

**Town of Essex,
Massachusetts**



Essex Public Safety Building Project

11 John Wise Avenue

**REQUEST FOR QUALIFICATIONS FOR
GENERAL CONTRACTORS**

Pursuant to M.G.L. c. 149, § 44D½ and 810 CMR 9.00

Date Issued: July 24, 2019

Submission Deadline: Friday, August 9, 2019 at 2:00PM EST

Submit Statement of Qualifications to:

NV5

70 Fargo Street, Suite 800

Boston, MA 02210

Attn: Mike Ulichney



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Part One: RFQ - (to be completed by Awarding Authority)

Section I: General Project Information

Awarding Authority:	<i>The Town of Essex, Massachusetts</i>
Project Name:	<i>Essex Public Safety Building Project</i>
Project Location:	<i>11 John Wise Avenue Essex, MA 01929</i>
Project Description:	<i>Construction of a new 23k SF two-story public safety building, including associated site work, landscaping and demolition</i>
RFQ Informational Meeting (if applicable):	<i>N/A</i>
Optional Site Visit (if applicable):	<i>N/A</i>
Submission Deadline: (for submission of SOQs in response to this RFQ)	<i>2:00 p.m., local time, on Friday, August 9, 2019</i>
Submission Address:	<i>NV5 70 Fargo St, Suite 800 Boston, MA 02210 Attn: Mike Ulichney</i>
Estimated Construction Cost:	<i>\$14 M</i>
Estimated Project Duration:	<i>14-18 Months</i>
Owner's Project Manager:	<i>NV5 70 Fargo Street, Suite 800 Boston, MA 02210 Attn: Mike Ulichney Tel: 617-744-3121 Michael.Ulichney@nv5.com</i>
Project Architect:	<i>Johnson Roberts Associates, Inc. 15 Properzi Way Somerville, MA 02143 Tel: 617-666-8585</i>
Project Specific Requirements (if applicable):	<i>See Section VII</i>

Section II: Detailed Project Description

The project consists of a new two-story public safety building (combined police and fire), associated site work, landscaping and demolition.

The site is sloped, with the Upper Level at grade on three sides and the Lower Level at grade on one side. The gross area of the building is approximately 23,850 square feet, not including the Mechanical Mezzanine.

The Police Department will be located at the Lower Level, totaling approximately 8,050 gross square feet, and the Fire Department will be located at the Upper level, totaling approximately 15,800 gross square feet.

It is anticipated that a Notice to Proceed will be issued to the selected General Contractor in November 2019 with an overall construction duration of 14 to 18 months for completion of the new building and demolition of the existing building.

Section III: General Instructions

In response to this *RFQ*, interested General Contractors are required to submit a *Statement of Qualifications* ("SOQ") application package as follows:

A. Contents Of *Statement Of Qualifications* Application Package

The required *SOQ application package* consists of the following:

1. *GC RFQ Form 2*
2. *Schedules A through N to GC RFQ Form 2;*
3. all supporting documentation referenced and required therein; and
4. required number of copies of items 1-3 above.

B. Submission Deadline: See *Section I: General Information*

One (1) original hard copy and **one (1)** additional complete hard copy and **one (1)** complete electronic copy (on flash drive) of the interested General Contractor's *SOQ application package* must be received by the Awarding Authority on or before the Submission Deadline as set forth in *Section I*, as determined by the Awarding Authority's date/time stamp. All envelopes should be mailed or delivered to:

**NV5
70 Fargo St, Suite 800
Boston, MA 02210
Attn: Mike Ulichney
Telephone: 617-744-3121**

SOQ application packages received by the Awarding Authority later than the Submission Deadline specified in Section I will be rejected and returned to the respondent General Contractor. Respondent General Contractors are cautioned to allow sufficient time for mailed materials to be received. Telecopied, faxed, or e-mailed qualifications will not be accepted. Awarding Authority shall not be responsible for mail not received, deliveries not made, or SOQ application packages not received by the date and time set forth in Section I.

C. Required Exterior Label For SOQ Application Package Envelope

SOQs will not be read publicly and should be submitted in a sealed envelope. All envelopes **must be labeled on the outside** with the following information:

RFQ for General Contractor Services – Essex Public Safety Building Project
Respondent General Contractor's Name
Respondent General Contractor's Address
Respondent General Contractor's Telephone #
Respondent General Contractor's Contact Person and Email Address

D. RFQ Informational Meeting

n/a

E. Optional Site Visit

n/a

F. Review/Availability of Contract Documents

Drawings, specifications and other documents will not be available to respondent General Contractors during the *RFQ* Phase.

G. Subcontractor Prequalification

The Project will require prequalification of Subcontractors. The following Subcontractors will be prequalified to submit **filed sub-bids** under a separate **RFQ** and prequalification process:

Trades Subject to Prequalification on the Project Indicated by "X"	Section #	Trade Category
X	042000	Masonry
X	055000	Miscellaneous and Ornamental Iron
X	071000	Waterproofing, Dampproofing and Caulking
X	075000	Roofing and Flashing
	n/a	Metal Windows
X	088000	Glass and Glazing
	n/a	Lathing and Plastering
X	093013	Ceramic Tile
X	095100	Acoustical Ceiling Tile
X	096500	Resilient Floors
X	099100	Painting
	n/a	Terrazzo
	n/a	Marble
X	142400	Elevators
X	210000	Fire Protection
X	220000	Plumbing
X	230000	Heating, Ventilation & Air-Conditioning
X	260000	Electrical

H. Additional Instructions

See *Section VII: Additional Information* for additional instructions regarding the prequalification process.

