



## **STATE OF NORTH CAROLINA**

### **REQUEST TO PREQUALIFY CONTRACTORS FOR RESIDENTIAL CONSTRUCTION SERVICES (“RFPQ”)**

**(Rehabilitation, Reconstruction, Demolition, and/or Elevation and Manufactured  
Housing Unit Replacement)**

**RFPQ # 19-RFP-014914-GSX**

**Date of Issue: December 6, 2019**

**Application Opening Date: February 14, 2020 at 2:00 PM ET\***

ISSUING AGENCY: North Carolina Department of Public Safety,  
North Carolina Office of Recovery and Resiliency (NCORR)

**\*NOTE: Applications received before the Opening Date will be processed upon receipt.**

## Table of Contents

<b>1.0</b>	<b>PURPOSE.....</b>	<b>3</b>
<b>2.0</b>	<b>GENERAL INFORMATION.....</b>	<b>3</b>
2.1	<i>DEFINITIONS, ACRONYMS, AND ABBREVIATIONS.....</i>	<i>3</i>
2.2	<i>REQUEST FOR PREQUALIFICATION SCHEDULE.....</i>	<i>4</i>
2.3	<i>QUESTIONS ABOUT PREQUALIFICATION.....</i>	<i>4</i>
2.4	<i>PREQUALIFICATION CONTENTS.....</i>	<i>5</i>
<b>3.0</b>	<b>METHOD OF AWARD AND PREQUALIFICATION EVALUATION PROCESS.....</b>	<b>5</b>
3.1	<i>CONFIDENTIALITY DURING PROCESS.....</i>	<i>6</i>
3.2	<i>INTERPRETATION OF TERMS AND PHRASES.....</i>	<i>6</i>
<b>4.0</b>	<b>REQUIREMENTS.....</b>	<b>6</b>
4.1	<i>APPROVED PRICING CHARGES AND COSTS.....</i>	<i>6</i>
4.2	<i>INVOICES.....</i>	<i>7</i>
4.3	<i>FINANCIAL STABILITY.....</i>	<i>7</i>
4.4	<i>CONTRACTOR EXPERIENCE.....</i>	<i>8</i>
4.5	<i>REFERENCES.....</i>	<i>8</i>
4.6	<i>BACKGROUND CHECKS.....</i>	<i>8</i>
<b>5.0</b>	<b>SCOPE OF PREQUALIFICATION.....</b>	<b>9</b>
5.1	<i>SCOPE OF SERVICES.....</i>	<i>9</i>
5.2	<i>DESCRIPTION OF SERVICES AND REQUIREMENTS.....</i>	<i>10</i>
5.3	<i>DEMOLITION SCOPE OF WORK.....</i>	<i>10</i>
5.4	<i>REHABILITATION SCOPE OF WORK.....</i>	<i>12</i>
5.5	<i>RECONSTRUCTION SCOPE OF WORK.....</i>	<i>13</i>
5.6	<i>MHU REPLACEMENT SCOPE OF WORK.....</i>	<i>14</i>
5.7	<i>ELEVATION SCOPE OF WORK.....</i>	<i>16</i>
5.8	<i>ADDITIONAL REQUIREMENTS.....</i>	<i>16</i>
5.9	<i>PREQUALIFICATION RESCISION.....</i>	<i>16</i>
5.10	<i>NO GUARANTEE OF VOLUME OR USAGE.....</i>	<i>17</i>
5.11	<i>SCOPE OF WORK AUTHORIZATION AND COMPENSATION.....</i>	<i>17</i>
5.12	<i>PROJECT AWARDDING METHODOLOGY.....</i>	<i>17</i>
	<b>ATTACHMENT A: LOCATION OF WORKERS UTILIZED BY CONTRACTOR.....</b>	<b>19</b>
	<b>ATTACHMENT B: PREQUALIFICATION QUESTIONNAIRE.....</b>	<b>20</b>
	<b>ATTACHMENT C: PREQUALIFICATION POLICY.....</b>	<b>27</b>

---

## 1.0 PURPOSE

---

NCORR is seeking to qualify highly skilled prime construction contractors to perform, or cause to be performed: rehabilitation, reconstruction, manufactured housing unit replacement, demolition and/or elevation of eligible structures through NCORR recovery programs. See [rebuild.nc.gov](http://rebuild.nc.gov) for the State's Action Plan(s) and Program Manual(s) defining these construction activities.

This RFPQ is not a contract. Prequalified Contractors will have the ability to bid upon construction work administered by NCORR. The individual Requests for Bid ("RFB") will be the contracts.

---

## 2.0 GENERAL INFORMATION

---

### 2.1 DEFINITIONS, ACRONYMS, AND ABBREVIATIONS

- a) **APPLICATION:** This Request for Prequalification and Contractor's Application.
- b) **AUDIT:** The contract(s) awarded pursuant to this RFP are subject to audits by state and federal agencies and/or their authorized independent auditors. The auditors may conduct of contract performance, financial and/or forensic/fraud audits.
- c) **BID PRICING BOOK:** The State has prepared and attached a Benchmark Bid Pricing Book that will be used for project execution of the award or assignment of projects. A copy of the Bid Pricing Book is listed as Exhibit 1 to this RFPQ and may be accessed on the DPS website at <https://www.ncdps.gov/documents/rfp-19-RFP-014914-GSX>. Contractors shall accept the pricing contained in NCORR's Bid Pricing Book.
- d) **CDBG-DR:** The Community Development Block Grant – Disaster Recovery. This is a federal grant award issued to support Hurricane Matthew recovery efforts, and related disaster events in North Carolina authorized and funded by the U.S. Department of Housing and Urban Development and is awarded to the State of North Carolina. For the purposes of this RFPQ, CDBG-DR will also include Community Development Block Grant – Mitigation funds.
- e) **CONSTRUCTION MANAGER or CM:** A North Carolina-licensed general GC with construction management experience awarded a contract by NCORR that will provide NCORR construction management services.
- f) **CONTRACTOR(S) or GC(s):** The Contractors prequalified pursuant to this Request for Prequalification.
- g) **DPS:** North Carolina Department of Public Safety.
- h) **MANUFACTURED HOUSING UNIT (MHU) –** A dwelling unit composed of one or more components substantially assembled in a manufacturing plant and designed to be transported to a building site on its own chassis for placement on a supporting structure. It is constructed in accordance with the standards established in the U.S. Department of Housing and Urban Development's building code for manufactured housing. It is not constructed in accordance with the standards established in the state and local building codes that are applicable to site-built homes.
- i) **NCORR:** North Carolina Department of Public Safety, Office of Recovery and Resiliency.

