

**CITY OF ROCHESTER, NH**  
**31 Wakefield St. Rochester, NH 03867**  
**INVITATION TO BID**

City of Rochester, NH is soliciting a competitive RFQ;

1. **RFQ: RFQ 23-31 Pre Qualifications for Secondary Clarifier Mechanism Replacements**
2. **RFQ Submission Options-Hardcopy, or Electronically:**
  - a) Submit Hardcopy via USPS, FEDEX, or UPS: City of Rochester, NH, Purchasing Agent 31 Wakefield St. Rochester, NH 03867. Reference **RFQ 23-31** on package. In person drop offs are to go to the Finance Office at City Hall, 31 Wakefield Street, Rochester, NH 03867
  - b) Submit Electronically via Email: [RFQ23-31@rochesternhnet.onmicrosoft.com](mailto:RFQ23-31@rochesternhnet.onmicrosoft.com)  
Include in Email subject line: **RFQ 23-31**. An automated email confirmation will be generated to bidder once bid has been received. It is bidder's responsibility to ensure proper email submission of bid, and to monitor for the confirmation email.
3. **RFQ Receipt Date & Time:** No later than **March 23, 2023 at 5:00pm.**
4. **RFQ Opening Date & Time:** **March 24, 2023 at 2:30pm.** Opening will be conducted in person in Council Chambers, 31 Wakefield Street, Rochester, NH 03867.
5. **RFQ Specifications, Questions & Addendums (Q&A):** Can be obtained by visiting <https://rochesternh.gov/bids> see **OPEN BIDS** section. Or contact City of Rochester, NH Purchasing Agent 31 Wakefield St. Rochester, NH 03867, [purchasing@rochesternh.gov](mailto:purchasing@rochesternh.gov), 603-335-7602. Note Q&A updates will end one week prior to bid opening.
6. **RFQ Results:** Results can be obtained at <https://rochesternh.gov/bids>, in **CLOSED BIDS** section. Select the specific bid to see all results, or contact Purchasing Agent.

**CITY OF ROCHESTER  
NEW HAMPSHIRE  
PRE-QUALIFICATION FOR  
SECONDARY CLARIFIER MECHANISM  
REPLACEMENTS**

**RFQ 23-31**

**City of Rochester, New Hampshire  
Purchasing Department  
31 Wakefield Street  
Rochester, NH 03867**

**Pre-Qualification For  
Secondary Clarifier Mechanism Replacements**

**CONFIDENTIAL**

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(Signed and notarized, submit with application)
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## PART 1– STATEMENT OF QUALIFICATIONS

### 1.1 GENERAL INFORMATION

Date: \_\_\_\_\_

Contractor Name: \_\_\_\_\_

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

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

State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

No proposal will be accepted by a prospective bidder who is not pre-qualified. A Contractor shall not be considered pre-qualified until a complete Pre-Qualification Statement has been filed with the City and the City has identified the Contractor as pre-qualified.

#### DUTY TO UPDATE AND SUPPLEMENT

Should any changes occur which substantially alters the data contained herein, the above named Contractor shall immediately submit to the City a revised Pre-Qualification Statement detailing the changes and the Contractor's current qualifications.

#### RESERVATION OF RIGHTS

The City of Rochester reserves the right not to proceed with bidding the projects. If the City bids the projects, the City reserves the following additional rights:

- (1) to reject any and all bids;
- (2) to reject any bid where, in the opinion of the City, Contractor's circumstances have materially changed and such changes affect the qualifications or responsibility of the Bidder;
- (3) to require additional information or Contractor qualifications in any bid documents;
- (4) to waive technical or legal deficiencies; and
- (5) to accept any bid that it may deem to be in the best interest of the City.
- (6) The City reserves the right to waive minor irregularities in the information contained in the pre-qualification application submitted, to make all final determinations.
- (7) The City reserves the right to determine if prequalification will apply for future public works projects within one year of initial prequalification.
- (8) The City reserves the right to publicly bid any or all of the projects described herein despite the results of this prequalification.

#### RFQ SUBMISSION OPTIONS-HARDCOPY, OR ELECTRONICALLY:

- (1) Submit Hardcopy via USPS, FEDEX, or UPS: City of Rochester, NH, Purchasing Agent 31 Wakefield St. Rochester, NH 03867. Reference **RFQ 23-31** on package. In person drop offs are to go to the Finance Office at City Hall, 31 Wakefield Street, Rochester, NH 03867
- (2) Submit Electronically via Email: [RFQ21-36@rochesternhnet.onmicrosoft.com](mailto:RFQ21-36@rochesternhnet.onmicrosoft.com) Include in Email subject line: **RFQ 23-31**. An automated email confirmation will be generated to bidder once bid has been received. It is bidder's responsibility to ensure proper email submission of bid, and to monitor for the confirmation email.

