

**State of North Carolina
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.

PREQUALIFICATION DUE DATE/TIME: October 31, 2016 5:00 PM
(date) (time)

Submitted to: John Schlobohm
 Contact Name receiving prequalifying packages

Balfour Beatty Construction
 CM @ R Firm

1930 Camden Road, Suite 280
 Address

Charlotte, NC 28203
 City/State Zip Code + 4

704-719-6362 704-319-4091
 Phone number Fax Number

unccscotthall@balfourbeattyus.com
 E-mail address

Project: Scott Hall Renovation
 Name of Project

University of North Carolina at Charlotte
 Project Owner

9201 University City Blvd, Charlotte, NC 28223
 Project Location/Address

KSQ Design
 Project Architect

N/A May 17, 2017
 Project Phase Project Start Date (Approx.)

13 months January 24, 2017
 Project/Phase Duration Anticipated Bid Date

\$17,700,000 N/A
 Total Project Budget Phase Budget

Insurance Program: OCIP _____ CCIP _____ SubGuard _____ None X

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

Scott Hall is an existing 12 story residence hall located in South Village on the campus. The façade will include installing brick veneer, cast stone and new windows. Existing façade of Scott Hall also requires repair work for delaminated concrete and precast panels.

The Ground and 1st Floors are being gutted to provide reconfigured floor layout. Floors 2 -11 will maintain their current layout for the student rooms with several rooms being decommissioned to provide lounge areas. The center of each student floor will be renovated to provide larger bathroom areas. At completion of renovation, the new layout will provide 210 rooms which will accommodate 400 students and 10 resident assistants

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
01B	Final Cleaning	\$ 20,000	<input type="checkbox"/>
02A	Demolition	\$ 800,000	<input type="checkbox"/>
03A	Concrete	\$ 40,000	<input type="checkbox"/>
04A	Masonry	\$ 1,200,000	<input type="checkbox"/>
05A	Structural Steel and Misc. Metals	\$ 200,000	<input type="checkbox"/>
06A	Millwork	\$ 320,000	<input type="checkbox"/>
07A	Waterproofing and Caulking	\$ 225,000	<input type="checkbox"/>
08A	HM Doors and Frames, Wood Doors, Hardware	\$ 850,000	<input type="checkbox"/>
08C	Aluminum Storefront, Aluminum Windows	\$ 1,200,000	<input type="checkbox"/>
09A	Drywall, Metal Framing	\$650,000	<input type="checkbox"/>
09B	Acoustical Assemblies	\$ 90,000	<input type="checkbox"/>
09C	Combination – Drywall and Acoustical	\$ 725,000	<input type="checkbox"/>
09D	Hard Tile	\$ 15,000	<input type="checkbox"/>
09E	Flooring	\$ 550,000	<input type="checkbox"/>
09F	Combination – Hard Tile and Flooring	\$ 555,000	<input type="checkbox"/>
09G	Painting	\$230,000	<input type="checkbox"/>
10A	Specialties	\$ 180,000	<input type="checkbox"/>
10B	Signage	\$ 75,000	<input type="checkbox"/>
12B	Window Treatments	\$ 15,000	<input type="checkbox"/>
14A	Elevators	\$ 575,000	<input type="checkbox"/>
21A	Fire Protection	\$ 160,000	<input type="checkbox"/>

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22A	Plumbing	\$ 890,000	<input type="checkbox"/>
23A	HVAC	\$ 950,000	<input type="checkbox"/>
23B	Test and Balance	\$ 20,000	<input type="checkbox"/>
26A	Electrical	\$ 3,500,000	<input type="checkbox"/>
31A	Sitework	\$ 125,000	<input type="checkbox"/>
32B	Landscaping and Irrigation	\$ 50,000	<input type="checkbox"/>
07B	Roofing	\$ 50,000	<input type="checkbox"/>

SECTION 1. GENERAL COMPANY INFORMATION

1. a. Primary/Main office location

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: 0-2 points. If completely filled in give 2 points. If not, give 0 points.]

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: _____

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

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[Matrix: 0-1 points. If completely filled in give 1 points. If not, give 0 points.]

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

<u>NCLicensenumber/nameoflicensee</u>	<u>LicenseLimit/Level</u>	<u>State/County/City PrivilegeLicense(providecopy)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

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

[Matrix: 0-1 points. If completely filled in give 1 points. If not, give 0 points.]

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: 0-1 points. If completely filled in give 1 points. If not, give 0 points.]

Bonding

1. e. (1) Attach 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 under the A.M. Best Rating system or The Federal Treasury List.