- j) **PE:** Professional Engineer.
- k) **RA:** Registered Architect.
- l) **RFB:** Request for Bid
- m) **SCOPE OF WORK:** The agreed upon duties and responsibilities of the general contractor for each project site. The Scope of Work may only be altered by a change order.
- n) **STATE:** The State of North Carolina, including any of its sub-units and political subdivisions recognized under North Carolina law.
- o) **STATE AGENCY:** For purposes of this RFPQ, any sub-unit within the executive branch of the State, State Officials or Council of State Agencies that may have statutory, managerial or regulatory duties arising from or related to this RFP, CDBG-DR, State Disaster Recovery Acts of 2016, 2017 and 2018, and subsequent acts, and/or Hazard Mitigation Grant Program (HMGP) and these sub-units include but are not limited to: North Carolina Office of Recovery and Resiliency (NCORR), Governor’s Office, Department of Public Safety (including NCORR and Division of Purchase & Logistics), Department of Administration (including State Construction Office and Purchase and Contract), State Building Commission, Department of Insurance, Department of Labor, Department of Insurance, Office of State Auditor, Office of the State Controller, Office of State Budget and Management, State Treasurer, Office of the Attorney General, and State licensing boards.
- p) **WORK ORDER:** Specific, written authorization to perform the task(s) listed therein.

## 2.2 REQUEST FOR PREQUALIFICATION SCHEDULE

Event	Responsibility	Date and Time
Issue Request for Prequalification	State	December 6, 2019
Submit Written Questions	Contractor	January 3, 2020 2:00 pm
Provide Responses to Questions	State	January 10, 2020
Submit Applications	Contractor	February 14, 2020 2:00 pm
Prequalification Awards	State	Open-Decisions on Applications will be as soon as applicable after submission
Prequalification Effective Date	State	Date Contractor receives notice that application was approved

## 2.3 QUESTIONS ABOUT PREQUALIFICATION

**Purpose:** Upon review of the RFPQ documents, Contractors may have questions to clarify or interpret the RFPQ in order to submit the best application possible. To accommodate the Prequalification Questions process, Contractors shall submit any such questions by the above due date. Thereafter, questions may be submitted anytime thereafter, but NCORR, state and local agencies who utilize this contract, will answer them once every 30 days until the prequalification period for this solicitation is closed.

**Instructions:** Written questions shall be emailed to [sherri.garte@ncdps.gov](mailto:sherri.garte@ncdps.gov) by the date and time specified above. Contractors should enter “Request for Prequalification #19-RFP-014914-GSX Questions” as the subject for the email. Questions submittals should include a reference to the applicable RFPQ section and be submitted in a format shown below:

Reference	Contractor Question
RFPQ Section, Page Number	Contractor question...?

Questions received prior to the submission deadline date and the State’s response will be posted in the form of an addendum, available on the State’s Interactive Purchasing System (IPS), <http://www.ips.state.nc.us>, and shall become an Addendum to this RFPQ. No information, instruction or advice provided orally or informally by any State personnel, whether made in response to a question or otherwise in connection with this RFPQ, shall be considered authoritative or binding. Contractors shall be entitled to rely *only* on written material contained in an Addendum to this RFPQ.

## 2.4 PREQUALIFICATION CONTENTS

The below items are required to be submitted by the Contractor in order to be considered for prequalification. Contractor shall populate all attachments of this RFPQ that require the Contractor to provide information and include an authorized signature where requested, as outlined below. Contractor Responses shall include the following items arranged in the following order (unless specifically excluded):

- a) ATTACHMENT B: PREQUALIFICATION QUESTIONNAIRE
- b) SECTION 4.5 (REFERENCES) of this RFPQ.

## 3.0 METHOD OF AWARD AND APPLICATION EVALUATION PROCESS

In light of the extensive damage caused by disasters in North Carolina, the State seeks to prequalify multiple GCs. There is no limit on the number of GCs to be prequalified. Pursuant to CBDG-DR rules, the State Agency’s prequalification will be open, in that, it will be re-advertised to allow additional GCs the opportunity to become prequalified.

The State shall review the applications to this RFPQ to confirm that they meet the specifications and requirements. The State reserves the right to waive any minor informality or technicality in any application. For any GC which has previously been prequalified by the State pursuant to 19-RFP-014364-WAX, that GC will be waived into this RFPQ unless that status was rescinded.

The State may request additional formal responses or submissions from any or all GCs for the purpose of clarification or to amplify the materials presented in any part of the Application. GCs are cautioned, however, the State is not required to request clarification, and often does not. Therefore, all Applications should be complete.

In addition to the requirements below, GCs shall complete the Prequalification Form at Attachment B. GCs’ qualifications will be scored and evaluated as reflected in the Prequalification Form. The minimum scoring for prequalification as to a GC’s ability shall be 36 out of 47.

All GCs that receive a total combined score of 36 shall be prequalified for bidding on and/or being assigned contracts. GCs not qualified will be informed of the reasons and scores that resulted in the decision to prequalify. GCs shall follow the policy in Attachment C if they desire further review of the prequalification decision or want to protest the decision. GCs denied prequalification shall be permitted to seek prequalification when the State re-advertises the request for prequalification.

### **3.1 CONFIDENTIALITY DURING PROCESS**

During the evaluation period and prior to granting prequalification, all information concerning the Application and evaluation is confidential, and possession of the Application and accompanying information is limited to personnel of the issuing agency and any third parties involved in this procurement process, and to the committee responsible for participating in the evaluation. Any attempt on behalf of a Contractor to gain such confidential information, or to influence the evaluation process (e.g., contact anyone involved in the evaluation, criticize another Contractor, offer any benefit or information not contained in the Application) in any way is a violation of North Carolina purchasing law and regulations and shall constitute sufficient grounds for disqualification of Contractor's application from further evaluation or consideration in the discretion of the State.

### **3.2 INTERPRETATION OF TERMS AND PHRASES**

This Request for Prequalification serves two functions: (1) to advise potential Contractors of the parameters of the solution being sought by NCORR; and (2) to provide a pool of qualified Contractors to NCORR.

## **4.0 REQUIREMENTS**

---

### **4.1 APPROVED PRICING CHARGES AND COSTS**

Construction Costs: GCs will have to agree to the pricing, which is different depending upon the price of the project awarded, as explained below.

Projects under \$30,000: GCs will be awarded based upon an agreed-upon bid factor applied to the Estimated Cost of Repair ("ECR"). The bid factor will be set by the CM, in conjunction with NCORR, which will include overhead, and profit for all prequalified GCs who wish to participate in the rehabilitation projects under \$30,000. The GCs will then either accept or reject the bid factor. GCs that do not accept the bid factor will not be awarded contracts below \$30,000.00.

