

North
Carolina
State
Construction
Conference

03.02.17

UNDERSTANDING
THE
STATE
CONSTRUCTION
OFFICE
PREQUALIFICATION
FORM
AND
PROCESS

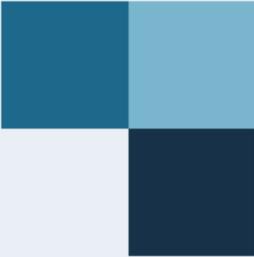
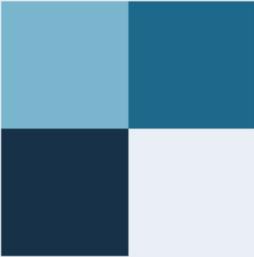


NewAtlantic
CONTRACTING, INC.

Agenda

- SCO Delivery Methods & Prequalification Policy - OVERVIEW
- State of North Carolina Prequalification Form for First-Tier Subcontractors under CM at Risk – OVERVIEW
- A look inside the process from the Construction Manager point of view
- Successes and challenges
- Questions

- Construction Manager @ Risk
 - **Prequalified** 1st-Tier Subcontractors
- Prime Contractor – Hard Bid
- **Prequalified** Prime Contractor – Hard Bid
- Other (Design/Build & PPP)



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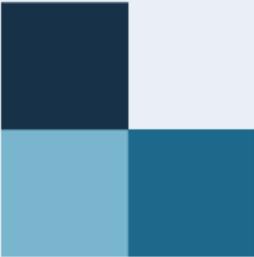
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Prequalification Policy

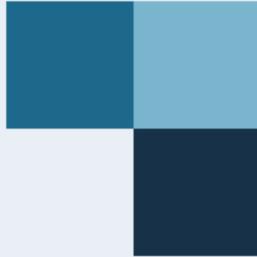
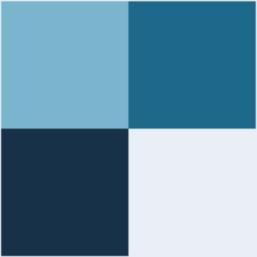
- GC Prequalification for Hard Bid & 1st-Tier Subcontractors under CM@R
- All bidders (prime/first-tier) who meet criteria to be prequalified are allowed to bid
- Prequalification Committee
- Timeline:
 - **Advertisement for Prequalification** – at least 2 months prior to Bid Date
 - **Notice of Decision** – via email, with sufficient time for appeal before bid opening

To participate in the poll
TEXT GRADYDWIGGIN413
TO 22333

Appeal Process

- **Initial Protest** – subcontractor submits written protest to the Prequalification Committee within 3 business days of receiving the Notice of Decision
- **Review** – the Prequalification Committee shall review the Initial Protest within 5 business days and respond
- **Appeal** – a denied firm may appeal the committee's decision in writing to the Prequalification Official within 3 business days
- **Review** – the Prequalification Official shall review and respond within 5 business days – the Prequalification Official's decision is final

To participate in the poll
TEXT GRADYDWIGGIN413
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To show this poll

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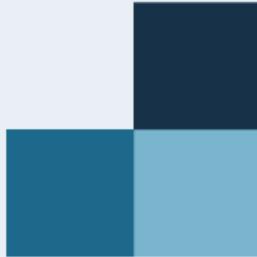
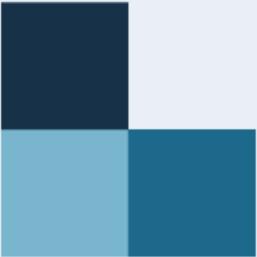
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NC SCO 1st-Tier Subcontractor Prequalification Form

- 13 pages
- Gives project information
- Provides comprehensive information on the submitting subcontractor
- Encourages objective evaluation based on state wide standards
- Requires *(a little)* effort!

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Prequalification Cover Page

- All relevant project information provided here by the Construction Manager
- Each State project has a distinctive form. You must complete the form provided for a project in order to be prequalified for that specific project.



Prequalification Form for First-Tier Subcontractors under CM at Risk

Pursuant to the statute, this form gathers information about the subcontractors seeking to qualify for the work and provides a general format for the prequalification criteria. **Completing this questionnaire does not guarantee prequalification.** Evaluation of the submittal shall be performed by the prequalification committee in accordance with GS 143-128.1, 143-135.8 and the State of NC Prequalification Policy (attached).

First-Tier Subcontractors are not to use the blank template from the SCO website but to use the project -specific form from the Prequalification Committee. No other forms shall be permitted for use.

PREQUALIFICATION DUE DATE/TIME: _____
(date) (time)

Submitted to: _____

Contact Name receiving prequalifying packages

CM @ R Firm

Address

Address

City/State Zip Code + 4

Phone number

Fax Number

E-mail address

Project:

Name of Project

Project Owner

Project Location/Address

Project Architect

Project Phase

Project Start Date (Approx.)