Section IV: Overview Of Prequalification Process

- This *Request for Qualifications* (“*RFQ*”) is issued pursuant to M.G.L. c. 149, § 44D½. Firms interested in providing General Contractor services for the construction of the project described in *Section I and Section II* (“the Project”) MUST submit a *Statement of Qualifications* (“*SOQ*”) in response to this *RFQ* to the Awarding Authority as instructed in *Section III and Section VIII*, herein.
- The General Contractor selection process for this Project is a two-phase process as set forth in M.G.L. c. 149, § 44D½. The project delivery method for construction will be under M.G.L. c. 149. The Awarding Authority is prequalifying firms interested in providing General Contractor services for the Project through this *RFQ* prequalification process.

******* IMPORTANT NOTICES *******

Participation in the RFP Bidding Phase of this Project will be limited to ONLY those General Contractor firms who have submitted a *SOQ* (and required supporting documentation) in response to this *RFQ* and that have been deemed prequalified by the Awarding Authority. General Contractors that fail to respond to this *RFQ* and submit a *SOQ* with the required supporting documentation by the Submission Deadline set forth in *Section I* and General Contractors that have not been deemed prequalified by the Awarding Authority shall be automatically disqualified from bidding on this Project.

The Awarding Authority is prequalifying General Contractors and all filed sub-bid Subcontractors for this Project. Therefore, responses to this *RFQ* will be considered ONLY for the prequalification of General Contractors that, if deemed prequalified will be invited to submit a bid pursuant to M.G.L. c. 149, § 44E. Any contractor seeking to be prequalified as both a General Contractor and Subcontractor for a particular filed sub-bid trade(s) shall be required to file separate responses to BOTH this *RFQ* and the *RFQ* issued to prospective filed sub-bidders for this Project.

******* IMPORTANT NOTICES *******

Section V: Administration/Schedule For Prequalification Process

A. “Two-Phase” Selection Process

Selection of the General Contractor for the Project will be conducted in a **two-phase** process as set forth in M.G.L. c. 149, § 44D½. General Contractor firms must first be prequalified in the *Phase One – RFQ/Prequalification Phase* in order to bid on the Project in *Phase 2 – RFP/Bidding Phase*.

1. *Phase One – RFQ/Prequalification Phase*

- **Submission Of *Statement Of Qualifications* (“SOQ”)** - Interested General Contractor firms must submit a completed SOQ; completed *Schedules A through K*, and all required supporting documentation referenced therein in response to this RFQ by the *Submission Deadline* set forth in *Section I*.
- **Prequalification Committee** –The Awarding Authority has appointed a *Prequalification Committee* to review and evaluate the SOQs (and supporting documentation) submitted by interested General Contractors. The *Prequalification Committee* shall consist of one (1) representative from the Project Designer one (1) representative from the OPM and two (2) representatives from the Awarding Authority.
- **Evaluation By Prequalification Committee** - The *Prequalification Committee* shall meet as necessary to evaluate and review the SOQs (and supporting documentation) submitted by each respondent General Contractor firm in accordance with the evaluation criteria set forth in *Section VI*.
- **Notice To Respondent General Contractors** – The Awarding Authority anticipates concluding the RFQ evaluation and review process within the time set forth in *Section V(B) herein*. Upon completion of the evaluation and review process described herein, the *Prequalification Committee* shall provide written notice to all respondent General Contractors as to whether they are deemed prequalified or not. Prequalified General Contractor firms shall also be invited to participate in *Phase Two*, the RFP/Bidding Phase of the General Contractor selection process.

2. **Phase Two – RFP/Bidding Phase**

- General Contractor firms determined in *Phase One* by the *Prequalification Committee* to be prequalified will be invited to bid on the Project. **Only firms deemed prequalified during Phase One – RFO/Prequalification Phase will be permitted to participate in Phase Two, the RFP/Bidding Phase. Firms that are not prequalified by the Prequalification Committee and firms that do not participate in the RFO phase will be precluded from participating in Phase Two - the RFP Bidding/Phase.**

B. **Anticipated Schedule For Prequalification/Bidding**

Anticipated Completion of Prequalification Evaluations:	September 6, 2019
Anticipated RFB to Prequalified Bidders:	September 13, 2019
Anticipated Notice To Proceed:	November 12, 2019
Anticipated Construction Schedule:	14-18 Months

Section VI: Evaluation Procedure/Criteria For Prequalification Selection

A. **Sources of Information Considered**

Respondent General Contractors must submit documentation for the four (4) statutory evaluation criteria categories listed herein. Prequalification will be based on the submitted information and materials as well as information on prior project performance, information obtained from references, information obtained from governmental agencies and entities, information contained within DCAMM's certification files, and such other information as may be obtained relating to the evaluation criteria categories. The *Prequalification Committee* may also request and review additional information as necessary to clarify or supplement the information provided to or obtained by the Awarding Authority.

Do not include superfluous material. You must include the *SOQ Response Form*, *GC RFQ Form 2* and *Schedules A through N* attached hereto. You must give complete and accurate answers to all questions and provide all of the information requested. Making a materially false statement in this SOQ submission is grounds for rejection and debarment.