Rehabilitation projects at or above \$30,000.00 will be bid out to the list of prequalified General Contractors that will apply a bid factor to include profit and overhead.

Reconstruction, Elevation & MHU Replacement: GCs that wish to participate in the Reconstruction, Elevation & MHU replacement programs will have to submit bids as a price per square foot—inclusive of profit and overhead—not to exceed the program cap. That bid price shall establish the total construction cost of GC's work on any Reconstruction, Elevation & MHU replacement project and will be used to establish the total amount of the contract between the homeowner and GC for the Reconstruction, Elevation & MHU replacement authorized scope of work.

Demolition: GCs that wish to participate in the Demolition program will have to submit bids in the form of a Lump Sum fixed price for each project site. The unit prices include but are not limited to: all labor, personnel, equipment, materials, fees, mobilization, bonds, project management, overhead and profit, daily and weekly project site reporting, insurance, compliance with contractual reporting requirements, maintenance, safety, site security, temporary facilities, temporary utilities, dumpster and disposal fees, in-ground and above-ground fuel tanks, and any expenses associated with the scope of work. All means and methods associated with the scope of work are to be included in the price proposal. No additional charges outside the lump sum fixed price will be allowed, unless approved by NCORR. It is the responsibility of the GC to assess each property prior to bid submittal. No change orders will be approved on the claim of site condition changes of the structure and/or property.

Lead-based paint, Asbestos, or Environmental Abatement (“Abatement”): GCs that discover Asbestos, Lead paint, and Radon in the work area shall provide a change order to the CM for this additional Scope of Work. Once the Scope of Work is agreed upon with the CM, pricing will be negotiated with a representative from NCORR.

GC shall only invoice for amounts specifically allowed for in this RFP, that is, GCs may not bill NCORR or any other State agency for any costs in putting together the requested application.

## 4.2 INVOICES

GCs will be instructed how to invoice for payment. Unless otherwise instructed, GCs will only submit payment applications to NCORR through the CM after award or assignment.

The standard format for invoicing shall be Single Invoices meaning that the Contractor shall provide NCORR with an invoice for each Work Order. Invoices shall include detailed information, supporting documentation and/or deliverables requested in a Work Order to allow NCORR or their designee to verify fees, costs and/or expenses. At a minimum, the following fields shall be included on all invoices:

Contractor’s Contact Information, NC Contract Number, Work Order Date, Item Descriptions, Price, Quantity, and Unit of Measure.

## 4.3 FINANCIAL STABILITY

Each Contractor shall submit the following financial documentation with its Proposal: most recent annual balance sheet, income statement/statement of retained earnings and cash flow statement, or most recent statement of financial condition by an independent auditor. Financial information, statements and/or documents submitted with a proposal shall be evaluated to determine: whether the Contractor has sufficient ability to perform the contract; whether the Contractor is able to meet its short term obligations, debts, liabilities, payroll, and expenses; whether Contractor has provided complete, reliable and accurate financial information regarding its business operation; whether the Contractor is financially solvent; and whether Contractor has sufficient cash flow and/or available financing from a financial institution to perform the proposed contract for 60 days without receiving payment from the State. **Financial information of non-public entities may be marked as confidential.**

**4.4 CONTRACTOR EXPERIENCE**

In its Application, Contractors shall demonstrate experience with residential demolition, rehabilitation, reconstruction/replacement, environmental mitigation (e.g., abatement of lead, asbestos, mold, soil contamination, well-water contamination), and elevation. Also, Contractors should state experience with local, Federal, and State statutory requirements for grants especially U.S. Housing and Urban Development CDBG-DR, Federal Emergency Management Administration grants programs, State or local government disaster recovery programs and/or experience with HUD public housing programs. Lack of disaster recovery experience, experience with certain types of environmental mitigation, or certain types of construction (elevating homes) will not, by themselves, preclude Contractors from being prequalified. However, lack of experience will be used by NCORR and/or its CM(s) in assigning contracts and/or allowing contractors to competitively bid on certain types of Contracts. Contractors should state their experience (e.g., a Contractor that has only repaired and renovated homes should not represent experience in new home construction or reconstruction; a Contractor that has not elevated a home or has not abated asbestos should not represent experience in performing such work because of the safety health risks involved in not properly performing that work, etc.) Contractors are further warned that misrepresenting experience may result in state and federal False Claims Act violations. Contractor shall provide information as to the qualifications and experience of all executive, managerial, legal, and professional personnel to be assigned to this project, including resumes citing experience with similar projects and the responsibilities to be assigned to each person.

**4.5 REFERENCES**

Contractor shall provide at least three (3) references for which its company has provided Services of similar size and scope to that proposed herein (these may be the same projects reported in the Prequalification Form). The State may contact these references users to determine the Services provided are substantially similar in scope to those proposed herein and Contractor’s performance has been satisfactory as part of the evaluation of the Application and/or prior to the award or assignment of a contract to a Prequalified Contractor. **Note:** positive written references from owners, designers and/or construction managers for the projects listed below will be scored if provided with a Contractor’s Application.

COMPANY NAME	CONTACT NAME	TELEPHONE NUMBER & EMAIL ADDRESS

**4.6 BACKGROUND CHECKS**

NCORR, its executive officers, its senior management personnel, and/or subcontractors to be assigned to any contract to provide or undergo background checks at Contractor’s expense prior to beginning work or at any time during the performance of a contract. When requested, as part of a requested background check, the Contractor must provide NCORR with information for:



- 
- a) Any **criminal felony conviction**, or conviction of any crime involving moral turpitude, including, but not limited to fraud, misappropriation or deception, of Contractor, its officers or directors, or any of its employees or other personnel to provide services on this project, of which Contractor has knowledge or a statement that it is aware of none;
  - b) Any **criminal investigation** for any offense involving moral turpitude, including, but not limited to fraud, misappropriation, falsification or deception pending against Contractor of which it has knowledge or a statement it is aware of none;
  - c) Any **regulatory sanctions** levied against Contractor or any of its officers, directors or its professional employees expected to provide services on this project by any state or federal regulatory agencies within the past three years or a statement that there are none. As used herein, the term “regulatory sanctions” includes the revocation or suspension of any license or certification, the levying of any monetary penalties or fines, and the issuance of any written warnings;
  - d) Any **regulatory investigations** pending against Contractor or any of its officers, directors or its professional employees expected to provide services on this project by any state or federal regulatory agencies of which Contractor has knowledge or a statement that there are none.
  - e) Any **civil litigation**, arbitration, proceeding, or judgments pending against Contractor during the three (3) years preceding submission of its proposal herein or a statement that there are none.

