

**Wake County
Contractor Prequalification Application**

Project Title Here

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Wake County
Facilities Design & Construction
Wake County Office Building 11th Floor
PO Box 550
Raleigh, NC 27602
919-856-6350

Date Here

Project Summary & Application Overview

A. Project Overview

Wake 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 Wake 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 Wake 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 Wake 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 Wake County to be prequalified to bid on the project. ***No bid shall be accepted by Wake 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 **Wake 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{update as needed}], tabbed copies of this application package shall be submitted to:**

Wake County Facilities Design & Construction
Attention: _____

Phone No. _____
Email _____

Delivery Address
336 Fayetteville St.
Wake County Office Building, 11th Floor
Raleigh, NC 27601

Mailing Address
PO Box 550
Raleigh, NC 27602

(Insert Date and Time Prequalification packages due)

Wake 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 Wake 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 Wake County from the applicant, or any other relevant information known to Wake 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 – Application Certification

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 Section I. which will be available no later than **(Insert Time/Date Here)**, of at least:

\$ (Insert Value Here)
4. Provide evidence of insurance coverage, which will be available no later than **(Insert Time/Date Here)**, as indicated in Section I.
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 Sections II and IV

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
 - a. **[If additional specific criteria to the project is important for consideration, please add here]**
- 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 Wake 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 Director of Facilities Design & Construction 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 Wake County when received.

3. Wake 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 the Wake County Facilities Design & Construction office in writing 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 as follows, should they subsequently be the successful bidder. Evidence of insurance in the required amounts can be provided.

1. Worker's Compensation insurance as required by law and Employer's Liability Insurance coverage with minimum limits of \$1,000,000.
2. Automobile Liability insurance with a combined single limit of \$1,000,000.
3. General Liability insurance with minimum limits of \$2,000,000 each for general aggregate per

project, operations aggregate, personal injury and advertising injury coverages and \$1,000,000 bodily injury and property damage csl/each occurrence.

4. Umbrella Liability policy over the underlying General Liability of \$3,000,000 each occurrence and aggregate.
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

[6. Pollution Legal Liability \$1,000,000 per loss/ \$2,000,000 all losses] [Determine if necessary for each individual project]

Section II

Company Profile & History

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 the State of North Carolina and/or related public agencies and/or this specific agency/institution? ___ 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. ___ projects totaling \$ _____.
3. 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 arbitration proceedings within the last five (5) years?
 Yes No (If yes, explain)
4. Are there currently any judgments, claims, 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 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 Wake 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

SECTION I - Basic Overview of Firm (Prerequisite Criteria)			
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)		
	Must meet all requirements in this Section to proceed	Total Score - This Section	5
SECTION II - Company Profile & History			
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 (0-5)	5	
C.1	Staff Qualifications (0-5)	5	
C.2	Project Specific Staff Experience (0-5)	5	
C.3	Staff Availability & Workload (0-5)	5	
D.1-2	Dollar Value of Projects Under Contract (0-2)	2	
D.3	List of Largest Contracts	1	
	Total Score - This Section	35	
SECTION III- Contractor Performance History			
A.1-4	Safety Record: EMR <= 1.00; IRR < 4.00; LCDR < 0.08 (1pt. 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	Banned 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	
	Total Score - This Section	25	
SECTION IV- Contractor Project Record *			
A.1	NC/Local Projects Within Past 5 Years	5	
B.1	Similar project examples 1 of 3	10	
	Similar project examples 2 of 3	10	
	Similar project examples 3 of 3	10	
	(Optional) Other criteria that may be pertinent (list with point totals)		
	Total Score - This Section	35	
	TOTAL POINTS	100	
* Note: May adjust point total for specific projects and additional criteria, as necessary, as long as the maximum score for this section is unchanged.			