B. Evaluation Procedure

As set forth herein and in accordance with M.G.L. c. 149, § 44D½ and 810 CMR 9.00, the Awarding Authority has established a *Prequalification Committee* for the purpose of reviewing and evaluating responses to this RFQ. The *Prequalification Committee* shall evaluate interested General Contractors based on the evaluation criteria set forth herein and assign points for each evaluation criterion category and subcategory provided herein. The *Prequalification Committee* shall prepare a written evaluation score form for each respondent General Contractor that provides a composite point rating and a specific point rating for each of the evaluation criterion set forth in M.G.L. c. 149 and herein. The *Prequalification Committee* shall only prequalify those General Contractor firms that have achieved the minimum points required in each category set forth herein and a minimum total score of seventy (70) points.

Only General Contractor firms achieving the minimum score required in each evaluation category set forth herein, as well as a minimum total score of seventy (70) points overall shall be prequalified and invited to submit bids consistent with M.G.L. c. 149, § 44E. An interested General Contractor's score shall be made available to the General Contractor upon request.

The decision of the *Prequalification Committee* shall be final and shall not be subject to appeal except on grounds of fraud or collusion.

C. Criteria For Prequalification

SOQs must be submitted on the *GC RFQ Form 2* attached hereto. Interested General Contractors submitting a SOQ and supporting information in any other form will not be prequalified. The *Prequalification Committee* shall review and evaluate the information submitted by interested General Contractors in accordance with the statutory point scheme set forth in M.G.L. c. 149, § 44D½. Also in accordance with § 44D½, the RFQ shall set forth the available points for each evaluation sub-category in order to provide interested General Contractors prior notice of the points available in each sub-category.

1. Management Experience - (50 points available in this category; minimum of 25 points required in this category for prequalification approval)

- a. **Business Owners:** Provide the name, title, including a detailed description of the role and job responsibilities, scope of work and numbers of years with the firm for each of the business owner(s) of the firm. If the respondent General

Contractor is a partnership, **YOU MUST** provide the requested information for each general and limited partner. If the respondent General Contractor is a corporation or limited liability company, **YOU MUST** provide the requested information for each officer, director and/or member.
(2 points available)

1. *At least one (1) principal of the General Contractor has five (5) or more consecutive years of employment with the General Contractor – two (2) points.*
2. *At least one (1) principal of the General Contractor has three (3) or more but less than four (4) consecutive years of employment with the General Contractor – two (2) points.*
3. *No principal of the General Contractor has three (3) or more consecutive years of employment with the General Contractor – zero (0) points.*
4. *No response or incomplete response – zero (0) points*

b. *Management Personnel:* Provide the name, title, including a detailed description of the role and job responsibilities, scope of work, education, construction experience, years with the firm and list of all projects completed for all management personnel who will have any direct or indirect responsibility over the Project, including but not limited to project executives, project managers, field superintendents and field engineers. (3 points available)

1. *At least one (1) management person of the General Contractor who will work on the Project has five (5) or more consecutive years of employment as a management person with the General Contractor –three (3) points.*
2. *At least one management person of the General Contractor who will work on this Project has four (4) or more consecutive years of employment as a management person with the General Contractor –two (2) points.*
3. *At least one (1) management person of the General Contractor who will work on this Project has three (3) or more consecutive years of employment as a*

management person with the General Contractor or other General Contractor in public building construction – one (1) point.

- 4. Less than three consecutive years, no response or incomplete response – zero (0) points.*

c. *Similar Project Experience:* Provide the project name(s), description, scope of work, original contract sum, final contract sum with explanation, and date of completion for each and every similar project undertaken by the firm in the last seven (7) years. For purposes of this RFQ, “similar projects” shall mean public construction projects in Massachusetts that are of similar value, size, complexity and scope. (14 points available)

- 1. The General Contractor has successfully completed its work on construction of at least five (5) similar projects within the past seven (7) years with a contract value similar to the total estimated construction cost for the project on which the General Contractor is attempting to qualify – fourteen (14) points.*
- 2. The General Contractor has successfully completed its work on construction of at least four (4) similar projects within the past seven (7) years with a contract value similar to the total estimated construction cost for the project on which the General Contractor is attempting to qualify – ten (10) points.*
- 3. The General Contractor has successfully completed its work on construction of at least three (3) similar projects within the past seven (7) years with a contract value similar to the total estimated construction cost for the project on which the General Contractor is attempting to qualify – six (6) points.*
- 4. The General Contractor has successfully completed its work on construction of at least two (2) similar projects within the past seven (7) years with a General contract value similar to the estimated trade contract value for the project on which the General Contractor is attempting to qualify – two (2) points.*
- 5. The General Contractor has successfully completed its work on construction of at least one (1) similar project within the past seven (7) years with a General contract*

value similar to the estimated trade contract value for the project on which the General Contractor is attempting to qualify – one (1) point.

