority Business Participation: Y \_\_\_ N \_\_\_      Percent of total M/WBE participation: \_\_\_\_\_

Briefly describe the project:    Area: \_\_\_\_\_ SF;    Building Type (i.e. Library, Town Hall): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

List of key personnel in your firm who were assigned to the project (project manager, field superintendent, field engineers, etc.) who had direct responsibility for the day-to-day management of the project:

Project Manager: \_\_\_\_\_

Superintendent: \_\_\_\_\_

Field Engineer: \_\_\_\_\_

Other: \_\_\_\_\_



**Section V**  
**Application Certification**

The undersigned certifies that under oath the information provided herein is true and sufficiently complete so as not to be misleading.

A. Dated this day of: \_\_\_\_\_

Submitted by: \_\_\_\_\_

*Name of Contractor's Contact*

\_\_\_\_\_  
*Company Name (as licensed in NC)*

\_\_\_\_\_  
*Address*

\_\_\_\_\_  
*City State Zip Code*

Phone: ( ) \_\_\_\_ - \_\_\_\_  
*Contact person's phone number*

E-mail: \_\_\_\_\_  
*Contact person's e-mail address*

Signature: \_\_\_\_\_  
*By Authorized Officer*

\_\_\_\_\_  
*Title of Authorized officer (typed)*

B. NOTARY CERTIFICATION

North Carolina  
\_\_\_\_\_ County

I, a Notary Public of the County and State aforesaid, certify that \_\_\_\_\_,  
personally appeared before me this day and acknowledged the execution of the foregoing instrument.  
Witness my hand and official seal, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Official Seal or Stamp

Notary Public

My commission expires \_\_\_\_\_, 20\_\_.

## Section VI Prequalification Scoring Matrix

Each application package submitted will be evaluated according to the criteria listed on the Prequalification Scoring Matrix on the following page. The criteria is organized according to Application Sections I through IV, will be evaluated and scored as shown below. The maximum possible score is 100 points.

Minimum score for prequalification on this project will be \_\_\_\_ points.

### SCORING MATRIX

<b>SECTION I - Basic Overview of Firm (Prerequisite Criteria)</b>			
Question Ref.	Information Requested	Max. Pts.	Score
A.1	Name of Company, Principal Office Location		
B.1	Type of Company		
C.1-3	Contracting License Information		
D.1	Bonding Company & Capacity		
E.1-5	Insurance Coverage		
	Application Certification - Signed, Dated & Notarized (Section 5)		
	<b>Must meet all requirements in this Section to proceed</b>	<b>Total Score - This Section</b>	<b>5</b>
<b>SECTION II - Company Profile &amp; History</b>			
A.1	No. of Years Under Current Name 0-5 years (1); +5 years (2)	2	
A.2	Principal Business Location (in NC = 1; outside NC = 0)	1	
A.2	Project Office In NC (0-2 depending on proximity)	2	
A.4	Previous Work with State of NC or Local Government in State (0-3)	3	
A.5	Prequalified and failed to submit a bid w/o cause (No = 2; Yes, w/Good Cause = 1; Yes w/o cause = 0)	2	
A.6	Officer or Principal Failed to Complete Const. Contract (No = 2; Yes, w/Good Cause = 1; Yes w/o cause = 0)	2	
B.1-4	No. of Employees Company Wide; Staff Location Size & Location Serving Project	5	
C.1	Staff Qualifications	5	
C.2	Project Specific Staff Experience	5	
C.3	Staff Availability & Workload	5	
D.1-2	Dollar Value of Projects Under Contract	2	
D.3	List of Largest Contracts	1	
		<b>Total Score - This Section</b>	<b>35</b>
<b>SECTION III- Contractor Performance History</b>			
A.1-4	Safety Record: EMR <= 1.00; IRR < 4.00; LCDR < 0.08 (1 pt. for each threshold)	3	
B.1	Completed All Construction Contracts	1	
B.2	Failed to Complete Projects on Schedule (No = 2; Yes w/good cause = 1; Yes w/o cause = 0)	2	
B.3	Suits or Arbitration in Past 5 Years (No = 2; Yes w/good cause = 1; Yes w/o cause = 0)	2	
B.4	Judgments Against Company (No = 2; Yes = 0)	2	
B.5	Filed Claim(s) in Past 5 Years (No = 2; Yes w/good cause = 1; Yes w/o cause = 0)	2	
B.6	Barred from Bidding (No = 2; Yes = 0)	2	
C.1	Funds expended by Surety? (No = 2; Yes w/good cause = 1; Yes w/o cause = 0)	2	
C.2	Number of Surety Companies in Past 5 Years? (1 Firm = 3; 2 Firms = 2; 3 Firms = 1; >3 Firms = 0)	3	
D.1	HUB Plan (Yes or No)	1	
D.2	Record of HUB Participation - Average over 5 years (+10% = 2; 5-10% = 1; <5% = 0)	2	
E.1-4	References	3	
		<b>Total Score - This Section</b>	<b>25</b>
<b>SECTION IV- Contractor Project Record</b>			
A.1	NC/Local Projects Within Past 5 Years	5	
B.1	Project Specific Reference 1 of 3	10	
	Project Specific Reference 2 of 3	10	
	Project Specific Reference 3 of 3	10	
		<b>Total Score - This Section</b>	<b>35</b>
	<b>TOTAL POINTS</b>	<b>100</b>	