Project/Phase Duration

Anticipated Bid Date

Total Project Budget

Phase Budget

Prequalification Form for First –Tier Subcontractors under CM at Risk

Project Description: (An in-depth narrative of the details of the project, site, trades, LEED, etc.)

If your firm is interested in prequalifying for this project/phase, please check the box for your trade(s).
 This is a preliminary list of Bid Packages and may change based on response and qualified bidders.

Bid Pkg #	Scope of Work	Preliminary Budget	Check Box if Prequalifying	Subcontractor to Provide Evidence of Ability to Provide Performance and Payment Bond	Open for Other Objective Type Requirements
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Job Description & Bid Packages Information

- All information provided by the Construction Manager
- Project Description
- Scopes of Work
- First step for any subcontractor is to see if the project is a good target for pursuit as First-Tier bidder
 - Scope
 - Budget
 - Bonding



Prequalification Form for First –Tier Subcontractors under CM at Risk

SECTION 1. MINIMUM REQUIREMENTS

[Matrix: There are no points assigned for responses in Section 1 or Section 4 signature page.]

1. a. Primary/Main office location/Office managing this project

Company Name

Physical Address

Mailing Address

City/State Zip Code + 4
() ()

Phone number Fax number

Primary Contact Name Secondary Contact Name

Primary Contact Email Address Secondary Contact Email Address

[Matrix: If not completely filled out, proposal is non-responsive and will not be considered for pre-qualification.]

Organization

1. b. Business type (check box) Corporation Partnership Limited Liability Company Sole Proprietor Joint Venture

Indicate your NC Statewide Uniform Certification: (check box): MBE HBE AABE AIBE WBE SDB DBE
See website link for more information: <http://www.doa.nc.gov/hub/swuc.htm>

Other (specify) _____ Certifying Agency/State (specify)

Is your firm registered with the State of North Carolina to do business? Yes No

Is your firm owned or controlled by a parent or any other organization? Yes No

Describe Ownership if Yes: _____

Additionally, if you answered Yes that your company is owned or controlled by a parent or any other organization, you agree to sign a Parent Company Guarantee Letter (see Appendix A for sample letter) and submit the same with this Prequalification Application for review and approval. Additionally, an individual who is authorized to bind the Parent Company shall co-sign the contract as a condition precedent to award of a contract. If you do not agree to these terms, your pre-qualification application will not meet the minimum requirements and will be disapproved.

List all other names your firm has operated as for the past five (5) years: _____

[Matrix: If not completely filled out, proposal is non-responsive and will not be considered for pre-qualification.]

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SECTION 1:
MINIMUM REQUIREMENTS

- Unscored
- Completion Required
- Basic information about the submitting company



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SECTION 1 continued: MINIMUM REQUIREMENTS

- Completion Required
- Company qualifications
- Bonding requirements
 - Give a little help

Prequalification Form for First-Tier Subcontractors under CM at Risk

1. c. Licensing Information (Please provide all North Carolina professional licenses required for you to perform your services.)

NC License Type (check box) General Construction Electrical Mechanical Plumbing Burglar Alarm
 Fire Protection Other (please specify)

Not Applicable or Required by North Carolina for Trade Package(s) Selected for Pre-qualification

NC License number/name of licensee	License Limit/Level	State/County/City Privilege License (provide copy)
_____	_____	_____
_____	_____	_____
_____	_____	_____

Has any license ever been denied or revoked? Yes No If yes, please describe, _____

[Matrix: Enter type of license. If information not provided in application or license does not meet requirement for trade package or State of North Carolina, proposal is non-responsive and will not be considered for pre-qualification.]

1. d. Type of Work Performed on a regular basis

Primary Scope of Work: _____

Secondary Scope of Work: _____

Other Scope of Work: _____

What type of work do you self perform? _____

[Matrix: If not completely filled out, proposal is non-responsive and will not be considered for pre-qualification.]

Bonding

1. e. (1) Attach letter (see Appendix B for sample letter), dated within the last 30 days, from your surety company, signed by their Attorney in Fact, verifying their willingness to issue sufficient payment and performance bonds for this project, on behalf of your firm and the dollar limits of that bond commitment, both single and aggregate. Surety company bond rating shall be rated "A-" or better and "VII" or higher under the A.M. Best Rating system or The Federal Treasury List.

Have you attached a surety letter? Yes No

[Matrix: "Yes or No". If this information is not provided in application for firms wishing to be approved for a bid package(s) requiring evidence (see bid package list at front of this form) of the ability to provide a Performance and Payment Bond, proposal is non-responsive and will not be considered for pre-qualification. Further, this review and approval for this section will be based on the surety letter stating an amount able to substantiate the surety's willingness to issue bonds in the sum total of the preliminary budget amounts identified herein for the proposed bid package(s) being sought for pre-qualification approval. This section is not a minimum requirement for firms wishing to become prequalified for bid packages not requiring the ability to provide a Performance and Payment Bond, however all firms are encouraged to provide a surety letter regardless.]