Contractor’s responses to these requests shall be considered to be continuing representations, and Contractor’s failure to notify NCORR within thirty (30) days of any criminal litigation, investigation or proceeding involving Contractor or its then current officers, directors or persons providing services under this contract during its term shall constitute a material breach of contract. The provisions of this paragraph shall also apply to any subcontractor utilized by Contractor to perform services under this contract.

## **5.0 SCOPE OF PREQUALIFICATION**

---

### **5.1 SCOPE OF SERVICES**

NCORR is seeking to qualify skilled prime construction contractors to perform, or cause to be performed, rehabilitation, reconstruction, manufactured housing unit replacement, demolition and/or elevation of eligible structures in compliance with local, Federal, and State statutory requirements. Contractors are encouraged to list all construction experience relevant to the residential construction projects. (See Section 4.4).

Additionally, GC(s) must demonstrate the ability to mobilize within 20 days of award (which shall include obtaining homeowner approval of construction documents and consent to perform the work, design, permitting, surveying, temporary utilities, etc.) and complete assigned construction projects within the contracted time (subject to environmental remediation, construction in most cases should not to exceed 45 days for rehabilitation, 20 days for demolition, 135 days for rehabilitation with elevation, 108 days for reconstruction, 135 for reconstruction with elevation, 30 days for MHU repairs, 120 for MHU replacements, 135 MHU replacements plus elevation to reduce potential hazards to public welfare and safety).

It is the intent and goal of NCORR and the State of North Carolina to ensure every project is successful, so prequalified GCs are encouraged to work proactively to identify and resolve all issues and problems immediately to minimize delays in completing projects.

## **5.2 DESCRIPTION OF SERVICES AND REQUIREMENTS**

GCs must be familiar with North Carolina, local, and/or regional Housing Guidelines, if applicable. Each local/regional program will be nuanced depending on local construction requirements, community recovery needs, program goals, and other applicable locally approved program requirements.

Separately, NCORR has retained a design firm to develop sample floor plans for 2-bedroom, 3-bedroom, 4-bedroom and such other home floor plans and elevations that homeowners may select for reconstruction, which will comply with HUD CDBG-DR resilient construction standards and North Carolina State Building Code. GC shall use provided plans for this program.

NCORR's focus is on customer service for the citizens participating in the program, as well as, compliance with all applicable HUD guidelines and regulations.

### **a) HUD Housing Quality Standards (HQS) and Green Building Retrofit**

The State's commitment is to provide safe, sanitary and secure housing to eligible program participants. HUD has established standards for housing quality and green retrofit.

### **b) Americans with Disabilities Act of 1990 requirements**

HUD has established standards of compliance that must be followed by every GC on every project where it is mandatory. In addition, GCs will have to adhere to all local, state, and federal rules and regulations.

### **c) Customer Service**

All participants shall be treated with dignity and respect. The State expects responsiveness to the State and the homeowner, first-class customer service, and interactions and communications that are easily understood, prompt, and courteous.

## **5.3 DEMOLITION SCOPE OF WORK**

The scope of work for each structure will vary, but may include, although not be limited to, the following:

- a) Obtaining all necessary state and local permits and approvals prior to commencement of the work for each structure;
- b) Removal of any above and/or in-ground oil tanks identified at the project site. The scope of work for this activity includes but is not limited to any permitting requirements, removal, cleaning, and disposal of tank, including all the tank contents, and remediation of any stained soils or surfaces;
- c) Marking and identification of all utilities passing through the area; prepare the property prior to commencement of structure demolition;
- d) Identify, remove and properly dispose of all universal and household hazardous wastes remaining in the structures;
- e) Perform baiting;

- 
- f) Provide protection of adjacent properties and pedestrians, where applicable;
  - g) Prepare the property prior to commencement of structure demolition to include but are not limited to:
    - o erecting orange hi-viz safety fence around structures to be demolished;
    - o establishing silt fence and erosion control barriers as well as covering and protecting storm drains to prevent debris and soil run-off;
    - o placing 6 to 8 ft. chain-link fence panels across the front of the property to aid in site control;
    - o erecting any signage required by local, State, and Federal regulations.
  - h) Erosion control measures must be maintained in proper condition at all times and expanded when necessary to cover any additional downslope areas that may be disturbed during the demolition and restoration processes. These measures must be installed and maintained prior to the areas being disturbed, and include measures to prevent offsite migration of soil and silt from soil piles. These erosion control measures must remain in place, and be maintained in good working condition, until all backfill and restoration tasks have been completed including seeding and re-vegetation of the property;
  - i) Submit a Hazardous Material Handling and Disposal Plan to the CM describing the methods to be employed during the inventory, identification, packaging, and offsite disposal of universal and household hazardous wastes that may be encountered during pre-demolition preparation of the housing units. Plans must be submitted within fifteen (15) days of the signing event;
  - j) Verify that each house listed for demolition has been abated (if applicable), that the house they are about to demolish is the correct house, and that all activities identified by their pre-demolition survey have been conducted and the house cleared for demolition, and proper permits acquired, before commencing demolition. Asbestos Containing Material (ACM) survey reports will be available for each property where ACM has been identified. Unless identified at property during demolition operations, asbestos abatement will be completed by separate contractor prior to General Contractor receiving control of the property. If ACM is discovered at a project site, NCORR shall be notified immediately and all work shall be stopped until the suspect materials can be sampled and analyzed. If materials come back positive for ACM, abatement must occur prior to any demolition work continuing at project site;
  - k) Full demolition, including removal of slabs, foundations, and basements with the end goal being an empty lot devoid of any items except for pre-existing vegetation, trees, and shrubbery;
  - l) Where driveways cross sidewalks, if existing joints are not present, the sidewalk/drive must be scored so that the driveway can be removed without damaging the sidewalk. Sidewalks and curbs are to remain intact and undamaged by demolition activities;
  - m) All sub-surface holes (such as low areas under removed building foundations and basements, or holes created by the removal of basements and in-ground pools) will be backfilled, compacted and graded utilizing certified clean fill that meets the analytical requirements of the State of North Carolina for unrestricted, residential use. The backfill source must be identified prior to commencing demolition, and certification of the fill, and any analysis performed to verify the fill is clean, must be submitted for approval before material is brought on site. Backfill of basements or deep sub-surface areas will be

compacted in minimum one foot increments unless more stringent requirements are provided for under local regulations;