Have you attached a surety letter? Yes No

[Matrix: 0-2 points. If surety letter attached give 2 points. If not, give 0 points.]

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

[Matrix: 0-2 points. If no funds expended by surety company give 2 points. If not, give 0 points.]

Insurance

1. f. The minimum requirements of coverage are listed in Article 34 of the State Construction General Conditions. Firms must indicate that they can provide evidence of insurance coverage, should they be the successful bidder by attaching a copy of their insurance certificate. Have you attached a copy of your insurance certificate? Yes No

Workers Compensation Insurance as required by law and Employer’s Liability Insurance Coverage with minimum limits of \$100,000.

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Comprehensive general liability with minimum limits of \$500,000 per occurrence for bodily injury and \$ 100,000 per occurrence/\$300,000 aggregate for property damage.

Is your firm willing to participate in an OCIP/CCIP insurance program if requested by the Owner/CM? Yes No

[Matrix: 0-3 points. If insurance certificate attached give 3 points. If not, give 0 points.]

Financials

1. g. Attach latest 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. (Firm must submit financial data and may clearly indicate a request for confidentiality to avoid this item from becoming part of a public record.) Have you attached a balance sheet? Yes No

[Matrix: 0-3 points. If financials attached give 3 points. If not, give 0 points.]

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)
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[Matrix: 0-3 points. For each year completed give 1 point 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 contract amount);
\$ _____ (Projects current amount remaining to bill)

[Matrix: 0-3 points. If section completed give 3 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. Take the “dollar amount of largest job completed” and multiply by 1.5. If the result is larger than the estimated package cost then give 5 points. If the result is smaller then give 0 points.]

2. a. (4) Current Backlog \$ _____ (Dollar Amount)

[Matrix: 0-5 points. Take “current backlog” dollar amount and add “largest job completed (2.a.(3)) multiplied by 1.5”. If the result is smaller than the average of the “annual dollar amounts” listed in (2.a.(1)) multiplied by 1.5, then give 5 points. If the result is larger then give 0 points.]

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

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#1 –Project Name	
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	
#2 –Project Name	
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	
#3 –Project Name	
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	

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GC or CM Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	

[Matrix: 0-3 points for each project listed. For each project above, give 1 point for each positive reference from the owner, architect and GC/CMR.]

Office Locations

2. b. Will this project be managed and directed from an office in NC? An office in NC is defined as “The principal place from which the trade or business of the bidder is directed or managed,” per GS 143-59 (c). Yes No

[Matrix: 0-3 points. If office location is managed and directed from NC office give 3 points. If not, give 0 points.]

Litigation/Claims

2. c. (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: 0-2 points. If company has not been involved in any of the above give 2 points. If they have, give 0 points.]

2. c. (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: 0-2 points. If there are no current judgments, claims, arbitration, suits or mediation pending give 2 points. If there is, give 0 points.]

2. c. (3) Has your company ever failed to complete work awarded 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 given 5 points. If they have failed to complete work then, give 0 points.]

2. c. (4) 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 “Yes” without sufficient explanation, give 0 points. If “No,” give 3 points.]

2. c. (5) 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. _____

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

2. c. (6) 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,” 3 points.]

Safety Record

2. d. 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 EMR rate is less than or equal to 1 then give 5 points. If not, give 0 points.]

Historically Underutilized Businesses (HUB) Plan

2. e. 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.]

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.]

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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 10 years.

#1 –Similar - Project Name	
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	
#2 –Similar - Project Name	
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	
#3 –Similar - Project Name	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	

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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. For each similar project listed above give 2 points. In addition, for each project above, give 1 point for each positive reference from the owner, architect and GC/CMR.]

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SECTION 4. SIGNATURE

By signing this document, you are acknowledging that all answers are true to the best of your knowledge. Any answers found to be falsified will bar you from being prequalified on this project.

Company Name (as licensed in NC)

Physical Address

Mailing Address

a. Dated this day of: _____

Submitted by:

Signature By Authorized Officer

Print Title of Authorized Officer

Phone: _____
Contact person's phone number

E-mail: _____
Contact person's E-mail address

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 Notary Seal or Stamp)

Signature of Notary Public

My commission expires _____, 20__

[Matrix: 0-2 points. If signature section fully executed with notary give 2 points. If not, 0 points.]

