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## APPENDIX F, ATTACHMENT A STATEMENT OF QUALIFICATIONS QUESTIONNAIRE

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### 1. PASS/FAIL ELEMENTS

**Failure of Bidder to meet the requirements of any of the pass/fail elements listed below will result in a determination of “Not qualified for this solicitation” and the Bidder will be excluded from further participation in this solicitation.**

- A. Provide a notarized letter(s) addressed to the Town and referencing this RFP from the Bidder’s surety company(ies) which verifies the Bidder’s total bonding capacity and states that the surety company(ies) intend(s) to issue standard payment and performance bonds on behalf of the Bidder if a contract to construct the Project (\$65 million estimated cost) as described in this RFP is awarded to the Bidder. A Bidder must have sufficient remaining bonding capacity from an acceptable surety to satisfactorily bond the work. An acceptable surety shall be one with at least an A.M. Best Rating of A- or higher and must be included in the Department of the Treasury’s Listing of Certified Companies (the list can be found at the following web address: <https://fiscal.treasury.gov/surety-bonds/circular-570.html>).
- B. Provide payment and performance bonding/surety company information as follows:
- Name: \_\_\_\_\_
  - Address: \_\_\_\_\_
  - Point of Contact: \_\_\_\_\_
  - Surety A.M. Best Rating: \_\_\_\_\_
- C. Provide documentation verifying that Bidder possesses a valid North Carolina General Contractor’s license (Unlimited).
- D. Provide audited balance sheet for each of the past three (3) years for the Bidder.
- E. Has the Bidder or any of its Officers (including any experience and time while employed by another firm) been convicted of criminal conduct or been found in violation of any federal, state, or local statute, regulation, or court order concerning antitrust, public contracting, or prevailing wages over the past 10 years?  
YES \_\_\_\_\_ NO \_\_\_\_\_
- F. Has the Bidder or any of its Officers (including any experience and time while employed by another firm), Parent, Affiliates, or Subsidiaries had a judgment entered for contract default or been barred from bidding on public contracts over the last 10 years?  
YES \_\_\_\_\_ NO \_\_\_\_\_

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G. Provide documentation verifying the Bidder's acceptable safety record. An acceptable safety record is defined as attainment and maintenance of an Experience Rate Modifier (ERM) of 1.0 or less for at least two of the last three years and no more than 1.2 any one year of the last three.

- 2020 ERM: \_\_\_\_\_
- 2019 ERM: \_\_\_\_\_
- 2018 ERM: \_\_\_\_\_

## 2-I. GENERAL BACKGROUND OF BIDDER

The intent of this section is to understand how the various entities that comprise the Bidder will function together. If Bidder is a Joint Venture, provide requested information for all entities of the Joint Venture.

A. Bidder Name: \_\_\_\_\_

B. Current Name, address, and contact information:

1. Full Name of Bidder: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Business Location Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Principal Office Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Local Office Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

2. Bidder is: \_\_\_\_\_ Sole Proprietor \_\_\_\_\_ Corporation  
                  \_\_\_\_\_ Partnership                   \_\_\_\_\_ Limited Liability Company  
                  \_\_\_\_\_ Joint Venture

C. Has Bidder operated under the current name for the last 10 years? YES \_\_\_\_\_ NO \_\_\_\_\_

If not, attach a complete explanation for operating under a different name. List below each previous name or address, if any used in the last 10 years. Use attachments as needed.

1. Previous Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

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City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Business Location Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Telephone: \_\_\_\_\_

2. Company was: \_\_\_\_\_ Sole Proprietor    \_\_\_\_\_ Corporation  
                                  \_\_\_\_\_ Partnership    \_\_\_\_\_ Limited Liability Company

D. Other Current Officers and length of time with the Bidder\*:

Name	Title	Years
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

\*Indicate those authorized to sign contracts on behalf of the Bidder.

E. Name, address, and telephone number of Parent and each Subsidiary and Affiliate of the Bidder (use attachments as needed).

1. Business Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Business Location Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Principal Office Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Telephone: \_\_\_\_\_

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2. Company is: \_\_\_\_\_ Sole Proprietor \_\_\_\_\_ Corporation  
\_\_\_\_\_ Partnership \_\_\_\_\_ Limited Liability Company

F. Bankruptcies: Has the Bidder, its Parent, or any of its Subsidiaries ever had a bankruptcy petition filed in its name, voluntarily or involuntarily within the last 10 years?

