

**State of North Carolina**  
**Prequalification for First –Tier Subcontractors under CM at Risk**

NC General Statute 143.128.1.c states, "The construction manager at risk shall contract directly with the public entity for all construction; shall publicly advertise as prescribed in G.S. 143-129; and shall prequalify and accept bids from first-tier subcontractors for all construction work under this section. The prequalification criteria shall be determined by the public entity and the construction manager at risk to address quality, performance, the time specified in the bids for performance of the contract, the cost of construction oversight, time for completion, capacity to perform, and other factors deemed appropriate by the public entity. The public entity shall require the construction manager at risk to submit its plan for compliance with G.S. 143-128.2 for approval by the public entity prior to soliciting bids for the project's first-tier subcontractors. A construction manager at risk and first-tier subcontractors shall make a good faith effort to recruit and select minority businesses for participation in contracts pursuant to G.S. 143-128.2."

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 construction manager at risk in accordance with project criteria, prequalification plan and G.S. 143-128.2

**Pages 1-3 will be updated for each specific project. Sections 1 and 2, pages 4 and following, gather general company information and criteria, to be updated at least semi-annually, and more often if changes warrant.**

**PREQUALIFICATION DUE DATE/TIME:** Wednesday, March 14, 2012 at 5:00PM EST  
(date) (time)

**Submitted to:** Justin Frank  
Contact Name receiving prequalifying packages  
Holder Construction Company  
CM @ R Firm  
2201 Water Ridge Parkway, Suite 540  
Address  
Charlotte, NC 28217  
City/State Zip Code + 4  
(704) 357-4208 (704) 357-4208  
Phone number Fax Number  
jfrank@holder.com  
E-mail address

**Project:** UNC Charlotte – Scott Residence Hall Fire Suppression Sprinkler System  
Name of Project

The University of North Carolina at Charlotte  
Project Owner

Aon Fire Protection Engineering  
Project Architect

May 14, 2012  
Project Start Date (Approx.)

Two (2) Months April 4, 2012  
Project Duration Anticipated Bid Date

\$2,280,000  
Total Project 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.)

The Scott Residence Hall project includes the addition of a fire suppression sprinkler system and renovation of the fire alarm system in this 100,000SF, 11 story building. The scope also includes connecting the adjacent residence hall to Scott Hall with underground water and electrical utilities. The following trade packages will be solicited as a part of this project:

**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.**

<b>Bid Pkg</b>	<b>Scope of Work</b>	<b>Preliminary Budget</b>	<b>Check Box if Prequalifying</b>
01A	Protection of Finishes	\$10,000	
01B	Final Cleaning	\$5,000	
02A	Sitework	\$80,000	
03A	Concrete Sidewalks	\$15,000	
09A	Drywall Systems	\$25,000	
09B	Acoustical Ceilings	\$125,000	
09C	Painting	\$15,000	
15A	Fire Protection	\$375,000	
15B	Plumbing	\$15,000	
16A	Electrical/ Fire Alarm	\$950,000	

List three (3) current or completed projects of **similar** type, size, and duration of proposed project.

<b>#1 –Similar - Project Name</b>	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	
<b>#2 –Similar - Project Name</b>	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	

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Architect Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	
<b>#3 –Similar - Project Name</b>	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	

**Section 1. MINIMUM REQUIREMENTS**

**1. a. General Company Information (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

**Organization**

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

Are you listed in Dun & Bradstreet?  Yes  No If yes, what is your number \_\_\_\_\_ rating \_\_\_\_\_?

Date founded: \_\_\_\_\_ State of Incorporation: \_\_\_\_\_ Federal ID #: \_\_\_\_\_

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Please indicate the following information about key officers, managers and principals:

Title: \_\_\_\_\_ Full Name: \_\_\_\_\_ Yrs Service: \_\_\_\_\_

Title: \_\_\_\_\_ Full Name: \_\_\_\_\_ Yrs Service: \_\_\_\_\_

Title: \_\_\_\_\_ Full Name: \_\_\_\_\_ Yrs Service: \_\_\_\_\_

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](http://www.doa.nc.gov/hub/swuc.htm)

\_\_\_\_\_ Other (specify) \_\_\_\_\_ Certifying Agency/State (specify)

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: \_\_\_\_\_

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

**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, \_\_\_\_\_

\_\_\_\_\_

Has a complaint ever been filed with a Contractor’s State License Board against your firm?  Yes  No

If yes, please explain briefly the circumstances. \_\_\_\_\_

\_\_\_\_\_

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

Primary Scope of Work: \_\_\_\_\_

Secondary Scope of Work: \_\_\_\_\_

Other Scope of Work: \_\_\_\_\_

**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

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1. e. (2) Bid, Payment and Performance Bonds are waived for Trade Packages under \$500,000 with the exception of the Fire Protection, Sitework, and Acoustical Ceiling Trade Packages. If submitting on multiple Trade Packages and the aggregate of the packages meets or exceeds \$500,000, Bid, Payment, and Performance Bonds will be required for each Trade Package.