#### RFQ RECEIPT DATE & TIME:

No later than **March 23, 2023 at 5:00pm.**

**RFQ OPENING DATE & TIME:**

**March 24, 2023 at 2:30 pm.** Opening will be conducted virtually via City of Rochester's Government Channel Video on Demand-Live Stream broadcast <https://rochesternh.viebit.com/?folder=ALL>. Select Live Stream top center. Local broadcast will also occur on Atlantic Broadband cable government channel #26.

**RFQ SPECIFICATIONS, QUESTIONS & ADDENDUMS (Q&A):**

Can be obtained by visiting <https://rochesternh.net/bids> see **OPEN BIDS** section. Or contact City of Rochester, NH Purchasing Agent 31 Wakefield St. Rochester, NH 03867, [purchasing@rochesternh.net](mailto:purchasing@rochesternh.net), 603-335-7602. Note Q&A updates will end one week prior to bid opening.

**RFQ RESULTS:**

Results can be obtained at <https://rochesternh.net/bids>, in **CLOSED BIDS** section. Select the specific bid to see all results, or contact Purchasing Agent.

**GENERAL INFOFORMATION**

The Prequalification Statement must be signed with ink by the individual, by one or more members of the partnership, by one or more members or officers of each firm representing a joint venture, by one or more officers of a corporation, or by an agent of the firm legally qualified and certified by the Owner. The form must be notarized. If the submission is made by an individual, his name and post office address must be shown; by a corporation, the name of the corporation and its business address must be shown, together with the name of the state in which it is incorporated, and the names, titles, and business address of the President, Secretary and Treasurer.

Qualification Packages will be considered irregular and may be rejected if on a form other than furnished by the City, or otherwise specified, or if the form is altered or any part thereof is detached.

All materials submitted in response to this request for qualifications will become the property of the City of Rochester. All expenses incurred by responding to this request for qualifications shall be the responsibility of the firm.

Any falsification of submissions will result in automatic rejection of the firm's qualifications, resulting in no invitation to bid on the project.

## 1.2 PROJECT DESCRIPTION

This prequalification statement will consider contractors prequalified for the following wastewater treatment facility mechanical upgrade projects.

### 1.2.1 Secondary Clarifier Upgrades

The secondary clarifier upgrades project includes demolition of the existing mechanical clarifier equipment including drives, center column, sludge collection, weirs, baffles and access stairs and replacing demolished elements with new equipment and materials. The work shall be performed on three existing secondary clarifiers, each 62 feet in diameter.

The project is expected to bid in May 2023. Construction to start June 1, 2024 and be completed by September 30, 2024.

### 1.3 Scoring of Prequalification Statement

Contractors desiring to be considered for pre-qualification shall demonstrate the following minimum qualifications in the submittal.

A Pre-Qualification Selection Committee of individuals acting on behalf of the Owner will review prepared statements submitted by the Contractor and references. The following parts / categories as an integral part of the Qualification Package evaluation process to include, but are not limited to:

- PART 2: General Threshold Requirements
- PART 3: Business Organization and Operations
- PART 4: Work experience and References

Responses provided for questions within the parts described above will be scored per the attached sample score sheet (Part 7. Each of Categories 1 through 3 will be scored as follows:

- PART 2: General Threshold Requirements - *Yes or No*
- PART 3: Business Organization and Operations (*126 Total Points Available, 80% required to be considered for qualification*)
  - 3.1 Organization History – *36 points available*
  - 3.2 Dispute and Legal – *47 points available*
  - 3.3 Bonding, Insurance, and Safety – *33 points available*
  - 3.4 Financial Information – *10 points available*
- PART 4: Work experience and References (*140 total points available, 80% required to be considered for qualification*)
  - 4.1 Personnel, Suppliers, and Related experience – *40 points available*
  - Sample Projects (Project Data Sheets) – *40 points available (10 pts. Per project provided)*
  - 4.2 References – *60 points available*
- Contractors will only be considered for qualification by the committee if the 80% point threshold is met for both Category 3 and Category 4 individually.

The City reserves the right to not qualify a Contractor regardless of their score, if deemed in the best interest of the City.

### 1.4 Schedule

The intent will be to provide Contractors a “Notice of Prequalification” approximately three (3) weeks after Prequalification Statements have been received.

**2.1 THRESHOLD REQUIREMENTS OF QUALIFICATIONS**

2.1.1. Contractor is registered with the Secretary of the State to do business in New Hampshire.

Yes  No

2.1.2. Contractor has a liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$2,000,000 aggregate (or can provide for project). The limits may be met with an excess policy.

