

**UNIVERSITY OF MASSACHUSETTS BUILDING AUTHORITY**



**CHARLTON COLLEGE OF BUSINESS EXPANSION  
THE UNIVERSITY OF MASSACHUSETTS – DARTMOUTH  
PROJECT NO. UMBA 14-D1**

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**REQUEST FOR QUALIFICATIONS  
FOR  
TRADE CONTRACTORS**

**Construction Manager at Risk – MGL c.149A; Section 8**

**For the following Trades:**

Miscellaneous and Ornamental Iron, Waterproofing, Dampproofing and Caulking, Roofing & Flashing, Metal Windows, Tile, Acoustic Tile, Painting, Elevators, Plumbing, Fire Protection, Heating, Ventilation & Air-Conditioning, Electrical

**Submission Deadline: March 25, 2015 at 1:00 PM EST**

**Submit Statement of Qualifications to:**

**University of Massachusetts Building Authority  
c/o Compass Project Management, Inc  
266 Main Street  
Suite 31A  
Medfield MA 02052  
Attn: Lauren Westman**

**Date Issued: March 4, 2015**



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## Part One: Request for Qualifications to Trade Contractors

### Section I: General Information

#### A. Introduction

This Request for Qualifications (“RFQ”) is the first phase of a two-phase procurement process as set forth in MGL Chapter 149A. The University of Massachusetts Building Authority (UMBA) through its Trade Contractor Prequalification Committee is prequalifying firms interested in providing public Trade Contractor services on this Public Construction Manager at Risk (“CM” or “CM at Risk”) project through this RFQ process. UMBA will evaluate submitted Statements of Qualifications (“SOQ”) based upon the identified evaluation criteria and points set forth in Section VI below and only those firms obtaining the required minimum points will be deemed prequalified. Only those respondents deemed prequalified will be invited to submit a bid in response to a Request for Bids (“RFB”) which will be issued in the second phase of the procurement process. The project delivery method for construction will be public CM at Risk with a Guaranteed Maximum Price (“GMP”) under M.G.L. Chapter 149A.

#### B. General Project Information

<b>Awarding Authority:</b>	University of Massachusetts Building Authority (UMBA)
<b>Project Number:</b>	UMBA14-D1
<b>Project Name:</b>	Charlton College of Business Expansion
<b>Project Location:</b>	285 Old Westport Road, Dartmouth, MA 02747
<b>Project Description:</b>	The expansion of the existing facility, with a 3 story 20,600 square foot addition, which will contain critically needed academic spaces including classrooms, meeting spaces, an auditorium, and technology enhanced areas. The Learning Pavilion is to be an architectural ‘gateway’ providing a clear accessible entry point to the inner academic campus from the adjacent parking lots. It should be noted that the project scope includes providing enhanced technology and equipment in the academic spaces.
<b>RFQ Informational Meeting</b>	Not Applicable



<b>(if applicable):</b>	
<b>Optional Site Visit (if applicable):</b>	Not Applicable
<b>RFQ Questions:</b>	Deadline March 17, 2015 1:00 PM
<b>Response to Questions (if applicable):</b>	Provided by March 20, 2015 5:00 PM
<b>Submission Deadline: (for submission of SOQs in response to this RFQ)</b>	March 25, 2015 1:00 PM
<b>Submission Address:</b>	Compass Project Management, Inc 266 Main Street Suite 31A Medfield MA 02052 Attn: Laureen Westman
<b>Estimated Total Overall Project Construction Cost:</b>	\$11,100,000
<b>Estimated Total Project Duration:</b>	12 months
<b>CM at Risk Firm:</b>	Agostini Construction 241 Narragansett Park Drive East Providence, RI 02916-1043 Telephone: 401.431.1200
<b>Project Architect:</b>	Bruner/Cott & Associates 130 Prospect Street Cambridge, MA 02139 Telephone: 617-492-8400
<b>Owner's Project Manager:</b>	COMPASS Project Management, Inc. 266 Main Street, Suite 31A Medfield, MA 02052 Telephone: 508-589-5061 Fax: 508-589-6171

### C. Trade Contractors to be Prequalified

This *RFQ* seeks firms interested in providing Trade Contractor services on the Project in the trades identified in the table below. Interested Trade Contractors in the categories identified in the table below are invited to submit a Trade Contractor Statement of Qualifications (SOQ) to the Awarding Authority. Trade



Contractors in the various trades will be prequalified either on a trade by trade basis, in phases, in groups of trades, or all at once depending on the project needs and phasing.