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SECTION 1 continued: MINIMUM REQUIREMENTS

- Completion Required
- Insurance Required
- Financials Required
- Benefits of the process
 - Insuring success



Prequalification Form for First –Tier Subcontractors under CM at Risk

1. e. (2) Have any Funds been expended by a Surety Company on your firm's behalf? Yes No If yes, explain

[Matrix: If "Yes," with no explanation given, proposal is non-responsive and will not be considered for pre-qualification.]

Insurance

1. f. The minimum requirements of coverage are defined on the Sample Certificate of Insurance (COI) (See Appendix C for Sample COI). Firms must indicate that they can provide evidence of insurance coverage, should they be considered for approval by attaching a copy of their insurance certificate. Additionally, should your firm not currently carry the exact insurance requirements defined within the Sample Certificate of Insurance, applicant agrees to provide the specified insurance as a precedent to award of a contract. Have you attached a copy of your insurance certificate meeting the aforementioned specified requirements or agree to provide the specified insurance if not currently carried by your firm? Yes No

[Matrix: If "No," proposal is non-responsive and will not be considered for pre-qualification.]

Financials

1. g. (1) **Part 1 – Financial Statements** - Attach most recent fiscal year-end balance sheet and income statement, if available, based on company type. Audited statements preferred. If not available, attach a copy of the latest annual renewal submission to the relevant licensing board. **In all cases, either a full year audited financial statement or an internal balance sheet with income statement or business tax return must be provided in order to be considered for pre-qualification approval.**

Have you attached a balance sheet or other acceptable financial documents referenced above? Yes No

[Matrix: If "No," proposal is non-responsive and will not be considered for pre-qualification.]

1. g. (2) **Part 2 – Financial Metrics** – As a minimum requirement to become pre-qualified, the metrics illustrated below must be achieved in order to be approved for prequalification with one exception if the firm doesn't meet or exceed these designated metrics, a Performance and Payment Bond (see requirements under the Bond section above) can be substituted by the firm should the company become the successful low bidder for a particular bid package(s). This review and approval for this section will be based on the sum total of the preliminary budget amounts (greatest estimated contract amount if seeking approval for more than one bid package) identified herein for the proposed bid package(s) being sought for pre-qualification approval.

Have you achieved your metrics or provided evidence of bond-ability based on the anticipated contract value for the bid packages seeking approval?

Yes No

[Matrix: If "No," proposal is non-responsive and will not be considered for pre-qualification.]

Metrics:

Contract(s) Amounts: \$0 to \$200,000

Debt to Equity (Total Liabilities/Total Equity) is between 0 and 5.0

Current Ratio (Current Assets/Current Liabilities) is greater than 1.1

Net Current Assets (Current Assets less Current Liabilities) greater than \$1

Contract(s) Amounts: \$200,000 to \$500,000

Debt to Equity (Total Liabilities/Total Equity) is between 0 and 4.0

Current Ratio (Current Assets/Current Liabilities) is greater than 1.2

Prequalification Form for First –Tier Subcontractors under CM at Risk

Net Current Assets (Current Assets less Current Liabilities) greater than \$20,000

Contract(s) Amounts: \$500,000 and above

Debt to Equity (Total Liabilities/Total Equity) is between 0 and 3.0

Current Ratio (Current Assets/Current Liabilities) is greater than 1.3

Net Current Assets (Current Assets less Current Liabilities) greater than \$50,000

(Firm must submit financial data and may clearly indicate a request for confidentiality to avoid this item from becoming part of a public record. We understand this information can be extremely confidential and as an option, you may submit your financial statement as an attachment to your pre-qualification package or send under separate cover to a confidential email address _____ or facsimile directly to _____ at (###) ###-####.)

Check applicable item below as how financials are being submitted

- Attached
- Sent Via Email
- Sent Via Facsimile

SECTION 2. GENERAL REQUIREMENTS

Experience - Size/Capacity/Workload

2. a. (1) List the annual dollar value of construction work the company has performed for each year over the last (3) three calendar years (if applicable).

1 \$ _____ (yr)	2 \$ _____ (yr)	3 \$ _____ (yr)
-----------------	-----------------	-----------------

[Matrix: 0-6 points. For each year completed (positive value), give 2 points each.]

2. a. (2) How many projects do you currently have under contract or in progress and what is their total dollar value?

- _____ (# of projects);
- \$ _____ (Current projects sum of contract amounts);
- \$ _____ (Projects current amount remaining to bill)

[Matrix: 0-5 points. If section completed give 5 points. If not, give 0 points.]

2. a. (3) What was your largest job completed? _____ Sq. Ft. \$ _____ (Dollar Amount)
_____ Location _____ Year Completed

[Matrix: 0-5 points.