Yes  No

2.1.3. Contractor has current workers' compensation insurance policy as required by NH Administrative Rule RSA-281.A2.VIII.a or is legally self-insured pursuant to RSA-281.A2.IX (paragraph 1).

Yes  No  Contractor is exempt from this requirement, because it has no employees

2.1.4. Contractor has attached a financial audit statement balance sheet covering the three (3) previous years.

Yes  No

2.1.5. Have you attached a notarized statement from an admitted surety insurer authorized to issue bonds in the State of New Hampshire, which states: (a) that your current bonding capacity is at least \$5,000,000. However, some projects considered under this prequalification may require bonding capacities of up to \$11,000,000; (b) your current available bonding capacity?

Yes  No

**NOTE: Notarized statement must be from the surety company, not an agent or broker.**

2.1.6. Within the last five years, has a surety firm completed a contract on your behalf, or paid for completion because your firm was in default and terminated by the project owner?

Yes  No

2.1.7. At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract for a construction project, or the bidding or performance of a construction contract?

Yes  No

**3.1 ORGANIZATION HISTORY**

3.1.1 Contractor Name \_\_\_\_\_

3.1.2 Principal/Permanent Address \_\_\_\_\_

\_\_\_\_\_

Local Address (if applicable) \_\_\_\_\_

\_\_\_\_\_

3.1.3 How many years has Contractor been engaged in the contracting business under your present firm name? \_\_\_\_\_

3.1.4 Not Used.

3.1.5 Please identify your agent for service of process:

\_\_\_\_\_

3.1.6 How many years of experience in the following areas of construction:

Sewer

(a) As a General Contractor: \_\_\_\_\_

(b) As a Sub-Contractor: \_\_\_\_\_

Water

(a) As a General Contractor: \_\_\_\_\_

(b) As a Sub-Contractor: \_\_\_\_\_

Roadway Reconstruction

(a) As a General Contractor: \_\_\_\_\_

(b) As a Sub-Contractor: \_\_\_\_\_

Underground Utilities (Elect., Tel., Cable)

(a) As a General Contractor: \_\_\_\_\_

(b) As a Sub-Contractor: \_\_\_\_\_

**3.1.7 a. If a corporation, answer this:**

When incorporated \_\_\_\_\_

In what State? \_\_\_\_\_

President's name: \_\_\_\_\_

Vice President's name: \_\_\_\_\_

Secretary's or Clerk's name: \_\_\_\_\_

Treasurer's name: \_\_\_\_\_



3.1.7 b. **If a partnership, answer this:**

Date of organization: \_\_\_\_\_

Is partnership general or limited? \_\_\_\_\_

Name and address of Partners: \_\_\_\_\_

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

3.1.7 c. **If a Limited Liability Company, answer this:**

Date of Organization? \_\_\_\_\_

Where Organized? \_\_\_\_\_

Is the LLC member managed or manager managed? \_\_\_\_\_

If member managed, identify the member? If manager managed, identify the manager:

\_\_\_\_\_

Name and title of Officers if any:

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

3.1.8 Has there been any change in ownership of the firm at any time during the last three years?

**NOTE: A corporation whose shares are publicly traded is not required to answer this question.**

Yes       No

If yes please explain (next page):

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

3.1.9 Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?

**NOTE: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.**

Yes       No

If yes please explain:

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

3.1.10 Are any corporate officers, partners or owners connected to any other construction firms.

**NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.**

Yes       No

If yes please explain:

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3.1.11 Has your firm changed names in the past five years?

Yes       No

If yes please explain:

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3.1.12 Has any owner, partner or (for corporations) officer of your firm operated a construction firm under any other name in the last five years?

Yes       No

If yes please explain:

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3.1.13 Is your firm currently the debtor in a bankruptcy case?

Yes       No

If “yes,” please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

3.1.14 Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 13, above)

Yes       No

If “yes,” please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court’s discharge order, or of any other document that ended the case, if no discharge order was issued.

### 3.2 DISPUTES AND LEGAL

3.2.1 At any time in the last five years has your firm been assessed and/or paid liquidated damages after completion of a project under a construction contract with either a public or private owner?

Yes  No

If yes please explain. Identify all such projects by owner, owner’s address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

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3.2.2 In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

Yes  No

If yes please explain. Identify the year of the event, the owner, the project and the basis for the finding by the public agency:

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**NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about “pass-through” disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.**

3.2.3 In the past five years has any claim against your firm concerning your firm’s work on a construction project been filed in court or arbitration?