Trade Contractors seeking prequalification for this project **MUST** submit a commitment letter stating its ability to obtain bonding for 110% of the estimated trade contract value for the particular Trade Contract from a surety company licensed to do business in the Commonwealth or appearing on the U.S. Treasury Department Circulate 570. The selected Trade Contractors on this CM at Risk project will then be required to provide payment and performance bonds for the full value of their subcontracts and Trade Contractors must include the cost of these bonds in their bids.

<b>“X” Below All Trades Subject To Prequalification On The Project</b>	<b>Section #</b>	<b>Trade Category</b>	<b>Estimated Construction Cost for Subtrade</b>
<input type="checkbox"/>	04101	Masonry	Not Applicable
<input type="checkbox"/>	04401	Stone	Not Applicable
<input checked="" type="checkbox"/>	05101	Miscellaneous and Ornamental Iron	\$138,140
<input checked="" type="checkbox"/>	07101	Waterproofing, Dampproofing and Caulking	\$121,860
<input checked="" type="checkbox"/>	07201	Roofing and Flashing	\$163,570
<input checked="" type="checkbox"/>	08501	Metal Windows	\$1,248,275
<input type="checkbox"/>	08801	Glass and Glazing	Not Applicable
<input type="checkbox"/>	09201	Lathing and Plastering	Not Applicable
<input checked="" type="checkbox"/>	09301	Tile	\$193,900
<input type="checkbox"/>	09401	Terrazzo	Not Applicable
<input checked="" type="checkbox"/>	09501	Acoustical Tile	\$99,974
<input type="checkbox"/>	09601	Marble	Not Applicable
<input type="checkbox"/>	09701	Resilient Floors	Not Applicable
<input checked="" type="checkbox"/>	09901	Painting	\$98,482
<input checked="" type="checkbox"/>	14201	Elevators	\$120,000
<input checked="" type="checkbox"/>	15301	Fire Protection	\$133,483
<input checked="" type="checkbox"/>	15401	Plumbing	\$194,827
<input checked="" type="checkbox"/>	15501	Heating, Ventilation & Air-Conditioning	\$1,105,890
<input checked="" type="checkbox"/>	16101	Electrical	\$888,134



<input type="checkbox"/>	[Section #]	[Insert Any Other Subtrades]	
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**Section II: Detailed Project Description**

Agostini Construction has been selected as the Construction Manager at Risk for the UMass Dartmouth – Charlton College of Business Expansion. The work will include the following scope:

The existing Charlton College of Business facility was completed in fall of 2004. The 19,400 square foot building was the first structure to be added to the UMass Dartmouth campus since Rudolph designed the campus architecture in the 1970s. Designed by Charles Rose Architects, the existing facility primarily houses faculty, college administration offices and supporting infrastructure. The expansion of the existing facility, with an envisioned 20,600 square foot ‘Learning Pavilion’, will contain critically needed academic spaces including classrooms, meeting spaces, an auditorium, and technology enhanced areas. The Learning Pavilion is to be an architectural ‘gateway’ providing a clear accessible entry point to the inner academic campus from the adjacent parking lots. This inspiring environment will not only help the Charlton College of Business maintain its internationally recognized accreditation but position the school to effectively compete with the top schools in the nation. It should be noted that the project scope includes providing technology enhanced teaching spaces which will be equipped with interactive technology to facilitate instruction.

**Architectural:**

The Architectural Design for this project will incorporate and be consistent with the University’s Design Standards and Guidelines. The proposed facility materials include a rain screen comprised of cementitious ultra lightweight concrete panels, curtain wall, and metal panels. It will provide for a space that enhances a sense of place through its thoughtful placement in the landscape and the integration of public art in the facility.

**Sustainable Design:**

UMass Dartmouth is fully committed to becoming a more sustainable campus. The University will be applying for LEED® Certification for this building with a goal of Silver Certification.