Step One: Take the "dollar amount of largest job completed" and multiply by 1.5.

Step Two: If the result is larger than the sum total of estimated package(s) cost being prequalified for by 100% then give 5 points;

If the result is larger than the sum total of estimated package(s) cost being prequalified for by 80% and less than 100% then give 4 points;

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SECTION 2: GENERAL REQUIREMENTS

- Scoring Begins
- 2.a.(1)
- 2.a.(2) – assessment of current capacity



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SECTION 2: GENERAL REQUIREMENTS

2. a. (3) What was your largest job completed? _____ Sq. Ft. \$ _____ (Dollar Amount)
_____ Location _____ Year Completed

[Matrix: 0-5 points.

Step One: Take the "dollar amount of largest job completed" and multiply by 1.5.

Step Two: If the result is larger than the sum total of estimated package(s) cost being prequalified for by 100% then give 5 points;

If the result is larger than the sum total of estimated package(s) cost being prequalified for by 80% and less than 100% then give 4 points;

If the result is larger than the sum total of estimated package(s) cost being prequalified for by 60% and less than 80% then give 3 points;

If the result is larger than the sum total of estimated package(s) cost being prequalified for by 40% and less than 60% then give 2 points;

If the result is larger than the sum total of estimated package(s) cost being prequalified for by 20% and less than 40% then give 2 points;

If the result is larger than the sum total of estimated package(s) cost being prequalified for by 10% and less than 20% then give 1 point.

If the result is smaller than the sum total of estimated package(s) cost being prequalified for then give 0 points.]

Example No.1: Result of Largest Job Completed = 1,000,000 x 1.5 = \$1,500,000
Sum Estimated Total of Bid Package(s): \$687,000
 $\$1,500,000 / \$687,000 = 2.18$ or 118% greater = 5 points

Example No.2: Result of Largest Job Completed = 1,000,000 x 1.5 = \$1,500,000
Sum Estimated Total of Bid Package(s): \$1,200,000
 $\$1,500,000 / \$1,200,000 = 1.25$ or 25% greater = 2 points

- 2.a.(3) – Largest Job Completed

- Allows for controlled growth

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SECTION 2: GENERAL REQUIREMENTS

- 2.a.(4) – Current Backlog
- Comparison of two values
 - Less complicated than it appears

2. a. (4) Current Backlog \$ _____ (Dollar Amount)
(Projects Current Amount Remaining to Bill – See 2.a.(2))

[Matrix: 0-5 points.

Step One: Take "current backlog (2.a.(4))" dollar amount and add "largest job completed (2.a.(3)) multiplied by 1.5".

(Example 1: Current Backlog = \$3,500,000; Largest Job Completed = \$1,750,000;
 $\$3,500,000 + \$1,750,000 = \$5,250,000 \times 1.5 = \$7,875,000$)

(Example 2: Current Backlog = \$2,000,000; Largest Job Completed = \$1,000,000;
 $\$2,000,000 + \$1,000,000 = \$3,000,000 \times 1.5 = \$4,500,000$)

Step Two: If the step one value above is less than the 3 year average of the sum of "annual dollar amounts" listed in (2.a.(1)) divided by 3 and then multiplied by 1.5, then proceed to the table below for applicable points. If the step one value above is greater than the 3 year average of the sum of "annual dollar amounts" listed in (2.a.(1)) divided by 3 and then multiplied by 1.5, then give 0 points

If "current backlog dollar amount plus largest job completed x 1.5" divided by the 3 year average of the sum of "annual dollar amounts" x 1.5 is greater than 0% and less than 20% then give 5 points

If "current backlog dollar amount plus largest job completed x 1.5" divided by the 3 year average of the sum of "annual dollar amounts" x 1.5 is between 20% and 40% then give 4 points

If "current backlog dollar amount plus largest job completed x 1.5" divided by the 3 year average of the sum of "annual dollar amounts" x 1.5 is between 40% and 60% then give 3 points

If "current backlog dollar amount plus largest job completed x 1.5" divided by the 3 year average of the sum of "annual dollar amounts" x 1.5 is between 60% and 80% then give 2 points

If "current backlog dollar amount plus largest job completed x 1.5" divided by the 3 year average of the sum of "annual dollar amounts" x 1.5 is between 80% and 100% then give 1 points

If "current backlog dollar amount plus largest job completed x 1.5" is greater than the 3 year average of the sum of "annual dollar amounts" x 1.5, then give 0 points

(Example 1: 1st Year Annual Dollar Volume = \$5,000,000
2nd Year Annual Dollar Volume = \$4,500,000
3rd Year Annual Dollar Volume = \$6,000,000
Total: \$15,500,000

$\$15,500,000 / 3 = \$5,166,666 \times 1.5 = \$7,750,000$

Points Scored: $\$7,875,000 > \$7,750,000 = 0$ points

(Example 2: 1st Year Annual Dollar Volume = \$4,000,000
2nd Year Annual Dollar Volume = \$4,500,000
3rd Year Annual Dollar Volume = \$5,000,000
Total: \$13,000,000

$\$13,000,000 / 3 = \$4,333,333 \times 1.5 = \$6,500,000$

Points Scored: $\$4,500,000 < \$6,500,000 =$ Proceed to Table
 $\$4,500,000 / \$6,500,000 = 69\%$ or 2 points

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SECTION 2: GENERAL REQUIREMENTS

2. a. (5) List the three largest contracts currently under contract or in progress, including the name of the project and owner, architect and/or GC/CMR with contact information below.