- n) The area affected by demolition operations shall be cleared of all debris, backfilled, and graded, and the area covered with a layer of topsoil and seeded utilizing a seed mix suitable for the area where the work has taken place;
- o) Backfill specifications shall be per any local municipal, County, and State of North Carolina rules and regulations governing that type of activity or per requirements under local building codes, however the fill must consist of clean sand, gravel, or soil. No asphalt, slag, fly-ash, broken concrete, demolition debris, or similar materials shall be permitted for backfill use;
- p) Maintain the property and perform watering of the seed until a thick vegetative cover is established. Once the vegetation has been re-established and NCORR determines demolition work has been completed, the Contractor shall remove the site security measures, taking care not to disturb vegetation in the process;
- q) Provide photo documentation of the entire demolition process to include pictures of the structure prior to demolition; photos of pre-demolition preparations to include locating and disconnect of utilities; pre-demolition securing of the property; bracing and shoring (if applicable); erosion control measures; protection of adjacent properties; removal of universal waste and household hazardous waste; baiting; demolition of the structure; backfill, grading and compaction of subsurface areas; and the topsoil, seeding, and final restoration of the property. Pre-demolition photo-documentation shall also show any appreciable drop in elevation from the front to the back of the various properties to aid in proper grading and restoration efforts. Backfill and restoration activities may require erection of additional silt fence and erosion control barriers until re-vegetation of the property has occurred. The pre-demolition inspection shall include photo documentation of the interior as well as the exterior of the structure to establish that all universal and household hazardous wastes have been removed and proof that all storm drains in the vicinity of the demolition work have been adequately protected to prevent intrusion of silt and debris;
- r) Perform perimeter and personnel air monitoring during demolition of the structures. At a minimum perimeter air monitoring shall include total particulates / dust and must be continuous during demolition operations. Personnel air monitoring should address both dust and lead. The frequency of air monitoring and the types of monitoring instruments to be employed must be addressed in the Contractor's Site-Specific Health and Safety Plan (HASP).

#### **5.4 REHABILITATION SCOPE OF WORK**

It is anticipated that structures eligible for rehabilitation will require an array of repairs ranging from minor to major. The scope of work for each repaired structure will vary, but may include, although not be limited to, the following:

- a) Obtaining all necessary state and local permits and approvals prior to commencement of the work for each structure;

- 
- b) Providing architectural and house plan renderings;
  - c) Demolition of damaged interior and exterior materials;
  - d) Foundation leveling, repair, excavation and/or elevation;
  - e) Structural damage repair;
  - f) Building envelope repair, including:
    - o Roof repair or replacement and attendant damage, including shingles, gutters, and shutters
    - o Door and window replacement/repair, or removal
    - o Siding /veneer repair or replacement, or removal
    - o Mechanical (HVAC), replacement of electrical (including panels) and plumbing systems repair, reconfigure, and replacement
    - o Drywall repair or replacement
    - o Rough and trim carpentry;
  - g) Surface preparation and painting;
  - h) Flooring repair, replacement/removal;
  - i) Cabinet and appliance repair or replacement;
  - j) Lead-based paint, asbestos and other environmental abatement;
  - k) Specialty construction elements associated with historic properties, including coordination with the North Carolina Historical Commission or State Historic Preservation Office (SHPO), as well as other local historic districts and stakeholders in other jurisdictions;
  - l) Wind mitigation and retrofitting measures;
  - m) Specialty construction elements associated with Green Building Construction techniques (as required by HUD);
  - n) Accessibility and design of projects to comply with the American with Disabilities Act of 1990 (if applicable) unless a HUD exception applies;
  - o) Conducting close-outs for each project, which may include obtaining certificate(s) of occupancy from applicable state and local authorities; and
  - p) Survey/elevation certificate requirements.

## **5.5 RECONSTRUCTION SCOPE OF WORK**

In certain cases, a property owner may be eligible for the complete reconstruction of his/her home, either substantially within the same footprint as the prior home or on a different footprint. The Scope of Work for each reconstructed structure will vary but may include, although not be limited to, the following:

- a) Coordination with the property owner and his/her family from issuance of a work order to obtaining a certificate of occupancy for closing;
- b) Utility disconnection and deactivation/reconnection and reactivation;

- 
- c) Demolition of existing structure;
  - d) Debris removal in accordance with all federal, state and local requirements, including all abatement needs;
  - e) Providing architectural and house plan renderings, as well as engineering and architectural services;
  - f) Site preparation including fencing removal and replacement;
  - g) Construction of new residential structures including 2, 3, and 4-bedroom floor plans in accordance with all applicable local and state, federal, and ICC codes and standards;
  - h) Accessibility and design of projects to comply with the American with Disabilities Act of 1990 (if applicable) unless a HUD exception applies;
  - i) GC should be prepared to assess abatement needs and do any required abatement on existing structures on the project. GC will work with CM on any demolition abatement work to assess whether full structure should be demolished pursuant to hazardous waste requirements or if only certain sections of the demolished structure should follow hazardous waste requirements and needed by availability in hazardous waste;
  - j) Survey/elevation certificate requirements; and
  - k) Lead, asbestos, radon, and other environmental services, where applicable.

## **5.6 MHU REPLACEMENT SCOPE OF WORK**

Services provided include replacement of MHUs including units meeting ADA compliance requirements. Replacement will be done when the Scope of Work on a MHU exceeds the rehabilitation cap for the Program. The scope of work for each replaced structure will vary and may include, although not limited to, the following:

- a) Procurement of a new program-compliant MHU;
- b) POD management;
- c) Move out coordination with the property owner;
- d) Utility disconnection and deactivation/ reactivation and reconnection;
- e) Demolition of existing structure;
- f) Americans with Disabilities Act (ADA) compliance, where required;
- g) Servicing or repairing Wells, Septic systems, and in ground/above ground storage tanks;
- h) Site/foundation preparation;
- i) Debris removal in accordance with all Federal, State and local requirements, including the disposal of potential asbestos containing materials;
- j) Site preparation;
- k) Replacement and installation of MHU in accordance with all applicable local and state, federal, and ICC codes and standards;

- 
- l) Lead, asbestos, radon, and other environmental services, where applicable;
  - m) Survey/Elevation certificate requirements;
  - n) Engineering and architectural services; and
  - o) Fencing removal and replacement.

**Training and Certification.** As the State sees fit, GCs will complete Program-developed and -provided training to certify its understanding and ability to comply with HQS, Program reporting requirements, Program invoicing requirements, and the Program scoring methodology used to evaluate Contractor performance and allocate future work.