**Universal Landscape and Architectural Design:**

The new facility presents an opportunity to integrate architecture, site and landscape into a single, universally accessible design. The design will, in particular avoid reliance on any of the “special” accommodations (furnishings, ramps, and signage) encouraged by Code and will wherever possible exceed Code by providing common solutions that benefit everyone.



University of Massachusetts Building Authority  
UMass Dartmouth – Charlton College of Business Expansion  
RFQ for Trade Contractor Services

The University is anticipating a construction budget of \$11 million for the project.

The Authority has engaged Compass Project Management, Inc. to serve as the Owner's Project Manager ("OPM") in connection with the Project.

The Authority has also hired a design team (the "Design Team") to provide design services for the Project. The Design Team is led by Bruner/Cott & Associates (the "Architect") and it includes:

MEP + FP Engineer: Garcia, Galuska, DeSousa  
Structural Engineer: Lim Consultants  
Civil Engineer and Surveyor: Nitsch Engineering  
Geotechnical Engineer: Haley & Aldrich  
Environmental Permitting: CDW Consultants  
Landscape Architect: Copley Wolff Design Group

The Project will be subject to the minimum wage rates set under the Massachusetts Prevailing Wage Laws.

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

**Pursuant to M.G.L. c. 30, §39S(a)(2) all employees to be employed on the Project must have successfully completed a course in construction safety and health approved by OSHA and of at least 10 hours in duration. All Trade Contractors on the Project will also be required to provide written certification of compliance with applicable workforce related laws, including, Executive Order 481, Federal Department of Homeland Security Requirements, and laws relating to worker classification, workers' compensation, and applicable laws related to taxes and insurance.**





### **Section III: General Instructions**

In response to this *RFQ*, interested Trade Contractors are requested to submit a *Trade Contractor RFQ Interest Form* (attached hereto) and **required** to submit a *Statement of Qualifications (SOQ) Application Package* as follows:

#### **A. Contents of *Statement of Qualifications (SOQ) Application Package***

The required *SOQ Application Package* consists of the following\*:

1. *Trade Contractor Statement of Qualifications Form (Trade RFQ Form 3* signed, dated, and acknowledging all Addenda, if any)
2. *Schedules A through M of Trade RFQ Form 3;*
3. all supporting documentation referenced and required therein; and
4. required number of copies of items 1-3 above.

\**Trade RFQ Form 2 - Trade Contractor RFQ Response Checklist* is also included for the assistance of respondent Trade Contractors.

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

**One (1)** original and **one (1)** complete copy, along with one (1) digital copy of the interested Trade 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:

**University of Massachusetts Building Authority  
c/o Compass Project Management, Inc  
266 Main Street  
Suite 31A  
Medfield MA 02052  
Attn: Laureen Westman**

*SOQ Application Packages received later than the Submission Deadline specified in Section I will be rejected and returned to the respondent Trade Contractor. Respondent Trade Contractors are cautioned to allow sufficient time for mailed materials to be received. Faxed or e-mailed qualifications will not be accepted.*

*The 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:

**SOQ for Trade Contractor Services**

**UMass Dartmouth – Charlton College of Business Expansion**

**Project No: UMBA 14-D1**

Trade for Which Submission is Made: (i.e. masonry, electrical)

Respondent Trade Contractor's Name:

Respondent Trade Contractor's Address:

Respondent Trade Contractor's Telephone Number:

Respondent Trade Contractor's Contact Person and Email Address:

*Respondents must submit a separate SOQ Application Package for each Trade for which they wish to be qualified. Applications for multiple trades within a single package will not be accepted and will not be reviewed.*

**D. Questions and Responses**

All questions regarding this RFQ should be submitted to Jeff D'Amico at Compass Project Management by 1:00 PM local time on Tuesday March 17, 2015. Questions should be submitted by fax (508-589-6171) or preferably by email to Jeff D'Amico at [jdamico@compasspminc.com](mailto:jdamico@compasspminc.com). Do not submit questions by phone. All responses will be posted on <http://umassba.net> by 5:00 PM on Friday March 20, 2015.

**E. RFQ Informational Meeting and/or Optional Site Visit (if applicable)**

Not Applicable.