#3 –Project Name	(In addition to project information and at a minimum, list out entity who is providing your reference below)
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
GC or CM Name/Representative	
GC or CM Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	

[Matrix: 0-5 points for each project listed, total of 15 points. For each project above, give 5 points for a positive reference from either the owner, architect or GC/CMR. Positive reference can be in the form of a written reference accompanied with this application from the designated entity (owner, architect or GC/CMR) or through verification by CM following submission of application. CM will attempt to reach out to each reference above in written form and failure of the entity to respond back to the CM's written inquiry (either written or oral) within five (5) business days will result in forfeiture of points applicable to the given entity. If reference is obtained verbally, CM will document conversation for the record.]

- 2.a.(5) – Three Largest Contracts currently in progress
- References
 - 5 points each!
- Six total projects requested
 - 30 possible points!
 - +40% of necessary points

All too common example

#3 –Project Name	JCPSS
Description of Work Performed	INTERIOR FINISHES
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	BOB LITTLE
Architect Address/Phone #/Email	NEW ATLANTIC CONTRACTING
GC or CM Name/Representative	336-759-7440
GC or CM Address/Phone #/Email	
Contract Dollar Value	\$197,000
Percentage Complete	
Current Anticipated Completion Date	

Encouraged submission!

#3 –Project Name	JONES COUNTY PUBLIC SCHOOL SYSTEM – ROCKY MOUNT ELEMENTARY
Description of Work Performed	INTERIOR FINISHES
Contract Delivery Method (CM/GC)?	CM
Owner Name/ Representative	JONES COUNTY PUBLIC SCHOOL SYSTEM / SHARON SMITH
Owner Address/Phone #/Email	123 WEST RD. JONESVILLE, NC 22220 999-455-2134 SSMITH@JCPSS.COM
Architect Name/Representative	BOB LITTLE ARCHITECTS / BOB LITTLE
Architect Address/Phone #/Email	704-354-2222 BOB@BLARCH.COM
GC or CM Name/Representative	NEW ATLANTIC CONTRACTING / STEVE SMITH (SUPERINTENDENT)
GC or CM Address/Phone #/Email	2635 REYNOLDA RD. WINSTON-SALEM, NC 27106 336-759-7440 SSMITH@NEW-ATLANTIC.NC
Contract Dollar Value	\$ 197,000
Percentage Complete	82%
Current Anticipated Completion Date	NOVEMBER 2016

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SECTION 2: GENERAL REQUIREMENTS

- History of company & employees
 - Default?
 - LDs?
 - Bid-rigging?
 - Barred from bidding?

Prequalification Form for First –Tier Subcontractors under CM at Risk

2. b. (1) Has your company ever failed to complete work awarded (under contract) to it? Yes No If yes, please provide project name(s), year(s), and reason why: _____

[Matrix: 0-5 points. If company has never failed to complete work it has been awarded then give 5 points; if the company has failed to complete one (1) project it has been awarded then give 2 points; if the company has failed to complete two (2) or more projects it has been awarded then give 0 points.]

2. b. (2) Have you ever paid liquidated damages on any project? Yes No If yes, state the project name(s), year(s), and reason why. _____

[Matrix: 0-3 points. If company has never paid liquidated damages on any of its projects then give 3 points; if the company has paid liquidated damages on only one project then give 2 points; if the company has paid liquidated damages on only two projects then give 1 point; if the company has paid liquidated damages on three or more projects then give 0 points.]

2. b. (3) Has your present company, its officers, owners, or agents ever been convicted of charges relating to conflicts of interest, bribery, or bid-rigging? Yes No If yes, state the project name(s), year(s), and reason why. _____

[Matrix: 0 -3 points. If "Yes," give 0 points. If "No," give 3 points.]

2. b. (4) Has your present company, its officers, owners, or agents ever been barred from bidding public work in North Carolina? Yes No If yes, state the project name(s), year(s), case number and reason why. _____

[Matrix: 0 - 3 points. If "Yes," give 0 points. If "No," give 3 points.]