### **5.7 ELEVATION/MITIGATION SCOPE OF WORK**

Each structure elevation shall consist of steps to produce the construction documents for the local authority having jurisdiction approval. These steps will require multiple site visits by various professionals to develop the necessary documents needed for complete construction documents. GC and PE/RA shall schedule or provide services as follows:

- a) Site Survey. All homes that are deemed to need elevation will require a land survey and elevation certificate. The site survey shall be scheduled by GC to visit the home to conduct a survey. The survey shall include property lines, existing setback measurements, the footprint of existing home, elevation heights, and grade heights. When the survey has been completed, a copy of the land survey shall be submitted to the PE/RA for review then submitted to the authority having jurisdiction.
- b) Geotechnical Soil Borings. Geotechnical soil borings will be needed for clarification on soil types at properties where home elevation is required. The GC will endeavor to schedule the land survey visit at the same time as the geotechnical soil boring visit, so as to lessen timeframes and inconvenience for the homeowner. Two soil borings are required per property and test results shall be submitted to the PE/RA office for review. The PE/RA could deem the soil test is not required if testing results are already supplied for adjacent homes, this will be the decision of the PE/RA who will then notify the GC.
- c) Architectural Consultation Process. Homeowner will review pre-developed design concepts of the PE/RA and, at the time homeowner agrees to the elevation process, the PE/RA will conduct a survey of pre-existing conditions. When the consultation is completed the PE/RA can proceed with completing the construction documents for the GC.
- d) Homeowner Construction Document Presentation. Once the construction documents are completed by the PE/RA, and approved and signed by the homeowner, a new permit shall be secured by the GC and construction may begin.
- e) Required permits and certificates
- f) Disconnecting & deactivation of utilities
- g) Extending/reconfiguring utilities to be reconnected/reactivated
- h) Elevation of decks/porches to meet code compliance
- i) ADA Compliance to include, although not limited to, ramps and lifts where required.

- j) MEP drawings for modifications to existing mechanical, electrical, and plumbing systems where required.
- k) Miscellaneous repairs/rehabilitations due to elevation

### **5.8 ADDITIONAL REQUIREMENTS**

- a) Provide professional labor, equipment, and materials adequate to perform the work in accordance with the Scope of Work issued for each eligible applicant's residential structure while ensuring that all applicable housing standards and codes are met;
- b) Comply with all applicable local, state, and federal laws, regulations, and guidelines, which may include: HUD Community Development Block Grant disaster laws, regulations, and guidelines; the Davis-Bacon Act (for repairs to properties containing more than four (4) units or more); Section 3 of the Housing and Urban Development Act of 1968; and M/WBE regulations;
- c) Provide documentation and tracking of construction progress;
- d) Meet with individual property owners to review the Scope of Work to be performed, including establishing a work schedule acceptable to property owners and NCORR and reviewing work upon final inspection;
- e) Meet NCORR's time frames for work completion requirements from the Notice to Proceed, homeowner consent/contract execution and/or permitting, whichever is later, and subject to environmental abatements that may impact a GC's schedule;
- f) Meet all federal, state, and local requirements for the transport and disposal of municipal solid, industrial, hazardous, and other wastes from demolished structures; and
- g) Provide a one-year warranty, and a third-party ten-year structural warranty.
- h) Assist homeowners in vacating their damaged home, if necessary. Moving services will primarily be authorized to support the elderly and disabled homeowners, and NCORR will coordinate with the approved GCs to minimize risk in the administration of these services.
- i) To ensure homeowners are not out of their homes longer than necessary the State has established standards for timely completion of contracted work. Completion standards begin the day the State issues the vendor a Notice to Proceed (NTP) and ends when home passes final inspection and the homeowner accepts key turnover. The State will assess liquidated damages for each day that exceeds required timeframes from NTP to construction passing final inspection and homeowner accepting keys. These liquidated damages will be in the RFB for GC review before bidding.

### **5.9 PREQUALIFICATION RESCISSION**

Prequalification may be rescinded because of poor performance, material breaches of contract, substantiated non-payments to subcontractors/valid payment bond claims, substantiated complaints from homeowners that are serious (e.g., violations of policies concerning alcohol, illegal drugs, possession of firearms, disrespectful behavior, theft of personal property, GC damage to real property not subject to rehabilitation, etc.), False Claim Act violations, and misrepresentation of experience and/or references, violations of permits, illegal disposal of



hazardous materials, any major OSHA or several minor OSHA violations, significant injuries to any person during construction caused by failure to follow required safety practices, and/or negative GC evaluations.

NCORR reserves the right to rescind prequalification status to any GC which has not submitted a response to an RFB within any 3-month period. If NCORR rescinds a GC's prequalification status, NCORR will notify the GC via email to the main contact provided by the GC.

#### **5.10 NO GUARANTEE OF VOLUME OR USAGE**

NCORR makes no guarantee of volume or usage under any contract resulting from this RFPQ.

#### **5.11 SCOPE OF WORK AUTHORIZATION AND COMPENSATION**

During the term of any contract awarded under this RFPQ, NCORR may request GC to perform certain projects as described above, subject to specific work authorization in the form of a General Work Order (Work Order). All Work Orders shall be in writing, signed by both the GC and NCORR (or its designee), and shall include a Scope of Services, a list of tasks to be performed by GC, a time schedule, a list of deliverables, if any, and such other information or special conditions as may be necessary for the work requested.

#### **5.12 PROJECT AWARDING METHODOLOGY**

There will be three different methods of awarding construction contracts, further defined below:

1. Contracts up to \$29,999.99 will be awarded via assignment to a GC pursuant to N.C.G.S. § 143-131.
2. Contracts between \$30,000.00 and \$499,999.99 will be awarded via informal bidding pursuant to N.C.G.S. § 143-131.
3. Contracts at or above \$500,000.00 will be awarded via formal bidding pursuant to N.C.G.S. § 143-129.

##### **Awarding of Projects Under \$30,000.00**

As defined in N.C.G.S. § 143-131, contracts under \$30,000.00 do not require competitive bidding or award to the lowest, responsive, responsible bidder. These contracts will be awarded with a bid factor that will be applied to the ECR. The bid factor will be set by the CM, in conjunction with NCORR, that will include overhead and profit for rehabilitation projects under \$30,000.00. The GCs will then either accept or reject the bid factor. Prequalified GCs who do not accept the bid factor will not be awarded contracts under \$30,000.00.

These projects shall be initially awarded to GCs in order of prequalification score from highest to lowest. The CM will use a performance scoring matrix to rank all prequalified GCs on projects under \$30,000. The inputs for the performance matrix will be given to GCs so that they understand what their performance score will be based upon. Once there is enough data in the performance matrix to ensure reliability, then awarding of contracts under \$30,000.00 will be done according to performance ranking and capacity.