Yes  No

If yes please explain. Identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution):

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3.2.4 In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes       No

If yes please explain. Identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution):

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3.2.5 Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes       No

If yes please explain. Identify who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction:

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3.2.6 Has any officer, director, member, owner, partner, or principal individual of Contractor ever been convicted of any anti-trust violation, or been debarred from performing work on any contract?

Yes       No

If so, please state name of individual and reason for such action:

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Date of reinstatement (if reinstated): \_\_\_\_\_

3.2.7 Has the EPA, NHDES or any other regulatory sewer, water, stormwater, or other Water Quality Body cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

**NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.**

Yes       No

If yes, please explain.

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3.2.8 In the past 5 years, has the Contractor ever failed to complete any work awarded to it within 14 days of the scheduled contract time, including approved time extensions?

Yes       No

If so, where and why?

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3.2.9 Has Contractor or any officer, director, member, owner or partner of Contractor ever ceased work on a project?

Yes       No

If so, where and why?

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3.2.10 With respect to work performed in the last five (5) years, has the firm, its partners, or officers been issued a Notice of Intent to terminate by the Owner?

Yes       No

If yes, to any of the above, provide statement of explanation as attachment.

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**3.3 BONDING, INSURANCE AND SAFETY**

3.3.1 Submit bonding letter in accordance with Part 2.1 (Question #2.1.5). It shall be an unqualified letter from the bonding company to the effect that they will provide the required performance and payment bonds, each in the amount of 100 percent of the bid price), should the Contractor be awarded the contract. Include limitations in bonding capacity, if any. See question 2.1.5 for minimum bonding requirements. Also provide name, contact, telephone number, and address of the following:

a. BANK

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b. BONDING COMPANY\*

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c. AGENT

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\* Bonding company must be registered and licensed to do business in the State of New Hampshire

3.3.2 If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

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3.3.3 List all other sureties (name and full address) that have written bonds for your firm during the last five years:

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3.3.4 Has Contractor or any officer, director, member, owner or partner, or principal individual of Contractor ever had a performance bond collected upon?

Yes       No

If so, please explain:

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3.3.5 During the last five years, has your firm ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

Yes       No

If yes, provide details indicating the date when your firm was denied coverage and the name of the company or companies which denied coverage; and the period during which you had no surety bond in place.

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3.3.6 In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes       No

If yes please explain. Name the insurance carrier, the form of insurance and the year of the refusal:

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3.3.7 Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

Yes       No

If yes please explain the reason for the absence of workers' compensation insurance. If No, please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)

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3.3.8 Has any State (NH, ME, MA, VT) or Federal OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

**NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.**

Yes       No

If yes describe the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

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3.3.9 How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

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3.3.10 During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements?

Yes       No

If yes, describe the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

If yes please explain.

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**3.4 FINANCIAL RECORDS AND INFORMATION**

3.4.1 Contractor has attached a financial audit statement balance sheet covering the three (3) previous years

3.4.2 Identify all persons or entities that hold 25% or more of the Contractor's total notes receivable and indicate that person's or entity's relationship, if any, with the Contractor other than as debtor and the percentage for each.

NAME	RELATIONSHIP	PERCENTAGE

3.4.3 Identify all persons or entities that hold 25% or more of the Contractor's total notes payable, and indicate that person or entity's relationship, if any, with Contractor other than as a creditor and the percentage for each.

NAME	RELATIONSHIP	PERCENTAGE

PREPARED BY:

\_\_\_\_\_ Name of Individual Accountant or Officer

\_\_\_\_\_ Complete Address of Accounting Firm (w/ zip code)

\_\_\_\_\_ (Area Code) Telephone Number

**4.1 PERSONNEL, SUPPLIERS AND RELATED EXPERIENCE**

4.1.1 Provide resumes of principal individuals in your organization, including the proposed project manager and field superintendent proposed for completion of work in the City of Rochester. Provide list of key personnel below. If General Contractor intends to bid on project if deemed prequalified, identify the project manager(s) and field superintendent(s) that will be assigned to the project. Candidates submitted and approved as project manager(s) and field superintendent(s) shall staff these projects if awarded by the City of Rochester.

The following minimum qualifications are desired:

- Contractor, Project Manager and Field Superintendent shall have experience constructing similar type and magnitude infrastructure improvements with a minimum of two (2) other projects with construction costs in excess of \$2 million within the past 5 years.
- Project Manager and Field Superintendent shall have a minimum of 10 years construction experience with at least 7 years of infrastructure construction experience similar to projects described in Section 1.2.