6. *No similar project experience within the past seven (7) years; No response or incomplete response – zero (0) points.*

d. **Terminations:** Provide a list of any projects on which the firm was the General Contractor and was terminated, held in default, or failed to complete the work. Include the name of the project, the timeframe of the project and circumstances surrounding the termination or default. *(10 points available)*

1. *The General Contractor has not been terminated on any project within ten (10) years and has not failed to complete the work on any project within ten (10) years provided that termination on a project or failure to complete a project, which in either event, is for reasons beyond the control of the General Contractor shall be disregarded – ten (10) points.*
2. *Within the past six (6) to ten (10) years, the General Contractor has been terminated on one or more projects or has failed to complete the work on one or more projects, must provide documentation/explanation –three (3) points*
3. *Within the past five (5) years, the General Contractor has been terminated on one or more projects or failed to complete a project - zero (0) points*
4. *No response or incomplete response – zero (0) points.*

e. **Legal Proceedings:** Provide information regarding each and every legal proceeding, administrative proceeding and arbitration pending against the General Contractor. In addition, provide information regarding each and every legal proceeding, administrative proceeding or arbitration concluded adversely to the General Contractor within the past five (5) years, which relate to the procurement or performance of any public or private construction contract. *(10 points available)*

1. *No legal or administrative proceedings are pending nor have been concluded adversely to the General Contractor within the past three (3) years which relate to*

the procurement or performance of any public construction contract or private construction contract – ten (10) points.

- 2. One or two legal or administrative proceedings are pending or have been concluded adversely to the General Contractor within the past two (3) years which relate to the procurement or performance of any public construction contract or private construction contract – six (6) points.*
- 3. Three or four legal or administrative proceedings are pending or have been concluded adversely to the General Contractor within the past three (3) years which relate to the procurement or performance of any public construction contract or private construction contract – four (4) points.*
- 4. Five or more legal or administrative proceedings are pending or have been concluded adversely to the General Contractor within the past one (3) years which relate to the procurement or performance of any public construction contract or private construction contract – two (2) points.*
- 5. Failure to disclose any pending or current lawsuit, required to be included in the General Contractor's response – zero (0) points.*
- 6. No response or incomplete response – zero (0) points.*

f. Safety Record: Provide the three (3) year history of the General Contractor's workers' compensation experience modifier. In addition, provide documentation from the General Contractor's insurance carrier supporting the rating history provided. (10 points available)

- 1. Average value of the submitted history of the General Contractor's workers' compensation modifier is 0.9 or less – ten (10) points.*
- 2. Average value of the submitted history of the General Contractor's workers' compensation modifier is .91 to 1.0 – eight (8) points.*
- 3. Average value of the submitted history of the General Contractor's workers' compensation modifier is 1.01 to*

1.10 – six (6) points.

4. Average value of the submitted history of the General Contractor's workers' compensation modifier is 1.11 to 1.20 – four (4) points.

5. Average value of the submitted history of the General Contractor's workers' compensation modifier is 1.21 to 1.30 – two (2) points.

6. Average value of the submitted history of the General Contractor's workers' compensation modifier is greater than 1.31 –zero (0) points.

7. No response or incomplete response – zero (0) points.

g. *MBE/WBE and Workforce Compliance Record:* *Provide information and evidence of the General Contractor's compliance record with respect to Minority Business Enterprise and Women Business Enterprise goals and workforce inclusion goals for all projects completed which had such goals. (1 point available)*

1. Provide evidence of satisfactory prior participation in affirmative marketing program – one (1) point.

2. No evidence provided – zero (0) points.

2. *References - (30 points available in this category; minimum of 15 points required in this category for prequalification approval)*

a. *Project References:* *Provide reference information for owners and architects for each and every project listed in your response to Section VI(C)(1)(c). A minimum of three (3) references are required from (3) three different projects, similar to this project. Information provided shall at least include project name and the names of the owners and architects, with current address, current telephone and fax numbers, email address and contact person for each. Note: The Prequalification Committee may also consider project reference information and project evaluations obtained from the Update Statement, DCAMM's certification files and information provided in response to Subsection 2(c) herein. (18 points available)*

1. *Three (3) points for each favorable reference, maximum of six (6) references – maximum eighteen (18) points*
2. *Negative three (-3) points for each unfavorable reference, maximum of six (6) references*
3. *The total score for this category will be the net sum of favorable and unfavorable reference points, if there are more unfavorable than favorable references then the score would be zero (0).*
4. *If a reference cannot be reached due to incorrect contact information then, that reference will be counted as zero (0) points.*

b. Credit References: Provide a minimum of five (5) credit references, including the telephone and fax numbers of a contact person from key suppliers, vendors and banks. **A bank credit reference letter should be provided by the SOQ deadline, it may be included with the SOQ or sent directly to NV5 from the bank.** Also reference Section VII (D) of Part One of the RFQ for this Project for Additional Information. (4 points available)

1. *A favorable bank credit reference letter received plus three (3) or more favorable credit references, with at least one from a bank or a recognized lending institution – four (4) points.*
2. *A favorable bank credit reference received letter plus one (1) or two (2) credit references, with at least one from a bank or a recognized lending institution – three (3) points.*
3. *A favorable bank credit reference letter received plus (0) zero credit references – two (2) points.*
4. *No bank credit reference letter and no favorable credit references –zero (0) points.*
5. *No response or incomplete response – zero (0) points (lack of a bank credit reference letter will be considered an incomplete response).*

c. Public Project Record: Provide a list of all completed public building construction projects (as defined by M.G.L. c. 149, § 44A) worked on during the past three (3) years with

the project name, scope of work, contract value, start date, completion date, status of the project, owner's name (including address, telephone number, fax number, and contact person) and architect's name (including address, telephone number, fax number and contact person).
(8 points available)