---

**Informal Bids for Projects Between \$30,000.00 and \$499,999.99**

For contracts between \$30,000.00 and \$499,999.99, N.C.G.S. § 143-131 requires competitive bidding and awarding of the contract to the lowest, responsive, responsible bidder. For all of these contracts, NCORR requires additional contractual requirements of N.C.G.S. § 143-128, even if they fall under an exception. The CM will assist NCORR with putting together informal Request for Bids (RFB). These bids will be batched by geographical location and have a similar project type. Those bids will be disseminated in RFB with the Salesforce Application Numbers for those projects. The GCs shall bid on all projects within the RFB in order to be considered for award. They will submit a bid factor that will include profit and overhead for all rehabilitation projects. They will submit a lump sum fixed price for each project site that will include profit and overhead for all demolition projects. GC's will also submit a price per square for all MHU & elevation projects, reconstruction & elevation projects, and rehabilitation & elevation projects. In order for the GC to win a bid, they shall provide pricing for all projects within the RFB.

The RFBs will be sent to the email address of record for the prequalified GCs and it will include a date and time for the completed RFB to be sent back to NCORR at the same email address which it was sent from.

Any additional costs which arise as a change order will be negotiated between the GC and NCORR. The bid book supplied by NCORR is very comprehensive. All scopes of work shall be aligned with pricing within the bid book. These change orders will have to be approved by the CM and/or be required by the Authority Having Jurisdiction. GC shall provide the CM with documentation of these required changes.

MHU replacements shall be turnkey projects. If the MHU manufacturer requires certification of the GC to ensure warranty transfer to the homeowner, then the GC shall show proof of that certification.

**Formal Sealed Bids for Batches of Projects above \$499,999.99**

Construction contracts at or above \$500,000.00 will need to go through the formal sealed bid process pursuant to N.C.G.S. § 143-129. These contracts will require the additional contractual requirements of N.C.G.S. § 143-128. These contracts will be assembled into batches by the CM and NCORR to allow for the most efficient delivery of construction services for NCORR and the GCs. RFBs for these sealed bids will be substantially the same as the RFBs in the informal bidding process. The bids will be sent to the email address of record for each GC. The GCs must return their completed RFBs in a sealed envelope to an identified location by the date and time requested in the email sent out by NCORR. NCORR will open the RFBs in public, as required by state law, and inform the GCs of the date and time upon which NCORR will award the projects.

GC and Construction Manager will agree upon cost benchmarks for payment before construction begins which will constitute the draw payment schedule.

See Section 4.1 on Pricing for information on pricing and allowable costs.

**Attachments to this RFP begin on the next page.**

---

**ATTACHMENT A: LOCATION OF WORKERS UTILIZED BY CONTRACTOR**

---

In accordance with N. C. Gen. Stat. § 143-59.4, the Contractor shall detail the location(s) at which performance will occur, as well as the manner in which it intends to utilize resources or workers outside of the United States in the performance of this Contract. The State will evaluate the additional risks, costs, and other factors associated with such utilization prior to making an award. Please complete items a, b, and c below.

- a) **Will any work under this Contract be performed outside the United States?**  YES  NO

If the Contractor answered “YES” above, Contractor shall complete items 1 and 2 below:

1. List the location(s) outside the United States where work under this Contract will be performed by the Contractor, any sub-Contractors, employees, or other persons performing work under the Contract:
  
2. Describe the corporate structure and location of corporate employees and activities of the Contractor, its affiliates or any other sub-Contractors that will perform work outside the U.S.:

- b) **The Contractor agrees to provide notice, in writing to the State, of the relocation of the Contractor, employees of the Contractor, sub-Contractors of the Contractor, or other persons performing services under the Contract outside of the United States**  YES  NO

NOTE: All Contractor or sub-Contractor personnel providing call or contact center services to the State of North Carolina under the Contract **shall** disclose to inbound callers the location from which the call or contact center services are being provided.

- c) **Identify all U.S. locations, outside of North Carolina, if any, at which performance will occur:**

---

## ATTACHMENT B: PREQUALIFICATION QUESTIONNAIRE

---

This form gathers information about the contractors 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.

**PREQUALIFICATION DUE DATE/TIME: OPEN UNTIL DECEMBER 31, 2019 5:00 PM ET**

**Submitted to:** Sherri Garte  
 DPS, NCORR Purchasing and  
 Contracting Director  
 Email: sherri.garte@ncdps.gov  
 Phone: 984-833-5364

**Program: U.S. Housing & Urban Development's Community Development Block Grant-Disaster Recovery-  
 North Carolina's Housing Recovery Program for Rehabilitation, Reconstruction/Replacement,  
 and Elevation**

**IMPLEMENTING AGENCY:** North Carolina, Department of Public Safety, NCORR  
 Location (Fed Ex and UPS):  
 3030 Hammond Business Place  
 Raleigh, NC 27603

### SECTION 1. GENERAL COMPANY INFORMATION

CONTRACTOR		
STREET ADDRESS:	P.O. BOX:	ZIP:
CITY & STATE & ZIP:	TELEPHONE NUMBER:	TOLL FREE TEL. NO:
PRINCIPAL PLACE OF BUSINESS ADDRESS IF DIFFERENT FROM ABOVE (SEE INSTRUCTIONS TO CONTRACTORS ITEM #11):		
PRINT NAME & TITLE OF PERSON SIGNING ON BEHALF OF CONTRACTOR:	FAX NUMBER:	
CONTRACTOR'S AUTHORIZED SIGNATURE:	DATE:	EMAIL:

**Organization**

1.a. 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: \_\_\_\_\_

**Licensing Information**

1.b. Please provide your General Contractor license for North Carolina as well as any additional 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, \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**[Matrix: Give 1 point for providing a North Carolina General Contractor license. If a General Contractor license is not provided, disqualified.]**

**Bonding**

1.c. 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: If GC has a bond capacity of \$0-\$500,000; give 1 point. \$500,001-\$1,000,000; give 2 points. \$1,000,001 and above; give 3 points. If evidence of bonding is not provided, disqualified.]**

1.d. 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 funds expended with reasonable explanation, give 1 point. If funds expended without an explanation, give 0 points.]**