State of North Carolina Prequalification Policy

- A. **Governing Law (Session Law 2014-42)**
This policy is in effect for all prequalifications on State of NC work, including single prime project delivery and construction manager at risk first-tier subcontractors. G.S. 143-135.8(b)(2) requires the governmental entity to “adopt 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.” This policy satisfies this requirement for State agencies and universities and the community colleges.
- B. **Requirements for Prequalification Criteria Form and Assessment**
1. Uniform, consistent, and transparent in its application to all bidders.
 2. All bidders who meet the prequalification criteria to be prequalified are allowed to bid on the construction or repair work project.
 3. Criteria must be rationally related to construction or repair work.
 4. The bidder is not required to have been previously awarded a construction or repair project by the governmental entity.
 5. Bidders are permitted to submit history or experience with projects of similar size, scope, or complexity
 6. Assessment process of prequalification is stated in this policy.
 7. A process for a denied bidder to protest is stated below in this policy.
 8. A process for notifying a denied prequalified bidder is stated below in this policy.
- C. **Review of Application**
1. **Prequalification Committee** – The owner and/or construction manager shall agree upon the members of the prequalification committee. The Prequalification Official (For State Agencies, the Director of State Construction; for Universities, the Chief Financial Officer (CFO) of the University Campus for projects under \$500,000, between \$500,000 and \$2,000,000 the Associate Vice President for Finance and Capital Planning with University of North Carolina – General Administration, for projects over \$2,000,000 the Director of State Construction; and for Community Colleges, under \$500,000 the Director of Administrative and Facility Services with Community Colleges System Office and over \$500,000 the Director of State Construction) shall not be on the prequalification committee. The prequalification committee will review prequalification applications submitted by the firms and will determine each firm’s prequalification eligibility for the project.
 2. **Review of Application** – The prequalification committee shall use the objective assessment process form developed by the State Construction Office. The prequalification committee shall approve or deny the applications in accordance with the prequalification criteria and scoring system based upon the applicants’ initial response to the Owning Agency’s solicitation for qualified bidders. With the possible protests and appeals on prequalification and the times associated with responses, the owner should have the advertisement for prequalification out to potential applicants at least two (2) months prior to actual bid date.
 3. **Notice of Decision** – All firms that submitted applications for prequalification shall be promptly notified of the prequalification committee’s decision, including the reason for denial, via e-mail. Notice shall be provided prior to the opening of bids for the project and with sufficient time for the firm to appeal the denial of prequalification.
 4. **Informal Meeting** - Upon denial, the applicant may request an informal meeting with the owner’s representative and/or construction manager to receive feedback and suggestions for

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improvement. The Owner's representative and/or construction manager shall hold a feedback session for the applicants who do not appeal the decision within 2 weeks of the request.

5. Firms wishing to appeal the decision shall follow the appeals process described below.

D. Appeals Procedure

1. The firm may appeal the denial of Prequalification as noted below.
 - a. Initial Protest – A firm denied prequalification may protest the prequalification committee's decision by filing a written appeal via hand-delivery or e-mail to the applicable prequalification committee within three (3) business days of emailed notice that the firm has been denied prequalification. The written appeal shall clearly articulate the reasons why the firm is contesting the denial (i.e., explains how the firm satisfied all required criteria for prequalification in the government's solicitation in their initial response) and attach all documents supporting the firm's position. The prequalification committee may contact the firm regarding the information provided prior to ruling on the protest. The Prequalification Committee should review the written protest within five (5) business days. 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 notified in writing via e-mail.
 - b. Appeal – Within three (3) business days of the owner's emailed notice of the Prequalification Committee's written protest decision, the denied prequalified firm may appeal the prequalification committee's decision, in writing, via hand-delivery or e-mail, to the Prequalification Official (see C.1 above). The Prequalification Official should review the appeal within five (5) business days. In the event the Prequalification Official is unable to review in a timely manner, he/she may designate a representative that is not a member of the prequalification committee to handle the appeal.
 - c. Decision on Appeal – The decision of the Prequalification Official or Representative on the appeal shall be final, and the firm shall be promptly notified of the decision.
 - d. General Rules for Protests and Appeals – Firms submitting prequalification applications shall be provided an e-mail address for the communication with the owner and/or construction manager during the protest and appeal process. The firm shall provide at least two e-mail addresses for use by the owner and/or construction manager in communicating with the firm. In the event the Prequalification Official or Representative is unable to render a decision on either the initial protest or the appeal prior to the bid date, the firm shall be allowed to submit a bid on the project subject to a final decision on the protest or appeal. If the firm's bid is opened prior to a final decision on the protest or appeal and the bid is not the lowest monetary bid for the project, the appeal shall be terminated and rendered moot. Bids received from firms who have been ruled disqualified to bid shall not be opened. A firm's failure to comply with any requirements of the protest and appeals procedures of this section shall result in the firm's protest or appeal being terminated and rendered moot.