**F. Review/Availability Of Contract Documents**

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

**G. 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. 149A, §8. Firms interested in providing Trade 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 Trade Contractor Selection Process for this CM at Risk Project is a two-phase process as set forth in M.G.L. c. 149A, §8. The project delivery method for construction will be under M.G.L. c. 149A. The Awarding Authority is prequalifying firms interested in providing Trade Contractor services for the Project through this *RFQ* prequalification process.

\*\*\*\*\* **IMPORTANT NOTICES** \*\*\*\*\*

Participation in the Request for Bids *RFB/Bidding Phase* of this Project will be limited to **ONLY** those Trade 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.

**Trade Contractors that fail to respond to this *RFQ* and fail to submit an *SOQ* with the required supporting documentation by the Submission Deadline set forth in *Section I*, and Trade Contractors that have not been deemed prequalified by the Awarding Authority shall be automatically disqualified from bidding on this Project.**

\*\*\*\*\* **IMPORTANT NOTICES** \*\*\*\*\*

**Section V: Administration/Schedule For Prequalification Process**

**A. “Two-Phase” Selection Process** - Selection of Trade Contractors for the Project will be conducted in a two-phase process as set forth in M.G.L. c. 149A, §8. Trade Contractor firms must first be prequalified in the *Phase One – RFQ/Prequalification Phase* in order to bid on the Project in *Phase Two – RFB/Bidding Phase*.

**1. Phase One – RFQ/Prequalification Phase**

- **Submission Of *Statement Of Qualifications (SOQ)*** - Interested Trade Contractor firms must submit a completed *SOQ*; completed *Schedules A through M*, 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 will appoint a *Prequalification Committee* to review and evaluate the SOQs (and supporting documentation) submitted by interested Trade Contractors. The *Prequalification Committee* shall consist of a representative from the Project Designer; a representative from the Construction Manager at Risk firm; a representative from the Owner’s Project Manager and a representative 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 Trade Contractor firm in accordance with the evaluation criteria set forth in *Section VI*.
- **Notice To Respondent Trade Contractors** – The names of the Trade Contractor firms responding to the *RFQ* will be posted in a Register of Responders but there will be no public opening of the SOQs submitted in response to the *RFQ*. Upon completion of the evaluation and review process described herein, the *Prequalification Committee* will provide written notice to all respondent Trade Contractors as to whether they are deemed prequalified or not. Prequalified Trade Contractor firms shall also be invited to participate in *Phase Two*, the *RFB/Bidding Phase* of the Trade Contractor Selection Process.

## 2. **Phase Two – Request for Bid (RFB)/Bidding Phase**

- Trade 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 – RFQ/Prequalification Phase will be permitted to participate in the Phase Two - RFB/Bidding Phase. Firms that are not prequalified by the Prequalification Committee and firms that do not participate in the RFQ Phase will be precluded from participating in Phase Two - the RFB Bidding/Phase.**



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

<b>Deadline for Submission of Statements of Qualifications</b>	<b>March 25, 2015 1:00 PM</b>
<b>Anticipated Completion of Prequalification Evaluations:</b>	<b>April 14, 2015</b>
<b>Anticipated RFB available to Prequalified Bidders:</b>	<b>April 29, 2015</b>
<b>Anticipated Notice To Proceed:</b>	<b>June 10, 2015</b>
<b>Construction Schedule:</b>	<b>12 months</b>

**Section VI: Evaluation Procedure/Criteria For Prequalification Selection**

**A. Sources of Information Considered**

Respondent Trade 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 DCAM'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. Respondent Trade Contractor must include the *Trade Contractor Statement of Qualifications Form, Trade RFQ Form 3 and Schedules A through M* attached hereto. Respondent Trade Contractor 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. 149A, §8, 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 Trade 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 Trade 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. 149A and herein. The *Prequalification Committee* shall only prequalify those Trade 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 Trade 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. 149A, §8(a)-(f). An interested Trade Contractor's score shall be made available to the Trade Contractor upon request but is not a public record.**

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 *Trade RFQ Form 3* attached hereto. Interested Trade 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 Trade Contractors in accordance with the statutory point scheme set forth in M.G.L. c. 149A, §8(e). Also in accordance with §8(e), the *RFQ* shall set forth the available points for each evaluation sub-category in order to provide interested Trade Contractors prior notice of the points available in each sub-category. Joint ventures must provide information about each of the joint venture partners.