Attachments to this document may be provided for a complete listing. Each resume should include the following:

<b>Individual's Name</b>	<b>Present Position</b>	<b>Years of Construction Experience</b>	<b>Magnitude and Type of Work</b>	<b>In What Capacity</b>

4.1.2 Give names, contact, telephone numbers, and complete addresses of major material suppliers and/or subcontractors with whom Contractor has done business in past five (5) years:

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4.1.3 Give names and complete addresses of each material supplier and/or subcontractor of the Contractor who has given a notice of lien, filed a mechanics lien, applied for a payment against a payment bond, or brought suit for payment on any contract in the last five (5) years:

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4.1.4 What equipment does Contractor own that is available for proposed work? (Use additional pages if necessary)

Quantity	Item Description, Size, & Capacity	Condition	Age	Cost	Depreciation	Book Value

4.1.5 Current Workload: List the construction projects your organization has underway on this date (use additional paper if necessary):

**Project Name:** \_\_\_\_\_ **Type of Work:** \_\_\_\_\_  
Contract Amount: \_\_\_\_\_ % Complete: \_\_\_\_\_ % Sublet \_\_\_\_\_  
Expected Completion Date: \_\_\_\_\_ Engineer name and phone: \_\_\_\_\_  
Owners Name, Address, and Phone # \_\_\_\_\_  
\_\_\_\_\_  
Contractor Project Manager: \_\_\_\_\_  
Contractor Superintendent: \_\_\_\_\_

**Project Name:** \_\_\_\_\_ **Type of Work:** \_\_\_\_\_  
Contract Amount: \_\_\_\_\_ % Complete: \_\_\_\_\_ % Sublet \_\_\_\_\_  
Expected Completion Date: \_\_\_\_\_ Engineer name and phone: \_\_\_\_\_  
Owners Name, Address, and Phone # \_\_\_\_\_  
\_\_\_\_\_  
Contractor Project Manager: \_\_\_\_\_  
Contractor Superintendent: \_\_\_\_\_

**Project Name:** \_\_\_\_\_ **Type of Work:** \_\_\_\_\_  
Contract Amount: \_\_\_\_\_ % Complete: \_\_\_\_\_ % Sublet \_\_\_\_\_  
Expected Completion Date: \_\_\_\_\_ Engineer name and phone: \_\_\_\_\_  
Owners Name, Address, and Phone # \_\_\_\_\_  
\_\_\_\_\_  
Contractor Project Manager: \_\_\_\_\_  
Contractor Superintendent: \_\_\_\_\_

**Project Name:** \_\_\_\_\_ **Type of Work:** \_\_\_\_\_  
Contract Amount: \_\_\_\_\_ % Complete: \_\_\_\_\_ % Sublet \_\_\_\_\_  
Expected Completion Date: \_\_\_\_\_ Engineer name and phone: \_\_\_\_\_  
Owners Name, Address, and Phone # \_\_\_\_\_  
\_\_\_\_\_  
Contractor Project Manager: \_\_\_\_\_  
Contractor Superintendent: \_\_\_\_\_

4.1.6. List all municipal, State or Federal contracts your company has worked on in the past 3 years greater than \$500,000 (attach additional pages as necessary):

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4.1.7. On the included Project Data Sheets, provide details on four representative projects either currently ongoing or previously completed that key personnel identified in section 4.1.1 have worked on.

**Project Data Sheet #1**

Project Name: \_\_\_\_\_

Project Location: \_\_\_\_\_

Contract Start Date: \_\_\_\_\_ % Complete: \_\_\_\_\_

Original Final Completion Date: \_\_\_\_\_ Projected Completion Date: \_\_\_\_\_

Contract Time Extended via Change Order (y/n): \_\_\_\_\_ If yes, provide explanation below.

Original Contract Value: \_\_\_\_\_

Value of Contract at Completion: \_\_\_\_\_ Unit Price (y/n) \_\_\_\_\_

Contractor Project Manager: \_\_\_\_\_

Contractor Superintendent: \_\_\_\_\_

Funding sources: \_\_\_\_\_

Owner Name: \_\_\_\_\_ Telephone: \_\_\_\_\_

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

Business Name and Address of entity which managed this project:  
\_\_\_\_\_

Engineer: \_\_\_\_\_ Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Please note special project conditions that are similar in nature (Use additional sheets if necessary):

Which of the following categories were included as part of the work?

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Sewer Collection                               | <input type="checkbox"/> Water Distribution | <input type="checkbox"/> Roadway Reconstruction |
| <input type="checkbox"/> Pedestrian Accommodations                      | <input type="checkbox"/> Water Storage      | <input type="checkbox"/> Complete Streets       |
| <input type="checkbox"/> Underground Utility (Elec, communication, etc) | <input type="checkbox"/> Site               | <input type="checkbox"/> _____                  |

PROJECT NARRATIVE: \_\_\_\_\_

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**Project Data Sheet #2**

Project Name: \_\_\_\_\_

Project Location: \_\_\_\_\_

Contract Start Date: \_\_\_\_\_ % Complete: \_\_\_\_\_

Original Final Completion Date: \_\_\_\_\_ Projected Completion Date: \_\_\_\_\_

Contract Time Extended via Change Order (y/n): \_\_\_\_\_ If yes, provide explanation below.