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SECTION 2: GENERAL REQUIREMENTS

- EMR/Safety Record
- HUB Plan
 - Encouraged!
- Recent litigation?
 - Does not necessarily disqualify

Prequalification Form for First –Tier Subcontractors under CM at Risk

Safety Record

2. c. List your company's Experience Modification Rate (EMR) for past three years. (Attach OSHA 300 Log for the last 3 years.) Have you attached OSHA 300 log? Yes No

_____ Present Rate _____ Last Rate _____ Year before rate

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: _____

List any OSHA fines and Jobsite fatalities in the past 3 years with an explanation: _____

[Matrix: 0-5 points. If company has EMR rating less than or equal to 1 then give 5 points; if the company has EMR rating greater than 1 and less than 1.10 then give 3 points; if the company has EMR rating greater than 1.10 then give 0 points.]

Historically Underutilized Business (HUB) Plan

2. d. Does the company currently have a documented plan for engaging subcontractor participation from Historically Underutilized Businesses? Yes No If yes, please attach your company's HUB plan.

[Matrix: 0-3 points. If company has a current documented plan give 3 points. If not, give 0 points.]

2. e. What has been your company's typical percentage level of Historically Underutilized Business participation for similar projects in North Carolina for the past 5 years? _____%

List the HUB participation you provided in **three "similar" projects cited in Section 3. e.** as defined below, including name, percentage achieved and CM/GC/Owner representative's name and telephone number.

Project Name	HUB %	CM/GC/Owner's Rep	Contact Phone #

[Matrix: 0-3 points, 3 points total. If information provided for each project, give 1 point per project. If information is not provided per project, give 0 points per project. To get points, not all HUB % listed needs to be over 10%]

Litigation/Claims

2. f. (1) Has your company been involved in any judgments, claims, arbitration or mediation proceedings, or suits within the last five years, whether resolved or still pending resolution? Yes No If yes, state the project name(s), year(s), case number and reason why: _____

[Matrix: 0-4 points. If "Yes," with no explanation given then give 0 points; if "Yes" with an explanation given or "No" then give 5 points]



An Experience Modification Rate (EMR) is a number used by insurance companies to gauge both cost of past injuries and future chances of risk. The number directly effects Worker Compensation Insurance Premiums.

An EMR of 1.0 is considered the industry average.

Below 1.0 – safer than average.

Above 1.0 – riskier than average.

EMR is mandatory for all employers that meet the minimum premium eligibility threshold.

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SECTION 2: GENERAL REQUIREMENTS

- EMR/Safety Record
- HUB Plan
 - Encouraged!
- Recent litigation?
 - Does not necessarily disqualify

Prequalification Form for First –Tier Subcontractors under CM at Risk

Safety Record

2. c. List your company's Experience Modification Rate (EMR) for past three years. (Attach OSHA 300 Log for the last 3 years.) Have you attached OSHA 300 log? Yes No

_____ Present Rate _____ Last Rate _____ Year before rate

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: _____

List any OSHA fines and Jobsite fatalities in the past 3 years with an explanation: _____

[Matrix: 0-5 points. If company has EMR rating less than or equal to 1 then give 5 points; if the company has EMR rating greater than 1 and less than 1.10 then give 3 points; if the company has EMR rating greater than 1.10 then give 0 points.]

Historically Underutilized Business (HUB) Plan

2. d. Does the company currently have a documented plan for engaging subcontractor participation from Historically Underutilized Businesses? Yes No If yes, please attach your company's HUB plan.

[Matrix: 0-3 points. If company has a current documented plan give 3 points. If not, give 0 points.]

2. e. What has been your company's typical percentage level of Historically Underutilized Business participation for similar projects in North Carolina for the past 5 years? _____%

List the HUB participation you provided in **three "similar" projects cited in Section 3. e.** as defined below, including name, percentage achieved and CM/GC/Owner representative's name and telephone number.

Project Name	HUB %	CM/GC/Owner's Rep	Contact Phone #

[Matrix: 0-3 points, 3 points total. If information provided for each project, give 1 point per project. If information is not provided per project, give 0 points per project. To get points, not all HUB % listed needs to be over 10%]

Litigation/Claims

2. f. (1) Has your company been involved in any judgments, claims, arbitration or mediation proceedings, or suits within the last five years, whether resolved or still pending resolution? Yes No If yes, state the project name(s), year(s), case number and reason why: _____

[Matrix: 0-4 points. If "Yes," with no explanation given then give 0 points; if "Yes" with an explanation given or "No" then give 5 points]



Prequalification Form for First –Tier Subcontractors under CM at Risk

2. f. (2) Are there currently any judgments, claims, arbitration or mediation proceedings or suits pending or outstanding against your company, its officers, owners, or agents? Yes No If yes, state the project name(s), year(s), case number and reason why: _____

[Matrix: 0-4 points. If “Yes,” with no explanation given then give 0 points; if “Yes” with an explanation given or “No” then give 5 points]

SECTION 3. PROJECT SPECIFICS

3.a. The assigned project superintendent for this project shall be: _____.
Include a resume. Have you included a resume? Yes No

[Matrix: 0-2 points. If resume included, give 2 points. If not, give 0 points.]