### **Insurance**

**1. e.** The minimum requirements of coverage listed below. 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

- Worker's Compensation - Contractor's shall provide and maintain Worker's Compensation, as required by the laws of North Carolina, as well as employer's liability coverage with Insurance minimum limits of \$500,000.00, covering all of Contractor's employees who are engaged in any work under this contract.
- Commercial General Liability – Contractor's shall maintain General Liability Coverage on a Comprehensive Broad Form on a cost occurrence basis in the minimum amount of \$5,000,000.00, Combined Single Limit. (Defense cost shall be in excess of the limit of liability.)
- Automobile – Contractor's shall maintain automobile liability insurance, to include liability coverage, covering all owned, hired and non-owned vehicles, used in connection with this contract. The minimum combined single limit shall be \$500,000.00 bodily injury and property damage; \$500,000.00 uninsured/under insured motorist; and \$10,000.00 medical payment.
- Property Insurance (Builder's Risk/Installation Floater) - Contractor shall purchase and maintain property insurance until final acceptance, upon the entire work at the site to the full insurable value thereof. This insurance shall include the interests of Owner, Contractor, the subcontractors and sub-subcontractors in the work and shall insure against the perils of fire, wind, rain, flood, extended coverage, and vandalism and malicious mischief. If Owner is damaged by failure of Contractor to purchase or maintain such insurance, then Contractor shall bear all reasonable costs properly attributable thereto; Contractor shall affect and maintain similar property insurance on portions of the work stored off the site when request for payment per articles so includes such portions.
- Deductible-Any deductible, if applicable to loss covered by insurance provided, is to be borne by Contractor.

**[Matrix: 2 points. If insurance certificate attached, give 2 points. If not attached, disqualified.]**

### **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: 1-5 points. If Audited financials attached, give 5 points. If unaudited financials attached, give 1 point. If financials are not provided, disqualified.]**

**SECTION 2. GENERAL REQUIREMENTS**

**Experience - Size/Capacity/Workload**

**2.a.** It is required to list the annual dollar value of construction work the company has performed for at least the last (2) two calendar years.

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

**[Matrix: 1 point. 1 point for completing at least 2 calendar years. Less than 2 years incomplete, disqualified.]**

**2.b.** List the largest contracts currently under contract or in progress, or completed, including for each, the name of the project, owner, architect and/or GC/CMR and contact information below.

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

**[Matrix: 1-3 points. 1 point for each project listed for a maximum of 3 points. If zero projects are listed, disqualified.]**

**Office Locations**

**2.c.** 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 or 1 points. If office location is managed and directed from NC office, give 1 point. If not, give 0 points.]**

**Litigation/Claims**

**2.d.** 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: 1 or 2 points. If there are no current judgments, claims, arbitration, suits or mediation pending, give 2 points. If there is with an explanation, give 1 point. If there is, with no explanation, disqualified.]

2.e. 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: Max of 5 points. If company has never failed to complete work it has been awarded, give 5 points. If they have failed to complete work, -1 point for every project not completed.]

2.f. 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" with sufficient explanation, give 1 point. If "Yes" without sufficient explanation, give 0 points. If "No", give 3 points.]

2.g. 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

[Matrix: 3 points. If "No", 3 points. If "Yes", disqualified.]

2.h. Has your present company, its officers, owners, or agents ever been barred from being awarded public work in North Carolina?  Yes  No

[Matrix: 3 points. If "No", 3 points. If "Yes", disqualified.]

**Safety Record**

2.i. List your company's Experience Modification Rate (EMR) for past three years. (Attach OSHA 300 Log for the last 2 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: 1 or 5 points. If EMR rate is less than or equal to (1) one, give 5 points. If greater than (1) one, give 1 point.]

**Historically Underutilized Business (HUB) Plan, Minority/Women Business Enterprise, Section 3**

2.j. Does the company currently have a documented plan for engaging subcontractor participation from Historically Underutilized Businesses, M/WBE and Section 3?  Yes  No

If yes, please attach your company’s HUB plan.

[Matrix: 0 or 5 points. If company has a current documented plan and it is attached, give 5 points. If not attached or “No”, give 0 points.]

**SECTION 3. PREFERRED AREAS OF CONTRUCTION & CONSTRUCTION TYPES**

- Construction Zone 1** (HALIFAX, HERTFORD, PASQUOTANK, CAMDEN, CURRITUCK, DARE, HYDE, TYRELL, WASHINGTON, CHOWAN, BERTIE, EDGECOMBE, WILSON, NASH)
- Construction Zone 2** (WAYNE, GREENE, PITT, BEAUFORT, CRAVEN, JONES, LENOIR)
- Construction Zone 3** (JOHNSTON, SAMPSON, DUPLIN, PENDER, NEW HANOVER, BRUNSWICK, COLUMBUS, BLADEN, CUMBERLAND, HOKE, MOORE, HARNETT)
- Single-Family Rehabilitation
- Single-Family Reconstruction
- Single-Family Manufactured Housing Units
- Demolition of all Structures
- Home Elevations
- Environmental Abatements
- Multi-Family (10 Units or Less)
- Townhomes and Condominiums

[Matrix: 1-3 points. If all boxes are checked, 3 points. If less than 3 boxes are checked, 2 points. If 1 box is checked, 1 point.]

---

## ATTACHMENT C: PREQUALIFICATION POLICY

---

### Governing Law (Session Law 2014-42)

General Statute 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.

### Requirements for Prequalification Criteria Form and Assessment

- a) Uniform, consistent, and transparent in its application to all bidders.
- b) All bidders who meet the prequalification criteria to be prequalified are allowed to bid on the construction or repair work project.
- c) Criteria must be rationally related to construction or repair work.
- d) The bidder is not required to have been previously awarded a construction or repair project by the governmental entity.
- e) Bidders are permitted to submit history or experience with projects of similar size, scope, or complexity
- f) Assessment process of prequalification is stated in this policy.
- g) A process for a denied bidder to protest is stated below in this policy.
- h) A process for notifying a denied prequalified bidder is stated below in this policy.

### Review of Application

- a) **Prequalification Committee** – NCORR shall agree upon the members of the prequalification committee. The Prequalification Official 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.
- b) **Review of Application** – The prequalification committee shall use the objective assessment process form. 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 NCORR’s solicitation for qualified bidders.
- c) **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.

### Appeals Procedure

- a) The firm may appeal the denial of Prequalification as noted below.  
**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 officer 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.

**Appeal** – Within three (3) business days of NCORR'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. 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.

**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.

- b) **General Rules for Protests and Appeals** – Firms submitting prequalification applications shall be provided an e-mail address for the communication with NCORR during the protest and appeal process. The firm shall provide at least two e-mail addresses for use by NCORR 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 bids on or be assigned projects subject to a final decision on the protest or appeal. If the firm's bid pricing book is not competitive on a project when compared to other prequalified contractors for the same area where the project is located, then a final decision on the protest or appeal shall be terminated and rendered moot. Bids received from firms who have been ruled disqualified to bid shall not be opened or assigned an project. 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.