Original Contract Value: \_\_\_\_\_

Value of Contract at Completion: \_\_\_\_\_ Unit Price (y/n) \_\_\_\_\_

Contractor Project Manager: \_\_\_\_\_

Contractor Superintendent: \_\_\_\_\_

Funding sources: \_\_\_\_\_

Owner Name: \_\_\_\_\_ Telephone: \_\_\_\_\_

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

Business Name and Address of entity which managed this project:  
\_\_\_\_\_

Engineer: \_\_\_\_\_ Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Please note special project conditions that are similar in nature (Use additional sheets if necessary):

Which of the following categories were included as part of the work?

- Sewer Collection
- Water Distribution
- Roadway Reconstruction
- Pedestrian Accommodations
- Water Storage
- Complete Streets
- Underground Utility (Elec, communication, etc)
- Site
- \_\_\_\_\_

PROJECT NARRATIVE: \_\_\_\_\_

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**Project Data Sheet #3**

Project Name: \_\_\_\_\_

Project Location: \_\_\_\_\_

Contract Start Date: \_\_\_\_\_ % Complete: \_\_\_\_\_

Original Final Completion Date: \_\_\_\_\_ Projected Completion Date: \_\_\_\_\_

Contract Time Extended via Change Order (y/n): \_\_\_\_\_ If yes, provide explanation below.

Original Contract Value: \_\_\_\_\_

Value of Contract at Completion: \_\_\_\_\_ Unit Price (y/n) \_\_\_\_\_

Contractor Project Manager: \_\_\_\_\_

Contractor Superintendent: \_\_\_\_\_

Funding sources: \_\_\_\_\_

Owner Name: \_\_\_\_\_ Telephone: \_\_\_\_\_

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

Business Name and Address of entity which managed this project:

\_\_\_\_\_

Engineer: \_\_\_\_\_ Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Please note special project conditions that are similar in nature (Use additional sheets if necessary):

Which of the following categories were included as part of the work?

- Sewer Collection                       Water Distribution                       Roadway Reconstruction
- Pedestrian Accommodations                       Water Storage                       Complete Streets
- Underground Utility (Elec, communication, etc)                       Site                       \_\_\_\_\_

PROJECT NARRATIVE: \_\_\_\_\_

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### Project Data Sheet #4

Project Name: \_\_\_\_\_

Project Location: \_\_\_\_\_

Contract Start Date: \_\_\_\_\_ % Complete: \_\_\_\_\_

Original Final Completion Date: \_\_\_\_\_ Projected Completion Date: \_\_\_\_\_

Contract Time Extended via Change Order (y/n): \_\_\_\_\_ If yes, provide explanation below.

Original Contract Value: \_\_\_\_\_

Value of Contract at Completion: \_\_\_\_\_ Unit Price (y/n) \_\_\_\_\_

Contractor Project Manager: \_\_\_\_\_

Contractor Superintendent: \_\_\_\_\_

Funding sources: \_\_\_\_\_

Owner Name: \_\_\_\_\_ Telephone: \_\_\_\_\_

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

Business Name and Address of entity which managed this project:  
\_\_\_\_\_

Engineer: \_\_\_\_\_ Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Please note special project conditions that are similar in nature (Use additional sheets if necessary):

Which of the following categories were included as part of the work?

- Sewer Collection
- Water Distribution
- Roadway Reconstruction
- Pedestrian Accommodations
- Water Storage
- Complete Streets
- Underground Utility (Elec, communication, etc)
- Site
- \_\_\_\_\_

PROJECT NARRATIVE: \_\_\_\_\_

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**4.2 REFERENCES**

4.2.1 Name, contact person, telephone number, and address of three (3) **municipal officials** (not employed by Contractor) involved in current contracts or contracts completed in the last five (5) years who can attest to the character, integrity, reputation, judgment, experience, and efficiency of the Contractor.

- a. \_\_\_\_\_  
\_\_\_\_\_
- b. \_\_\_\_\_  
\_\_\_\_\_
- c. \_\_\_\_\_  
\_\_\_\_\_

4.2.2 Name, contact person, telephone number, and address of three (3) **engineers** (not employed by Contractor) involved in current contracts or contracts completed in the last five (5) years who can attest to the character, integrity, reputation, judgment, experience, and efficiency of the Contractor.