\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, list number of bankruptcies: \_\_\_\_\_)

G. Liquidated Damages: Has the Bidder ever been assessed liquidated damages (LDs) in the past 10 years or served as an owner with a claim for additional compensation prepared by an attorney or a claims consultant, excluding routine change order requests?

\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, list number of projects LDs were assessed: \_\_\_\_\_)

H. Loans: Has Bidder, its Parent, or any of its Subsidiaries defaulted on any loan agreement or financing with any bank, financial institution, or entity within the last 10 years?

\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, list number of defaulted loans: \_\_\_\_\_)

I. Bonding:

1. Have performance or payment bond claims ever been paid by a surety for Bidder, its Parent, or any of its Affiliates or Subsidiaries on any project in the last 10 years?

\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, list number of bonding claims: \_\_\_\_\_)

2. In the past 10 years, has any surety refused to bond the Bidder, its Parent, or any of its Affiliates or Subsidiaries on any project?

\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, list number of bonding refusals: \_\_\_\_\_)

J. Has the Bidder, its Parent, or any of its Affiliates or Subsidiaries ever failed to complete a project for any reason?

\_\_\_\_\_ YES \_\_\_\_\_ NO

K. Bidder's Safety Submission Requirements:

1. Attach outline of Bidder's written safety program.

2. Name and telephone number of the Bidder's safety contact.

\_\_\_\_\_

3. List any adversely resolved or pending citations, lawsuits, administrative proceedings, or hearings initiated by the Occupational Safety and Health Administration (OSHA) concerning project safety practices of the Bidder in the last 10 years.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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- L. Does the Bidder have a written design and construction quality control/quality assurance program?  
\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, provide a copy or outline.)
- M. Does the Bidder have a written substance abuse policy?  
\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, provide a copy or outline.)
- N. Has the Bidder, its Parent, or any of its Subsidiaries been involved in any construction-related lawsuit (other than labor or personal injury litigation) in the last 10 years?  
\_\_\_\_\_ YES \_\_\_\_\_ NO (If YES, list number of lawsuits: \_\_\_\_\_)
- O. Provide a summary of past project collaboration between members of the Bidder team including project name, description, scope, cost, schedule, and references.

## 2-II. PROPOSED PROJECT PERSONNEL

Provide an overall organizational chart for the Bidder. In addition, include detail information as indicated below.

- A. Proposed Project Director – This role would supervise the entirety of the project including both the Proposed Project Manager for Design Phase Services and the Proposed Project Manager for Construction Phase Services. However, the same candidate could serve as the Project Director in addition to a Project Manager for Design Phase or Construction Phase Services.
1. Provide the resume (2 pages maximum for each resume) of the individual who is the best candidate for this position. List name, qualifications, and background for the candidate. Include names and addresses of companies who have employed him/her during the last 10 years. If the Bidder is awarded the contract to serve as the Design-Builder for the New Neuse River Water Reclamation Facility project, the Bidder will use the primary candidate as the Project Director, so long as the primary candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Proposer, unless the Town objects at any time to such use. The following statement shall be inserted in the bottom margin of each resume:  

"This proposed individual shall be available to work on this Project for its entire duration and shall not be reassigned without the expressed written concurrence of the Town."
  2. Provide a summary of the three (3) projects, preferably wastewater treatment plants, that are most similar to the current project. Include the size, type, and duration that the proposed Project Director has supervised/managed in the last 10 years for Bidder or other company. At a minimum, the following information shall be provided:
    - Project Name
    - Brief Description of Scope
    - Constructed Value
    - Project Duration and Completion Date
    - Candidate's Position and Duties
    - Owner Point of Contact, Address, and Phone Number

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## B. Proposed Project Manager for Design Phase Services