3.b. The experience this superintendent has on this specific type of project is: ___ 0-2 ___ 3-4 ___ 5-10 ___ >10 years.

[Matrix: 0-5 points. If 0-2 years give 1 pt, 3-4 years give 2 pts, 5-10 years give 4 pts, >10 years give 5 pts.]

3.c. The assigned project manager for this project shall be _____.
Include a resume. Have you included a resume? Yes No

[Matrix: 0-2 points. If resume included, give 2 points. If not, give 0 points.]

3.d. The experience this project manager has on this specific type of project is: ___ 0-2 ___ 3-4 ___ 5-10 ___ >10 years.

[Matrix: 0-5 points. If 0-2 years give 1 pt, 3-4 years give 2 pts, 5-10 years give 4 pts, >10 years give 5 pts.]

Similar Projects

3.e. List three (3) current or completed projects of similar type which most closely reflects the size and complexity of the type of work being requested for the currently proposed project within the last 5 years.

#1 –Similar - Project Name	(In addition to project information and at a minimum, list out entity who is providing your reference below)
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
GC or CM Name/Representative	
GC or CM Address/Phone #/Email	

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SECTION 3: PROJECT SPECIFICS

- 3.a.-3.d. – Project Team
- Similar Projects
- References
 - 5 points each!
- Six total projects requested
 - 30 possible points!
 - +40% of necessary points



Scoring Matrix

			1	2	3	4
			ABC CONCRETE	XYZ CONCRETE	123 CONCRETE	JOHN DOE CONCRETE
Form #	Description	Completed	yes / no / n/a			
1. MINIMUM REQUIREMENTS						
1.a.	Primary/Main Office Location	yes / no	Y	Y	Y	Y
1.b.	Business Type	yes / no	Y	Y	Y	Y
1.c.	Licensing Information	yes / no	Y	Y	Y	Y
1.d.	Type of Work Performed	yes / no	Y	Y	Y	Y
1.e.(1)	Bonding - Surety letter attached, if required by Bid Package	yes / no	Y	Y	Y	Y
1.e.(2)	Bonding - Funds expended by Surety Co. on firm's behalf	yes / no	Y	Y	Y	Y
1.f.	Insurance certificate attached	yes / no	Y	Y	Y	Y
1.g. (1)	Financial Statements attached	yes / no	Y	no	Y	Y
1.g. (2)	Financial Metrics achieved	yes / no	Y	Y	Y	Y
4. Signature (See end of Form)						
4.a.	Signed and Dated	yes / no	Y	Y	Y	Y
4.b.	Notary Certification	yes / no	Y	Y	Y	Y
(Must meet minimum requirements to proceed to Section 2/3)						

Scoring Matrix

			1	2	3	4
			ABC CONCRETE	XYZ CONCRETE	123 CONCRETE	JOHN DOE CONCRETE
2. GENERAL REQUIREMENTS			Max Pts	Pts	Pts	Pts
2.a.(1)	Experience - Annual dollar value last 3 years	6	6		6	6
2.a.(2)	Experience - Number of current projects under contract	5	5		5	5
2.a.(3)	Experience - Largest job completed	5	5		5	5
2.a.(4)	Experience - Current Backlog Amount	5	5			
2.a.(5)	Experience - Selected Contract 1	5	5		5	5
2.a.(5)	Experience - Selected Contract 2	5			5	5
2.a.(5)	Experience - Selected Contract 3	5				5
2.b.(1)	Failed to complete construction contract	5	5		5	5
2.b.(2)	Paid Liquidated Damages on a project	3	3		3	3
2.b.(3)	Convicted of conflicts of interest/bribery/bid-rigging	3	3		3	3
2.b.(4)	Barred from public work in NC	3	3		3	3
2.c.	EMR rate less than/equal 1 or greater than 1 less than 1.10	5	5		5	
2.d.	Documented HUB Plan	3	3		3	
2.e.	Documented HUB Participation on 3 representative projects	3	3		3	3
2.f. (1)	Lawsuits, Arbitrations or Mediations - Last five (5) years?	5	5		5	
2.f. (2)	Judgements, Claims, Arbitrations, Lawsuits - Pending/Outstanding?	5				
Subtotal		71	56	0	56	48

Scoring Matrix

			1	2	3	4
			ABC CONCRETE	XYZ CONCRETE	123 CONCRETE	JOHN DOE CONCRETE
3. PROJECT SPECIFIC REQUIREMENTS		Max Pts	Pts	Pts	Pts	Pts
3.a.	Project Superintendent included resume	2	2			2
3.b.	Superintendent Experience	5	5		5	2
3.c.	Project Manager included resume	2	2			2
3.d.	Project Manager Experience	5	5		5	3
3.e.(1)	Similar Project Information 1	5				5
3.e.(2)	Similar Project Information 2	5	5		5	5
3.e.(3)	Similar Project Information 3	5	5			
Subtotal		29	24	0	15	19
TOTAL POINTS		100	80	0	71	67
All scores 70 and above will be prequalified.						