- d. \_\_\_\_\_  
\_\_\_\_\_
- e. \_\_\_\_\_  
\_\_\_\_\_
- f. \_\_\_\_\_  
\_\_\_\_\_

4.2.3 Names and addresses of all governmental entities who have determined Contractor qualified for the work classification requested herein and all who have determined Contractor not qualified in the last five (5) years.

a. Qualified	b. Not Qualified

Nothing construed herein shall limit the City, or its authorized representatives, from contacting any and all former owners/clients, material suppliers, Engineers and other third parties with knowledge of the Contractor's history of performance, practices and reputation. Additionally, the City will also consider their past experience with the Contractor as a basis for prequalification and will include any recent history that will help determine the Contractor's Qualifications for his project. The existence of Release and Hold Harmless Statements

directed to individual references as described above shall not be presumed to void or nullify the hold harmless language set forth in this document and included in Part 1.9.

**It is understood and agreed that all responses from references and others obtained by the City of Rochester, or its authorized representatives, shall be deemed confidential.**

If a Contractor receives negative references and the City has determined the Contractor not qualified based on such references, the City or its authorized representatives, upon written request by the Contractor, will provide a summary of the nature of those negative references without identifying the party providing such reference.

**5.1 CONTRACTOR’S PREQUALIFICATION STATEMENT**

The undersigned, on behalf of the Contractor, certifies that the Contractor has not either directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with any contract on any municipal, state, or federal project.

I swear that all the statements herein contained, including the declaration of ownership and organization, the financial information, current workload, and the record of experience have been examined by me, and to the best of my knowledge and belief are true and correct.

**On behalf of Contractor, I hereby authorize the City of Rochester, or its authorized representatives, to make such investigation, inquiry, checks and tests as the City, in its sole discretion, deems necessary to attempt to ascertain Contractor's qualifications.**

**On behalf of Contractor, I hereby waive any and all claims, and release and hold harmless any person(s) who provides the City, or its authorized representatives, with information or opinions held in good faith.**

Signed Title \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
Notary Public or Justice of the Peace

**NOTE: Contractor’s Prequalification statement must be accompanied by:**  
- Letter from bonding company

**PART 6 – PROJECT OVERVIEW MAP**



**PART 7 – SAMPLE SCORING SHEET**

2021 Infrastructure Improvement Projects  
Rochester, New Hampshire

Summary of Pre-Qualification Statements Submitted

Pre- Qualification Statements received April 7, 2021 by the City of Rochester Purchasing Department and publically read April 8, 2021

					Contractor	
Item No.	Description	Scoring	MAX	Score	Comments	
<b>PART 1 - GENERAL INFORMATION</b>						
	No Scoring					
<b>PART 2 - GENERAL THRESHOLD REQUIREMENTS</b>						
<b>2.1 Threshold Requirements</b>						
2.1.1	Reg. W/Secy State	Y/N	Y			
2.1.2	Liability Ins. Policy	Y/N	Y			
2.1.3	WC Ins. Policy	Y/N	Y			
2.1.4	Att. Financial Info	Y/N	Y			
2.1.5	Not. Surety Bond	Y/N	Y			
2.1.6	Surety Firm Review	Y/N	N			
2.1.7	5 yr Firm Crimes	Y/N	N			
<b>Threshold Met (YES or NO)</b>				<b>YES</b>		
<b>PART 3 - BUSINESS ORGANIZATION AND OPERATIONS</b>						
<b>3.1 Organizational History</b>						
3.1.3	Years in business	3 to 5 years = 1 pt. 6 to 8 years = 3 pts 9 to 10 years = 4 pts Over 10 years = 5 pts	1 to 5	5		
3.1.6	Years of experience in the following areas	Sewer (2 pts/5 yrs) Water (2 pts/5 yrs) Road (2 pts/5 yrs) U. Utility (2 pts/5 yrs)	1 to 5 1 to 5 1 to 5 1 to 5	5 5 5 5		
3.1.8	Change in ownership		0 or 3	3		
3.1.9	Subsidiary		FYI			
3.1.10	Other firms now		0 or 2	2		
3.1.11	Changed names		Y/N			
3.1.12	Other firms 5 yrs		Y/N			
3.1.13	Bankruptcy now		0 or 3	3		
3.1.14	Bankruptcy 5 yrs		0 or 3	3		
<b>Subtotal</b>				<b>36</b>		
<b>3.2 Dispute and Legal</b>						
3.2.1	Paid liquid damages	No = 2 pt. 1/ LD = 1 pts Any Other Answer = 0 pts	0 to 2	2		
3.2.2	Denied award		0 or 5	5		
3.2.3	Claim against your firm in court/arbitration	No = 5 pt. 1 Instance = 2 pts Any Other Answer = 0 pts	0 to 5	5		
3.2.4	Claim from you firm against owners in court/arbitration	No = 5 pt. 1 Instance = 2 pts Any Other Answer = 0 pts	0 to 5	5		
3.2.5	Federal crime		-5 or 5	5		
3.2.6	Anti-trust violation		-5 or 5	5		
3.2.7	Environmental fine	No = 5 pt. 1 Instance = 3 pts 2 Instance = 2 pts Any Other Answer = 0 pts	0 to 5	5		
3.2.8	Failed to complete	No = 5 pt. 1 Instance = 3 pts 2 Instance = 2 pts Any Other Answer = 0 pts	0 to 5	5		
3.2.9	Stopped work	No = 5 pt. 1 Instance = 2 pts Any Other Answer = 0 pts	0 to 5	5		
3.2.10	Notice of Intent to Terminate by Owner	No = 5 pt. Yes = 0 pts	0 to 5	5		
<b>Subtotal</b>				<b>47</b>		