1. e. (3) Have any Funds been expended by a Surety Company on your firm’s behalf?  Yes  No If yes, explain

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1. e. (4) List all surety companies that have provided bonds for your company for the past five (5) years, provide explanation required if more than one company.

Date	Firm	Reason
Date	Firm	Reason
Date	Firm	Reason

**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 \$1,000,000.
- Comprehensive general liability with minimum limits of \$1,000,000 per occurrence for bodily injury and \$1,000,000 per occurrence/\$2,000,000 aggregate for property damage.

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

**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

List, on a separate sheet, any lines of credit, including the identification of the financial institution holding the line of credit, contact name and phone number at the institution, current total line of credit, current balance available, and effective date of the stated balance (must be within the past 30 days).

Have you attached a line of credit statement?  Yes  No

**Section 2. GENERAL REQUIREMENTS**

**Experience**

2. a. Has your company ever performed construction work for the State of North Carolina and/or through related public agencies?  Yes  No If yes, list the names of the agency, project, dollar value, owner and architect names and

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contact phone numbers, scheduled completion and actual completion dates for all projects under contract with the last 3 years.

State Agency	Project Name	Dollar Value	Owner Agency Contact Info	Architect Contact Info	Scheduled-Actual Completion Date

**Size/Capacity/Workload**

**2. b. (1)** How many full-time permanent employees work for the company? \_\_\_\_\_

**2. b. (2)** If the company has more than one office location, how many full-time permanent employees work for the company at the location which will serve this project? \_\_\_\_\_

**2. b. (3)** 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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**2. b. (4)** Expected Annual Volume this Year \$ \_\_\_\_\_

**2. b. (5)** 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)

**2. b. (6)** What is your average job size? \_\_\_\_\_ Sq. Ft. \$ \_\_\_\_\_ ( Dollar Amount)

**2. b. (7)** What was your largest job completed? \_\_\_\_\_ Sq. Ft. \$ \_\_\_\_\_ ( Dollar Amount)  
 \_\_\_\_\_ Location \_\_\_\_\_ Year Completed

**2. b. (8)** Current Back Log \$ \_\_\_\_\_ (Dollar Amount)

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**2. b. (9)** List the three **biggest** contracts currently under contract or in progress, including for each, the name of the project, description of work performed, owner and architect names and phone numbers, contract dollar values, contract delivery method, percentage complete and currently anticipated completion dates.

<b>#1 –Project Name</b>	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	

<b>#2 –Project Name</b>	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
Contract Dollar Value	
Percentage Complete	
Current Anticipated Completion Date	

<b>#3 –Project Name</b>	
Description of Work Performed	
Contract Delivery Method (CM/GC)?	
Owner Name/ Representative	
Owner Address/Phone #/Email	
Architect Name/Representative	
Architect Address/Phone #/Email	
Contract Dollar Value	

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Percentage Complete	
Current Anticipated Completion Date	

**Office Locations**

**2. d.** 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 of managed,” per GS 143-59 (c).  Yes  No

**Litigation/Claims**

**2. e. (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: \_\_\_\_\_

**2. e. (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: \_\_\_\_\_

**2. e. (3)** Has your company filed any claims with the North Carolina State Construction Office within the last five years, whether directly or indirectly through a General Contractor?  Yes  No If yes, state the project name(s), year(s), case number and reason why: \_\_\_\_\_

**2. e. (4)** 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: \_\_\_\_\_

**2. e. (5)** Has your company 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 If yes, state the project name(s), year(s), and reason why: \_\_\_\_\_

**Safety Record**

**2. f.** 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: \_\_\_\_\_

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**Historically Underutilized Business (HUB) Plan**

**2. g. (1)** 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.

**2. g. (2)** What has been your company’s average percentage level of Historically Underutilized Business participation for projects in North Carolina for the past 5 years: \_\_\_\_\_%

List the HUB participation you provided in the three projects cited in Section 2.b.(9) – “Biggest” Projects

<b>Project Name</b>	<b>HUB %</b>	<b>Owner’s Rep</b>	<b>Contact Phone #</b>

**2. g. (3)** How can you provide HUB participation your projects? Explain \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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**3. Signature**

By signing this document, you are acknowledging that all answers are true to the best of your knowledge.

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