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 Trade Contractor is a partnership, **YOU MUST** provide the requested information for each general and limited partner. If the respondent Trade Contractor is a corporation or limited liability company, **YOU MUST** provide the requested information for each officer, director and/or member. (3 points available)
    1. At least one (1) principal of the Trade Contractor has five (5) or more consecutive years of employment with the Trade Contractor – three (3) points.
    2. At least one (1) principal of the Trade Contractor has four (4) or more but less than five (5) consecutive years of employment with the Trade Contractor – two (2) points.



3. At least one (1) principal of the Trade Contractor has three (3) or more but less than four (4) consecutive years of employment with the Trade Contractor – one (1) point.
  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 a 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. *(5 points available)*
1. At least one (1) management person of the Trade Contractor who will work on the (“the Project”) has five (5) or more consecutive years of employment as a management person with the Trade Contractor – five (5) points.
  2. At least one management person of the Trade Contractor who will work on this Project has four (4) or more consecutive years of employment as a management person with the Trade Contractor – four (4) points.
  3. At least one (1) management person of the Trade Contractor who will work on this Project has three (3) or more consecutive years of employment as a management person with the Trade Contractor or other Trade Contractor in public building construction – two (2) points.
  4. 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 (3) three years. For purposes of this *RFQ*, “similar projects” shall mean public construction projects in Massachusetts. *(24 points available)*
1. The Trade Contractor has successfully completed its work on construction of at least five (5) similar projects within the past three (3) years with a trade contract value similar to the estimated trade contract value for the project on which the Trade Contractor is attempting to qualify – twenty-four (24) points.
  2. The Trade Contractor has successfully completed its work on construction of at least four (4) similar projects within the past





- three (3) years with a trade contract value similar to the estimated trade contract value for the project on which the Trade Contractor is attempting to qualify – eighteen (18) points.
3. The Trade Contractor has successfully completed its work on construction of at least three (3) similar projects within the past three (3) years with a trade contract value similar to the estimated trade contract value for the project on which the Trade Contractor is attempting to qualify – ten (10) points.
  4. The Trade Contractor has successfully completed its work on construction of at least two (2) similar projects within the past three (3) years with a trade contract value similar to the estimated trade contract value for the project on which the Trade Contractor is attempting to qualify – six (6) points.
  5. No similar project experience within the past three (3) years; No response or incomplete response – zero (0) points.
- d. Terminations:** Provide a list of any projects on which the firm was the Trade 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. *(5 points available)*
1. The Trade 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 Trade Contractor shall be disregarded – five (5) points.
  2. Within the past ten (10) years, the Trade Contractor has been terminated on a project or has failed to complete the work on a project, must provide documentation/explanation – maximum two (2) points.
  3. Within the past five (5) years, the Trade Contractor has been terminated on a project or failed to complete a project - zero (0) points
  4. No response or incomplete response – zero (0) points.
- e. Lawsuits:** Provide a list of all lawsuits in which the Trade Contractor is a defendant or defendant-in-counterclaim with regard to construction contracts within the last 3 years. Please include among the lawsuits requested in the previous sentence, payment bond lawsuits under M.G.L. c.149, §29 and mechanics lien lawsuits. If the lawsuit was pending at any time during the last three (3) years (which includes any lawsuit that was commenced,





dismissed, or resolved by settlement or judgment during that time), then it must be listed. Please note that the lawsuits listed shall not include actions that primarily involve personal injury, workers' compensation claims, or where the sole cause of action involves the Trade Contractor's exercise of its rights for direct payment under M.G.L. c.30, §39F. (6 points available)