1. Provide the resumes (2 pages maximum for each resume) of the two individuals who are the best candidates for this position. Indicate which candidate (primary) the Bidder believes is the best candidate and intends to utilize and which candidate is the backup. List name, qualifications, and background for each. Include names and addresses of companies who have employed him/her during the last 10 years. If the Bidder is awarded the contract to serve as the Design-Builder for the New Neuse River Water Reclamation Facility project, the Bidder will use the primary candidate as Project Manager for Design Phase Services, so long as the primary candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use. If the Bidder is awarded the New Neuse River Water Reclamation Facility project, and cannot use the primary candidate as Project Manager for Design Phase Services, the Bidder will use the backup candidate as Project Manager for Design Phase Services, so long as the backup candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use. The following statement shall be inserted in the bottom margin of each resume:

"This proposed individual shall be available to work on this Project for its entire duration and shall not be reassigned without the expressed written concurrence of the Town."

2. Provide a summary of the three (3) projects, preferably wastewater treatment plants, that are most similar to the current project. Include the size, type, and duration that the proposed Project Manager for Design Phase Services (and proposed backup) have supervised/managed in the last 10 years for Bidder or other company. At a minimum, the following information shall be provided:
  - Project Name
  - Brief Description of Scope
  - Constructed Value
  - Project Duration and Completion Date
  - Candidate's Position and Duties
  - Owner Point of Contact, Address, and Phone Number

## C. Proposed Project Manager for Construction Phase Services

1. Provide the resumes (2-page maximum for each resume) of the two individuals who are the best candidates for this position. Indicate which candidate (primary) the Bidder believes is the best candidate and intends to utilize and which candidate is the backup. List name, qualifications, and background for each. Include names and addresses of companies who have employed him/her during the last 10 years. If the Bidder is awarded the contract to serve as the Design-Builder for the New Neuse River Water Reclamation Facility project, the Bidder will use the primary candidate as Project Manager for Construction Phase Services, so long as the primary candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use. If the Bidder is awarded the New Neuse River Water Reclamation Facility project, and cannot use the primary candidate as Project Manager for Construction Phase Services, the Bidder will use the backup candidate as Project Manager for Construction Phase Services, so long as the backup candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or

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Subsidiary of the Bidder, unless the Town objects at any time to such use. The following statement shall be inserted in the bottom margin of each resume:

"This proposed individual shall be available to work on this Project for its entire duration and shall not be reassigned without the expressed written concurrence of the Town."

2. Provide a summary of the three (3) projects, preferably wastewater treatment plants, that are most similar to the current project. Include the size, type, and duration that the proposed Project Manager for Construction Phase Services (and proposed backup) have supervised/managed in the last 10 years for Bidder or other company. At least one example project must have a constructed value of at least \$20 million. The following information shall be provided for all three water and/or wastewater treatment plant projects:

- Project Name
- Brief Description of Scope
- Constructed Value
- Project Duration and Completion Date
- Candidate's Position and Duties
- Owner Point of Contact, Address, and Phone Number

#### D. Proposed Site Superintendent

1. Provide the resumes (2 pages maximum for each resume) of the two individuals who are the best candidates for this position. Indicate which candidate (primary) the Bidder believes is the best candidate and intends to utilize and which candidate is the backup. List name, qualifications, and background for each. Include names and addresses of companies who have employed him/her during the last 10 years. If the Bidder is awarded to serve as the Design- Builder for the New Neuse River Water Reclamation Facility project, the Bidder will use the primary candidate as Project Site Superintendent, so long as the primary candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate or Subsidiary of the Bidder, unless the Town objects at any time to such use. If the Bidder, is awarded the New Neuse River Water Reclamation Facility project and cannot use the primary candidate as Project Site Superintendent, the Bidder will use the backup candidate as Project Site Superintendent, so long as the backup candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use. The following statement shall be inserted in the bottom margin of each resume:

"This proposed individual shall be available to work on this Project for its entire duration and shall not be reassigned without the expressed written concurrence of the Town."