1. *Work successfully completed on five (5) or more public building projects during the past five (5) years – eight (8) points.*
2. *Work successfully completed on four (4) public building projects during the past five (5) years – six (6) points.*
3. *Work successfully completed on three (3) public building projects during the past five (5) years – four (4) points.*
4. *Work successfully completed on two (2) public building projects during the past five (5) years – two (2) points.*
5. *Work successfully completed on one (1) public building project during the past five (5) years – one (1) point.*
6. *Work successfully completed on no public building projects during the past five (5) years – zero (0) points.*
7. *No response or incomplete response – zero (0) points.*

3. Capacity to Complete Projects - (20 points available in this category; minimum of 10 points required in this category for prequalification approval)

a. Audited Financial Statement: Submit an audited financial statement for the most recent fiscal year. The financial information submitted shall remain confidential and shall not be a public record. (5 points)

1. *Cash balance positive; and working capital balance positive; tangible net worth positive; leverage 1.0 or less – five (5) points.*
2. *Cash balance positive; and working capital balance positive; tangible net worth positive; leverage 1.0 – 1.5 - three (3) points.*
3. *Cash balance positive; and working capital balance*

positive; tangible net worth positive; leverage 1.5 – 2.0 – two (2) points.

4. *Cash balance positive; and working capital balance positive; tangible net worth positive; leverage 2.0 – 2.5 – one (1) point.*

5. *Cash balance positive; and working capital balance positive; tangible net worth positive; leverage 2.5 – 3.0 – zero (0) points.*

6. *No response or incomplete response – zero (0) points.*

Note: For purposes of this RFQ, **leverage** shall be defined as:
Assets minus liabilities = equity.

Total liabilities divided by equity = **leverage**

b. Revenue under Contract: Submit revenue under contract for the next three (3) years (15 points available)

1. *Revenue is 50% or greater of estimated construction cost listed in this RFQ – ten (15) points.*

2. *Revenue is between 40% and 50% of estimated construction cost listed in this RFQ – eight (12) points.*

3. *Revenue is between 30% and 40% of estimated construction cost listed in this RFQ – six (9) points.*

4. *Revenue is between 20% and 50% of estimated amount of trade category listed in this RFQ – four (6) points.*

5. *Revenue is less than 20% of estimated amount of trade category listed in this RFQ – two (1) points.*

6. *No response or incomplete response – zero (0) points.*

4. Mandatory Requirements - (no points assigned)

a. Bonding Capacity: Interested General Contractors must provide a commitment letter (from a surety company licensed to do business in the Commonwealth of Massachusetts and whose name appears on the United States Treasury Department Circular 570) for payment and performance bonds in an amount equal to or greater than one hundred percent (100%) of the estimated construction cost for Project as set forth in *Section I*.

- b. DCAMM Certification:** Interested General Contractors must provide a currently valid *Certificate of Eligibility* issued by DCAMM to the General Contractor pursuant to M.G.L. c. 149, § 44D, showing a single and aggregate capacity rating sufficient for the Project.
- c. Update Statement:** Interested General Contractors must provide a current and completed Update Statement prepared by the interested General Contractor.

Section VII: Additional Information

A. Status Of Request For Qualifications

This *RFQ* is solely a request for information. It does not represent an offer nor does it confer any rights on any respondent General Contractor. The Awarding Authority shall not be responsible under any circumstances for any costs incurred by any respondent General Contractors to this *RFQ*. The Awarding Authority reserves the right to cancel this procurement at any time if it is in its the best interest to do so.

B. Treatment of Information Submitted

With the exception of the required audited financial statements, the Awarding Authority shall have no obligation to treat any information submitted by an interested General Contractor in or in connection with a *SOQ* as proprietary or confidential unless the Awarding Authority determines that the information legitimately requires such treatment. In such case, the Awarding Authority's obligation with respect to protection and disclosure of such information shall at all times be subject to applicable laws. The Awarding Authority shall have the right to use all or portions of the *SOQ*, as it considers necessary or desirable in connection with the Project. By the submission of a *SOQ*, the respondent General Contractor thereby grants to the Awarding Authority an unrestricted license to use the *SOQ*, including all materials submitted therewith, in connection with the project.

C. Communication Between Awarding Authority and Respondent General Contractors

Unauthorized communications or contact between General Contractors, their employees, agents or other related entities interested in submitting a *SOQ* and the Awarding Authority, the project designer, the project manager, or any other person or entity participating on the Prequalification Committee with regard to the Project are strictly prohibited. The only authorized communications shall be 1) inquiries to the Awarding Authority for general information about obtaining the *RFQ*, *RFQ* submission deadlines, and the existence of any relevant addenda to the *RFQ*; and 2) inquiries made at the official Pre-*RFQ* Submission meeting held by the Awarding Authority. If applicable, the official Pre-*RFQ* Submission Meeting will be held at the date and time set forth in *Section I*.

Any issues brought to the Awarding Authority's attention at the Pre-*RFQ* Submission meeting, which the Awarding Authority determines will require additional clarification will be addressed by issuing a written addendum. Oral and other clarifications will be without legal effect. All such addenda will be considered part of this *RFQ*, and the respondent General

Contractor shall be required to acknowledge receipt of all addenda on the RFQ Proposal Response Form attached to this RFQ. The Awarding Authority will post all addenda which will be available to all respondent General Contractors that have downloaded or received the RFQ directly from the Awarding Authority to the following website:

<https://www.nv5.com/client-access/project-downloads/other/>

It shall be the sole responsibility of the respondent General Contractor to ascertain the existence of any and all addenda issued by the Awarding Authority.