1. No lawsuits are pending nor have been concluded adversely to the Trade Contractor within the past three (3) years which relate to the procurement or performance of any public construction contract or private construction contract – six (6) points.
2. No lawsuits are pending nor have been concluded adversely to the Trade Contractor within the past two (2) years which relate to the procurement or performance of any public construction contract or private construction contract – four (4) points
3. No lawsuits are pending nor have been concluded adversely to the Trade Contractor within the past one (1) year which relate to the procurement or performance of any public construction contract or private construction contract – two (2) points
4. One lawsuit is currently pending or has been concluded adversely to the Trade Contractor within the past one (1) year which relates to the procurement or performance of any public construction contract or private construction contract – one (1) point
5. Multiple lawsuits are currently pending or have been concluded adversely to the Trade Contractor within the past one (1) year which relate to the procurement or performance of any public construction contract or private construction contract – zero (0) points
6. Failure to disclose any pending or lawsuit required to be included in the Trade Contractor's response – zero (0) points
7. No response or incomplete response – zero (0) points

**f. Safety Record:** Provide the three (3) year history of the Trade Contractor's workers' compensation experience modifier. In addition, provide documentation from the Trade Contractor's insurance carrier supporting the rating history provided. (7 points available)

1. Average value of the submitted history of the Trade Contractor's workers' compensation modifier is 1.0 or less – seven (7) points.
2. Average value of the submitted history of the Trade Contractor's workers' compensation modifier is 1.0 to 1.1 – six (6) points.



3. Average value of the submitted history of the Trade Contractor's workers' compensation modifier is 1.1 to 1.2 – five (5) points.
4. Average value of the submitted history of the Trade Contractor's workers' compensation modifier is 1.2 to 1.3 – three (3) points.
5. Average value of the submitted history of the Trade Contractor's workers' compensation modifier is 1.3 to 1.35 – two (2) points.
6. Average value of the submitted history of the firm's Trade Contractor's workers' compensation record is greater than 1.35 – zero (0) points.
7. No response or incomplete response – 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 from different projects (of similar size, scope and type to this project) are required. Information provided shall at least include project name and the names of the owners and architects, with current address, current telephone, current fax numbers, current email address and current contact person for each. Note: The Prequalification Committee may also consider project reference information and project evaluations obtained from the Update Statement, DCAM's certification files, personal experience of this pre-qualification committee with the trade contractor and information provided in response to *Subsection 2(c)* herein. (22 points available)

1. Four (4) points for each favorable reference, maximum of six (6) references – maximum twenty-two (22) points
2. Negative four (-4) 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.

**Credit References:** Provide a minimum of five (5) credit references, including current telephone, fax number *and email address* of a contact person from key suppliers, vendors and banks. A credit reference letter from the bank is required by the SOQ deadline, it may be included with the



SOQ or sent directly to Compass Project Management, Inc. Attn: Lauren Westman, 266 Main Street, Suite 31A, Medfield MA 02052, Email: [LWestman@CompassPMInc.com](mailto:LWestman@CompassPMInc.com), Fax: 508-589-6171 from the bank.  
**Also reference *Section VII (D) of Part One of the RFQ for this Project for Additional Information. (4 points available)***

1. Five (5) or more favorable credit references at least one of which is a bank or a recognized lending institution – four (4) points.
2. Four (4) favorable credit references at least one of which is a bank or a recognized lending institution – three (3) points.
3. Three (3) favorable credit references at least one of which is a bank or a recognized lending institution – two (2) points.
4. Two (2) or less favorable credit references at least one of which is a bank or a recognized lending institution – one (1) point.
5. No favorable credit references – zero (0) points.
6. No response or incomplete response – zero (0) points (lack of a bank credit reference letter will be considered an incomplete response).

**b. 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 five (5) 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).  
*(4 points available)*

1. Work successfully completed on five (5) or more public building projects during the past five (5) years – four (4) points.
2. Work successfully completed on four (4) public building projects during the past five (5) years – three (3) points.
3. Work successfully completed on three (3) public building projects during the past five (5) years – two (2) points.
4. Work successfully completed on two (2) public building projects during the past five (5) years – one (1) 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. Prior Revenue:** Submit the prior annual revenue for the last three (3) fiscal years. (10 points available)

1. Average revenue is 150% or greater of estimated amount of trade category listed in this *RFQ* – ten (10) points.
2. Average revenue is between 150% and 125% of estimated amount of trade category listed in this *RFQ* – eight (8) points.
3. Average revenue is between 125% and 100% of estimated amount of trade category listed in this *RFQ* – six (6) points.
4. Average revenue is between 100% and 75% of estimated amount of trade category listed in this *RFQ* – four (4) points.
5. Average revenue is between 75% and 50 % of estimated amount of trade category listed in this *RFQ* – two (2) points.
6. Average revenue is less than 50% of estimated amount of trade category listed in this *RFQ* - zero (0) points
7. No response or incomplete response - zero (0) points