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2. Provide a summary of the three (3) projects, preferably wastewater treatment plants, that are most similar to the current project. Include the size, type, and duration that the proposed Site Superintendent (and proposed backup) have supervised/managed in the last 10 years for Bidder or other company. At least one example project must have a constructed value of at least \$20 million. The following information shall be provided for all three water and/or wastewater treatment plant projects:

- Project Name
- Brief Description of Scope
- Constructed Value
- Project Duration and Completion Date
- Candidate's Position and Duties
- Owner Point of Contact, Address, and Phone Number

### E. Proposed Wastewater Process Technical Lead

1. Provide the resumes (2 pages maximum for each resume) of the two individuals who are the best candidates for this position. Indicate which candidate (primary) the Bidder believes is the best candidate and intends to utilize and which candidate is the backup. List name, qualifications, and background for each. Include names and addresses of companies who have employed him/her during the last 10 years. If the Bidder is awarded to serve as the New Neuse River Water Reclamation Facility project, the Bidder will use the primary candidate as the Wastewater Process Technical Lead, so long as the primary candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate or Subsidiary of the Bidder, unless the Town objects at any time to such use. If the Bidder, is awarded the New Neuse River Water Reclamation Facility project and cannot use the primary candidate as the Wastewater Process Technical Lead, the Bidder will use the backup candidate as Wastewater Process Technical Lead, so long as the backup candidate is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use. The following statement shall be inserted in the bottom margin of each resume:

"This proposed individual shall be available to work on this Project for its entire duration and shall not be reassigned without the expressed written concurrence of the Town."

2. Provide a summary of the three (3) wastewater treatment plant projects that are most similar to the current project. Include the size, type, and duration that the proposed Wastewater Process Technical Lead (and proposed backup) have supervised/managed in the last 10 years for Bidder or other company. At a minimum, the following information shall be provided:
- Project Name
  - Brief Description of Scope
  - Constructed Value
  - Project Duration and Completion Date
  - Candidate's Position and Duties
  - Owner Point of Contact, Address, and Phone Number



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## F. Proposed Design and Construction Phase Services Support Staff

3. Provide resumes (1 page maximum) for the design leads for each technical discipline as well as primary members of the construction phase services support staff (including safety, estimating, and scheduling). Resumes shall include qualifications; wastewater project experience; professional registrations; and present and anticipated workload.

## G. Subconsultants

4. Outline proposed scope of work and provide resumes and contact information for any proposed subconsultants. Resumes shall be a maximum of two pages and shall include: qualifications; wastewater project experience; professional registrations; and present and anticipated workload.

## H. Changes to Personnel

5. Changes in the key personnel who will be working on this Project are discouraged. Describe how changes in the key personnel staffing this Project will be avoided and how they will be managed, should changes become necessary. If a change in key personnel is made and the change is one that, in the Town's opinion, is not in the best of the Town, such change will be a material misrepresentation under this RFP and a breach of the Design-Build Contract which, at the Town's sole discretion is a basis for dismissal/termination of the selected Bidder. Key personnel include the Proposed Project Director, the Proposed Project Manager for Design Phase Services, the Proposed Project Manager for Construction Phase Services, and the Proposed Site Superintendent.

## 2-III. SCHEDULING CAPABILITIES

- A. The Bidder shall have the capability of preparing and utilizing the Critical Path Method (CPM) scheduling technique specified herein. A statement of CPM scheduling capability shall be submitted with the Proposal to verify that either the Bidder's organization has in-house capability qualified to use the technique, or that the Bidder employs a consulting firm or contract individual who is so qualified. Capability shall be verified by description of the construction projects to which the Bidder has successfully applied the CPM scheduling technique and which were controlled throughout the duration of the project by means of systematic use and updating of the computer-based CPM schedule.
  1. If Bidder prepares critical path method schedules in-house, provide the following information:
    - 1.1. Indicate name and provide resumes of proposed staff member to prepare and update CPM for Bidder. If the Bidder is awarded the contract to construct the Project, the Bidder will use the proposed staff member to prepare and update the CPM schedule, so long as the proposed staff member is employed or otherwise retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use.

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- 1.2. Indicate the number of water and/or wastewater treatment plant CPM project schedules, with project values of at least \$20 million, the proposed staff member has prepared and updated in the last 10 years. List the project name, constructed value, owner and contact person and telephone number:

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- 1.3. State if the contractual project completion date was met for all of the projects listed in Paragraph 1.2 above.

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- 1.4. List the name and version of the proposed scheduling software that would be used by the Proposer.