From the date of issuance of this RFQ, any respondent General Contractor that contacts directly or indirectly any member or employee of the Awarding Authority, or the project designer, or the project manager, or any member of the *Prequalification Committee* in connection with the selection process or the contract contemplated herein for this project is subject to disqualification. Contact is permitted for the purpose of obtaining a copy of this RFQ or to submit a verbal or written question or request for clarification at the Pre-RFQ Submission meeting as set forth in *Section I*.

D. Credit References

In evaluating credit references (see Part Two, Section 2(b) of the General RFQ Form 3), significant weight is attached to the General Contractor having a bank reference. In order to expedite this process, please contact your bank reference and either include with the SOQ or have the bank forward directly to the address below (by e-mail) so that it is received by NV5 by the deadline for SOQ submittal, a letter indicating how long they have been associated with the General Contractor and whether they consider the General Contractor to be favorable or unfavorable. This information must be submitted on the bank's letterhead to:

NV5
Attn: Mike Ulichney
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¹ Note: The Statement of Qualifications ("SOQ") application form (GC RFQ Form 2) and accompanying *Schedules A through N*, submitted in response to this RFQ **MAY NOT BE E-MAILED.**

**Statement of Qualifications Application for General Contractors
GC RFQ Form 2**

Note: See Sections III and VII of Part One, the RFQ for this Project, for instructions on completing this Statement of Qualifications and accompanying Schedules A through K.

Project Name:	Essex Public Safety Building Project
Awarding Authority:	Town of Essex, Massachusetts
General Contractor Name:	
General Contractor Mailing Address:	
General Contractor Street Address:	
Telephone Number:	
Email Addresss:	
Contact Person/Title:	

1. **Management Experience** - (50 points available; minimum of 25 points required for prequalification approval)
 - a. **Business Owners:** Interested General Contractors **MUST COMPLETE Schedule A** and **MUST ATTACH** to it a resume for each and every business owner of your firm as set forth in Section VI(C)(1)(a) of Part One, the RFQ for this Project.
 - b. **Management Personnel:** Interested General Contractors **MUST COMPLETE Schedule B** and **MUST ATTACH** to it a resume for each and every person who will have **any** management responsibility, direct or indirect, for the Project, including, but not limited to, project executives, project managers, field superintendents and field engineers, as set forth in Section VI(C)(1)(b) of Part One, the RFQ for this Project.
 - c. **Similar Project Experience:** Interested General Contractors **MUST COMPLETE Schedule C** and list similar projects for the last seven (7) years. For each project, you must include the name, description of project, description of your firm's scope of work, original contract sum, final contract sum (with explanation) and date completed. For the purpose of this RFQ, "similar projects" shall be defined as defined in Section VI(C)(1)(c) of Part One, the RFQ for this Project.

- d. **Terminations:** Interested General Contractors **MUST COMPLETE Schedule D** and list each and every project on which your firm was terminated or failed to complete the work as set forth in *Section VI(C)(1)(d) of Part One*, the RFQ for this Project.
 - e. **Legal Proceedings:** Interested General Contractors **MUST COMPLETE Schedule E** and list any and all legal proceeding or administrative proceeding or arbitration currently pending against your firm. Interested General Contractors must also list each and every legal proceeding or administrative proceeding or arbitration concluded adversely against your firm within the past five (5) years as set forth in *Section VI(C)(1)(e) of Part One*, the RFQ for this Project.
 - f. **Safety Record:** Interested General Contractors **MUST COMPLETE Schedule F** and provide the three (3) year history of its workers' compensation modifier rating as set forth in *Section VI(C)(1)(f) of Part One*, the RFQ for this Project, and **MUST ATTACH** to **Schedule F** documentation from its insurance carrier supporting the ratings reported therein or no points may be awarded.
 - g. **MBE/WBE and Workforce Compliance Record:** Interested General Contractors **MUST COMPLETE Schedule G** and provide copies of documents providing evidence of the firm's compliance record with respect to Minority Business Enterprise and Women's Business Enterprise participation goals and workforce inclusion goals for each and every project completed that had a contractual MBE/WBE participation goal or minority and women workforce goals as set forth in *Section VI(C)(1)(g) of Part One*, the RFQ for this Project. In addition, interested General Contractors **MUST ATTACH** documentation supporting the actual participation and inclusion amounts reported in **Schedule G**.
2. **References - (30 points available; minimum of 15 points required for prequalification approval)**
- a. **Project References:** Interested General Contractors **MUST COMPLETE Schedule H** and provide project references from owners and architects for all projects as required in *Section VI(C)(2)(a) of Part One*, the RFQ for this Project.
 - b. **Credit References:** Interested General Contractors **MUST COMPLETE Schedule I** and provide a minimum of five (5) credit references as required in *Section VI(C)(2)(b) of Part One*, the RFQ for this Project.
 - c. **Public Project Record:** Interested General Contractors **MUST COMPLETE Schedule J** and list all completed public building

construction projects completed by your firm during the past three (3) years as required in *Section VI(C)(2)(c) of Part One*, the RFQ for this Project.