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SCORING MATRIX

- Every form is scored...point by point
- Scoring on the official Matrix corresponds directly with the Prequalification Form
- 70 of 100 possible points required for prequalification



1	2	3	4
ABC CONCRETE	XYZ CONCRETE	123 CONCRETE	JON DOE CONCRETE

Form #	Description	Completed	yes / no / n/a			
1. MINIMUM REQUIREMENTS						
1.a.	Primary/Main Office Location	yes / no	Y	Y	Y	Y
1.b.	Business Type	yes / no	Y	Y	Y	Y
1.c.	Licensing Information	yes / no	Y	Y	Y	Y
1.d.	Type of Work Performed	yes / no	Y	Y	Y	Y
1.e.(1)	Bonding - Surety letter attached, if required by Bid Package	yes / no	Y	Y	Y	Y
1.e.(2)	Bonding - Funds expended by Surety Co. on firm's behalf	yes / no	Y	Y	Y	Y
1.f.	Insurance certificate attached	yes / no	Y	Y	Y	Y
1.g. (1)	Financial Statements attached	yes / no	Y	no	Y	Y
1.g. (2)	Financial Metrics achieved	yes / no	Y	Y	Y	Y
4. Signature (See end of Form)						
4.a.	Signed and Dated	yes / no	Y	Y	Y	Y
4.b.	Notary Certification	yes / no	Y	Y	Y	Y
(Must meet minimum requirements to proceed to Section 2/3)						
2. GENERAL REQUIREMENTS		Max Pts	Pts	Pts	Pts	Pts
2.a.(1)	Experience - Annual dollar value last 3 years	6	6		6	6
2.a.(2)	Experience - Number of current projects under contract	5	5		5	5
2.a.(3)	Experience - Largest job completed	5	5		5	5
2.a.(4)	Experience - Current Backlog Amount	5	5		5	5
2.a.(5)	Experience - Selected Contract 1	5			5	5
2.a.(5)	Experience - Selected Contract 2	5			5	5
2.a.(5)	Experience - Selected Contract 3	5	5		5	5
2.b.(1)	Failed to complete construction contract	5	5		5	5
2.b.(2)	Paid Liquidated Damages on a project	3				
2.b.(3)	Convicted of conflicts of interest/bribery/bid-rigging	3	3		3	3
2.b.(4)	Barred from public work in NC	3	3		3	3
2.c.	EMR rate less than/equal 1 or greater than 1 less than 1.10	5	3			
2.d.	Documented HUB Plan	3	3		3	3
2.e.	Documented HUB Participation on 3 representative projects	3	3		2	3
2.f. (1)	Lawsuits, Arbitrations or Mediations - Last five (5) years?	5	5		5	5
2.f. (2)	Judgements, Claims, Arbitrations, Lawsuits - Pending/Outstanding?	5	5		5	5
		Subtotal	71	56	0	50
3. PROJECT SPECIFIC REQUIREMENTS		Max Pts	Pts	Pts	Pts	Pts
3.a.	Project Superintendent included resume	2		2		2
3.b.	Superintendent Experience	5	5		5	2
3.c.	Project Manager included resume	2	2		2	2
3.d.	Project Manager Experience	5	4		4	3
3.e.(1)	Similar Project Information 1	5	5		5	5
3.e.(2)	Similar Project Information 2	5	5		5	5
3.e.(3)	Similar Project Information 3	5				
		Subtotal	29	23	0	19
TOTAL POINTS		100	79	0	73	69
All scores 70 and above will be prequalified.						

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A look inside the process



A look inside the process

- All prequalification submittals are thoroughly reviewed and scored
- In our experience, ~ **1 in 25** submittals achieves 70 points without any additional work
 - *Without any referrals from 2.a.(5) or 3.e. – max possible score is 70*
- In our experience, ~ **1/2** of the remaining submittals are complete enough to begin pursuing positive referrals.

A look inside the process

- In our experience, **~1/3** of provided references respond to the initial email requesting a positive referral
- In our experience, the number increases to **~1/2** with follow-up phone calls & emails
- Average bid packages: 35
- Average submissions per package: 6
- **Average total submissions: 210**

NAC's suggestions for future success

- Don't give away free points!
- Spreadsheet (*template*) / Folder
- Create an "attachment checklist"
- Make practice of getting to know owners/architects
 - Introduction at pre-bid meetings to have initial contact
- Send thank you after completion to help them remember you!
- Notify people that you have listed them as a reference and ask them to respond promptly if requested

North
Carolina
State
Construction
Conference

03.02.17

QUESTIONS?



NewAtlantic

CONTRACTING, INC.