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2. If the Bidder prepares critical path schedules by utilizing an outside consulting firm or contract individual, provide the following information:

- 2.1. Indicate name of proposed consulting firm or contract individual who will prepare the critical path schedule for this project. If the Bidder is awarded the contract to construct the Project, the Bidder will use the proposed outside consulting firm or contract individual to prepare and update the CPM schedule so long as the outside consulting firm or contract individual is retained by the Bidder or any Parent, Affiliate, or Subsidiary of the Bidder, unless the Town objects at any time to such use.

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- 2.2. Indicate the number of years that the consulting firm or contract individual that the Bidder will utilize has offered CPM scheduling services:

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- 2.3. Indicate the number of water and/or wastewater treatment plant CPM project schedules, with project values of at least \$20 million, the proposed outside consulting firm or contract individual has prepared and updated in the last 10 years. List the project name, constructed value, owner and contact person and telephone number:

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2.4. State if the contractual project completion date was met for all of the projects listed in Paragraph 2.3 above.

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2.5. List the name and version of the proposed scheduling software that would be used by the consulting firm or contract individual.

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## 2-IV. BIDDER EXPERIENCE

Using the form on the following page (reproduce as necessary), complete and provide the requested information for the Bidder for the satisfactory completion of three (3) Design-Build wastewater treatment plant upgrade and/or expansion projects within the last ten (10) years, at least one of which having a contract value of at least \$20 million.

In addition, the Bidder shall list all design and construction projects completed for the Town in the last ten (10) years.

Regardless of the organizational structure of the Bidder, the requested experience shall be included for both the contractor and design firm.

The Town reserves the right if, in its judgment, the three (3) projects submitted under this section are not representative of the overall history of the Bidder's performance over the last ten (10) years to:

- (a) Require the Bidder to submit relevant information for up to two (2) additional projects selected by the Town from the Bidder's overall project list; and,
- (b) Substitute these additional projects for up to two (2) of those submitted by the Bidder under this Section so that, when combined with the remaining projects submitted by the Bidder, the revised projects are more representative of the Bidder's performance over the last ten (10) years.

Project #: \_\_\_\_\_ (Reproduce as necessary for each submitted project)

### **General Information:**

Name of project: \_\_\_\_\_

Name of owner: \_\_\_\_\_

Name of owner contact: \_\_\_\_\_ Phone #: \_\_\_\_\_

Position or title of contact: \_\_\_\_\_

Address of contact: \_\_\_\_\_

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A. Project Description Details: Provide a written project description sheet summarizing the overall project, including plant size and work self-performed and the work performed by subcontractors. Written description should also identify if the proposed Project Director, the proposed Project Manager for Design Phase Services, the proposed Project Manager for Construction Phase Services, the proposed Site Superintendent, and any other critical support disciplines (wastewater process technical lead, scheduler, estimator, RPR, safety etc.) for Design Phase Services and Construction Phase Services were associated with the project submitted and the roles they performed. Projects selected for submission should be similar in nature to the proposed New Neuse River Water Reclamation Facility project. Further, favor will be given to submitted projects that employed a Design-Build-Bridging or Progressive Design-Build project delivery method.

Please Note:

1. The project descriptions must clearly and specifically identify components similar to those outlined in the preliminary scope for the proposed New Neuse River Water Reclamation Facility project RFP. It will be assumed that any Project RFP components not specifically mentioned in the project descriptions are not included in the referenced project.
2. The project descriptions must clearly and specifically include the names of the proposed design and construction personnel mentioned above and their roles in the project. If the names and roles are not included in the description, it will be assumed that the proposed design and construction personnel did not participate in the referenced project.

B. Project Costs: (with complete explanation of cost overrun, if any, including change orders).

Total Bid Amount: \_\_\_\_\_ Final Cost: \_\_\_\_\_

Explanation of cost overrun, if any, including change orders:

C. Liquidated Damages: Were liquidated damages assessed? If so, how much?

D. Claims: Are there any claims or litigation still pending? If yes, provide complete explanation.

E. Project Schedule:

Contract time as bid: \_\_\_\_\_ Actual time to complete: \_\_\_\_\_

Completion dates: \_\_\_\_\_

Explanation of time overrun, if any: \_\_\_\_\_

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