3. **Capacity to Complete Project - (20 points available; minimum of 10 points are required for prequalification approval)**

- a. **Audited Financial Statement:** Interested General Contractors **MUST ATTACH** to the *GC RFQ Form 2* an audited financial statement for the most recent fiscal year (may be submitted in a sealed envelope). Whether submitted in a sealed envelope or not, such audited financial statements shall not be considered public records.
- b. **Revenue Under Contract:** Interested General Contractors **MUST COMPLETE Schedule K** and list revenue under contract for the next three (3) fiscal years. Such financial information shall not be considered public records.

4. **Mandatory Requirements: (no points are assigned)**

- a. **Payment and Performance Bonds:** Interested General Contractors **MUST ATTACH** to the *GC RFQ Form 2* a commitment letter (from a surety company licensed to do business in the Commonwealth of Massachusetts and whose name appears on United States Treasury Department Circular 570) for payment and performance bonds in an amount equal to or greater than one hundred percent (100%) of the estimated construction cost of this Project.
- b. **Certificate of Eligibility:** Interested General Contractors **MUST ATTACH** to the *GC RFQ Form 2* a currently valid *Certificate of Eligibility* (issued by DCAMM) showing a single and aggregate capacity rating sufficient for the Project.
- c. **Update Statement:** Interested General Contractors **MUST ATTACH** to the *GC RFQ Form 2* a current and completed *Update Statement*.

5. **Execution Requirements**

- a. **RFQ Response Checklist:** Before signing and submitting its SOQ application package for this Project, interested General Contractors are advised to carefully review the *RFQ Response Checklist – GC RFQ Form 3*.
- b. **Incomplete or Inaccurate Information:** Failure to accurately and completely provide the information requested may result in the disqualification.
- c. **Authorization to Sign:** This form **MUST** be signed by an officer of the firm or an individual so authorized by an officer of the firm who has personal

knowledge regarding the information contained herein.

- d. Debarment Status:** By signing below, the interested General Contractor certifies that it is not currently debarred from performing public work for the Commonwealth of Massachusetts or the Federal Government.

SIGNED UNDER THE PAINS AND PENALTIES OF PERJURY:

Signature: _____

Print Name:
Title:
Telephone:
Date:

[Insert GC Firm Name]

SCHEDULE A – BUSINESS OWNERS: Interested General Contractor **MUST** provide the following information and attach a copy of the resume for each and every business owner of the firm in accordance with Section VI(C)(1)(a) of *Part One*, the RFQ for this Project.

[illegible]

[Insert GC Firm Name]

SCHEDULE B – MANAGEMENT PERSONNEL: Interested General Contractors **MUST** provide the following information and attach a copy of the resume for each and every person who will have any direct or indirect management responsibility for the Project, including but not limited to, project executives, project managers, project superintendents, etc. in accordance with Section VI(C)(1)(b) of *Part One*, the RFQ for this Project.

[illegible]

[Insert GC Firm Name]

SCHEDULE C - SIMILAR PROJECT EXPERIENCE: Interested General Contractor **MUST** list all similar projects your firm has completed during the last [Awarding Authority to Set Reporting Time Period]. For the purpose of this RFQ “similar projects” shall be as defined in *Section VI(C)(1)(c) of Part One*, the RFQ for this Project.

[illegible]

[Insert GC Firm Name]

SCHEDULE D - TERMINATIONS: Interested General Contractors are required to list each and every project on which it was terminated or failed to complete the project as set forth in *Section VI(C)(1)(d) of Part One*, the RFQ for this Project.

[illegible]

[Insert GC Firm Name]

SCHEDULE E - LEGAL PROCEEDINGS: Interested General Contractors are required to list each and every legal proceeding, administrative proceeding or arbitration currently pending and each and every legal proceeding, administrative proceeding and arbitration concluded adversely against it within the past five (5) years as set forth in *Section VI(C)(1)(e) of Part One*, the RFQ for this Project.

[illegible]

[Insert GC Firm Name]

SCHEDULE F – SAFETY RECORD: Interested General Contractors are required to provide the three (3) three year history of its workers' compensation experience modifier and attached documentation from its insurance carrier supporting the ratings reported herein as set forth in *Section VI(C)(1)(f) of Part One*, the *RFQ* for this Project.

YEAR	WORKERS' COMP. EXPERIENCE MODIFIER	COMMENTS

[Insert GC Firm Name]

SCHEDULE G – MBE/WBE and WORKFORCE COMPLIANCE RECORDS: Interested General Contractors are required to list each and every project completed within the time frame set forth in *Section VI(C)(1)(g) of Part One*, the RFQ for this Project, that had contractual MBE/WBE participation goals or minority and women workforce goals. For the actual participation or workforce inclusion amounts listed, you must attach documentation from the owner supporting the amount reported. In addition, if the goals were not met, then you must explain why and indicate whether any sanctions or penalties were imposed.

[illegible]

[Insert GC Firm Name]

SCHEDULE H - PROJECT REFERENCES: Interested General Contractors are required to list references for prior work your firm has performed as set forth in *Section VI(C)(2)(a) of Part One*, the *RFQ* for this Project.