					Contractor	
Item No.	Description	Scoring	MAX	Score	Comments	
<b>3.3 Bonding, Insurance and Safety</b>						
3.3.1	Bond Available	y/n				
3.3.2	Cost of Bond	FYI	0			
3.3.3	Other sureties	y/n				
3.3.4	Performance bond collection	-5 or 5	5			
3.3.5	Denied bonding	-5 or 5	5			
3.3.6	Denied insurance No = 5 pt. Yes = -5 pts	-5 or 5	5			
3.3.7	No workers comp No = 5 pt. Yes = -5 pts	-5 or 5	5			
3.3.8	OSHA Fines No = 5 pt. Yes = -5 pts	-5 or 5	5			
3.3.9	Safety meetings Weekly = 3 pt. Bi-weekly = 2 pts Any Other Answer = 0 pts	0 to 3	3			
3.3.10	Davis-Bacon No = 5 pt. Yes = 0 pts	0 or 5	5			
<b>Subtotal</b>			<b>33</b>			
<b>3.4 Financial Information</b>						
3.4.1	Aud. books or Balance Provided = 0 Not Provided = -5	-5 or 0	0			
3.4.2	Notes receivable None = 5 Some = 4	0 to 5	5			
3.4.3	Notes payable None = 5 Some = 4	0 to 5	5			
<b>Subtotal</b>			<b>10</b>			
<b>SUB-TOTAL - PART 3</b>			<b>126</b>			
80% Threshold Met?			(YES or NO)			
<b>PART 4 - WORK EXPERIENCE AND REFERENCES</b>						
<b>4.1 Personnel, Suppliers and Related Experience</b>						
4.1.1	Employment Record	0 to 10	10			
4.1.2	Suppliers	0 to 5	5			
4.1.3	Liens to subs	0 to 5	5			
4.1.4	Equipment	0 to 5	5			
4.1.5	Current work	0 to 10	10			
4.1.6	Similar Experience	0 to 5	5			
4.1.7	Schedule Info	FYI				
<b>Subtotal</b>			<b>40</b>			
<b>4.1.7 Representative Projects</b>						
Project Data Sheet #1						
	Identified key personnel included	0 to 4	4			
	Timeliness of Completion (explanations considered)	0 to 3	3			
	Similar experience to identified projects	0 to 3	3			
<b>Project #1 Sub-Total:</b>			<b>10</b>			
Project Data Sheet #2						
	Identified key personnel included	0 to 4	4			
	Timeliness of Completion (explanations considered)	0 to 3	3			
	Similar experience to identified projects	0 to 3	3			
<b>Project #2 Sub-Total:</b>			<b>10</b>			
Project Data Sheet #3						
	Identified key personnel included	0 to 4	4			
	Timeliness of Completion (explanations considered)	0 to 3	3			
	Similar experience to identified projects	0 to 3	3			
<b>Project #3 Sub-Total:</b>			<b>10</b>			
Project Data Sheet #4						
	Identified key personnel included	0 to 4	4			
	Timeliness of Completion (explanations considered)	0 to 3	3			
	Similar experience to identified projects	0 to 3	3			
<b>Project #4 Sub-Total:</b>			<b>10</b>			
<b>TOTAL (Projects 1 through 4):</b>			<b>0 to 40</b>	<b>40</b>		

					Contractor	
Item No.	Description	Scoring	MAX	Score	Comments	
<i>4.2 References</i>						
4.2.1	Owner/Eng References - See attached reference forms	0 to 60	60			
4.2.2	Prev. Prequal Each "not" is a-3 Not on NHDOT list is-3			0		
Subtotal				60		
<b>SUB-TOTAL - PART 4</b>				<b>140</b>		
80% Threshold Met?				(YES or NO)	<input type="checkbox"/>	