PROJECT TITLE	COMPANY NAME	CONTACT PERSON/ADDRESS	TELEPHONE#	FAX#
	OWNER: DESIGNER:			
	OWNER: DESIGNER:			
	OWNER: DESIGNER:			
	OWNER: DESIGNER:			
	OWNER: DESIGNER:			

[Insert GC Firm Name]

SCHEDULE I - CREDIT REFERENCES: Interested General Contractors are required to list a minimum of five (5) credit references from banks, suppliers and/or vendors as set forth in *Section VI(C)(2)(b) of Part One*, the *RFQ* for this Project.

CHECK ONE	COMPANY NAME	CONTACT PERSON	TELE#	FAX#
☐ BANK ☐ SUPPLIER ☐ VENDOR				
☐ BANK ☐ SUPPLIER ☐ VENDOR				
☐ BANK ☐ SUPPLIER ☐ VENDOR				
☐ BANK ☐ SUPPLIER ☐ VENDOR				
☐ BANK ☐ SUPPLIER ☐ VENDOR				

[Insert GC Firm Name]

SCHEDULE J - PUBLIC PROJECT RECORD: – Interested General Contractors are required to list all completed public buildings during the past three (3) years in accordance with Section VI(C)(2)(c) of *Part One*, the *RFQ* for this Project. (You may attach additional pages if necessary).

PROJECT INFORMATION	CONTACT INFORMATION Provide business and contact name, address, telephone and fax
PROJECT NAME: CONTRACT VALUE: SCOPE: START DATE: FINISH DATE:	AWARDING AUTHORITY: DESIGNER:
PROJECT NAME: CONTRACT VALUE: SCOPE: START DATE: FINISH DATE:	AWARDING AUTHORITY: DESIGNER:
PROJECT NAME: CONTRACT VALUE: SCOPE: START DATE: FINISH DATE:	AWARDING AUTHORITY: DESIGNER:

[Insert GC Firm Name]

SCHEDULE K – REVENUE UNDER CONTRACT: – Interested General Contractors are required to list revenue under contract for next three (3) fiscal years in accordance with Section VI(C)(3)(b) of *Part One*, the *RFQ* for this Project.

Firm's fiscal year runs _____ to _____.

YEAR	REVENUE UNDER CONTRACT (\$)

[Insert GC Firm Name]

SCHEDULE L – AUDITED FINANCIAL STATEMENT:

Respondent General Contractors must attached here an Audited Financial Statement for the most recent fiscal year. The financial information submitted shall remain confidential and shall not be a public record

[Insert GC Firm Name]

SCHEDULE M – LETTER EVIDENCING BONDING CAPACITY:

Respondent General Contractors must attach here a letter from a surety company (or from an agent meeting the criteria set forth above) evidencing that the surety will provide respondent with payment and performance bonds for the Project in an amount equal to or greater than **One Hundred and Ten Percent (110%)** of the estimated construction cost of the Project as set forth in Section I. The surety company must meet the requirements set forth above.

[Insert GC Firm Name]

SCHEDULE N –CERTIFICATE OF ELIGIBILITY AND UPDATE STATEMENT:

Respondent General Contractor must attach here TWO different documents:

- 1) a copy of its current **DCAMM *Certificate of Eligibility*** meeting the requirements set forth above in this RFQ; **and**
- 2) a completed and signed **DCAMM *Update Statement*** utilizing the most current form available on DCAMM's website.
<https://www.mass.gov/service-details/update-statement-for-public-bidding>

RFQ RESPONSE CHECKLIST - GC RFQ Form 3

NOTE: LATE APPLICATIONS FOR PREQUALIFICATION WILL NOT BE CONSIDERED. THEREFORE, BEFORE SUBMITTING A RESPONSE TO THIS RFQ, PLEASE REVIEW THE FOLLOWING:

- ☐ Did you email the RFQ Interest Form (*GC RFQ Form 1*) to the Awarding Authority?
- ☐ Did you complete the entire SOQ Form (*GC RFQ Form 2*)?
- ☐ Did you fully complete *Schedules A through K*?
- ☐ Did you attach the resumes of owners and management personnel identified in your responses to *Schedule A* and *Schedule B*?
- ☐ Did you attach the required documentation from your insurance company supporting the workers' compensation modifier history you reported in *Schedule F*?
- ☐ Did you attach the required documentation supporting the MBE/WBE and Workforce Compliance record you reported in *Schedule G*?
- ☐ Do you have the current contact information for all of the references you reported in *Schedule H*, *Schedule I* and *Schedule J*?
- ☐ Did you attach an audited financial statement as required in *Section 3(a)* of *Part Two, GC RFQ Form 2*?
- ☐ Did you attach a commitment letter for payment and performance bonds as required in *Section 4(a)* of *Part Two, GC RFQ Form 2*?
- ☐ Did you attach a currently valid DCAMM *Certificate of Eligibility* as required in *Section 4(b)* of *Part Two, GC RFQ Form 2*?
- ☐ Did you attach a completed and signed *Update Statement* as required in *Section 4(c)* of *Part Two, GC RFQ Form 2*?
- ☐ Did you include the original and all required copies of your entire SOQ application package?
- ☐ Did you address the SOQ envelop correctly (i.e. to reference the Project and other required information set forth herein)?
- ☐ Did you review all of the Execution Requirements before signing the SOQ application form?
- ☐ Is the person who signed the SOQ application form authorized to do so and did his or her correct and current contact information?