**b. Revenue under Contract:** Submit revenue under contract for the next three (3) years. (10 points available)

1. Revenue is 200% or greater of estimated amount of trade category listed in this *RFQ* – ten (10) points.
2. Revenue is between 200% and 150% of estimated amount of trade category listed in this *RFQ* – eight (8) points.
3. Revenue is between 150% and 100% of estimated amount of trade category listed in this *RFQ* – six (6) points.
4. Revenue is between 100% and 50% of estimated amount of trade category listed in this *RFQ* – four (4) points.
5. Revenue is less than 50% of estimated amount of trade category listed in this *RFQ* – two (2) points.
6. No response or incomplete response – zero (0) points.

**4. Mandatory Requirements - (no points assigned)**

- a. Bonding Capacity:** Interested Trade 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 and ten percent (110%)** of the estimated trade



contract value for the subtrade that the Trade Contractor is seeking prequalification as set forth in *Section I*.

- b. DCAM Certification:** Respondent Trade Contractors **must be certified as a filed sub-bidder in the trade for which they seek to be prequalified** by DCAM and pursuant to M.G.L. c. 149, §44D must submit a copy of the Respondent's currently valid DCAM *Sub-bidder Certificate of Eligibility* with its SOQ (as set forth in the *General Information* section above). Note, however, that a joint venture team must be certified in specific trade(s) that it is seeking to be prequalified for this Project in the name of the joint venture and must submit a *Sub-bidder Certificate of Eligibility* for the joint venture in each such Trade. If a respondent to the RFQ is a proposed joint venture that is newly formed or is not currently certified, then: (i) each party to the proposed joint venture must be individually certified by DCAM and must submit a copy of its *DCAM Sub-bidder Certificate of Eligibility* with the *Joint Venture SOQ*; and (ii) the joint venture respondent must state in the SOQ that it will seek certification from DCAM as a joint venture in the sub-bid category of the Trade for which they submit the SOQ, and state that it understands and agrees that if the joint venture respondent is selected to participate in the *RFB Phase* it will be required to submit a *DCAM Sub-bidder Certificate of Eligibility* for the joint venture in the name of the joint venture with its response to the *RFB*. For certification forms and additional information see the web site:

[http://www.mass.gov/cam/forms/fi\\_contractcert.html](http://www.mass.gov/cam/forms/fi_contractcert.html)

Or contact the Certification Office at:

DCAM Contractor Certification Office  
One Ashburton Place  
Boston, Massachusetts 02108  
Telephone Number (617) 727-4050 ext. 415

- c. Update Statement:** Interested Trade Contractors must provide a current and completed *Sub-bidder Update Statement* prepared by the interested Trade Contractor utilizing the current form of *Update Statement* available on the DCAM website. If a respondent to the RFQ is a proposed joint venture and the proposed joint venture is not yet certified, then: i) each party to the proposed joint venture must be certified by DCAM and each must submit its own signed *Sub-bidder Update Statement* as part of its SOQ; ii) at least one of the parties to the joint venture must be certified by DCAM in the Trade category of for which it is seeking prequalification. When the second phase of the selection process is undertaken through an *RFB*, a joint venture respondent that has been selected in the RFQ



process will be required to submit its *Sub-bidder Certificate of Eligibility* for the joint venture meeting the above requirements with its proposal to the *RFB*.

For the required *Sub-bidder Update Statement Form* and additional information see the web site.

[http://www.mass.gov/cam/forms/fi\\_contractcert.html](http://www.mass.gov/cam/forms/fi_contractcert.html)

Or contact the Certification Office at:

DCAM Contractor Certification Office

One Ashburton Place

Boston, Massachusetts 02108

Telephone Number (617) 727-4050 ext. 415

## **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 Trade Contractor. The Awarding Authority shall not be responsible under any circumstances for any costs incurred by any respondent Trade Contractors in responding to this *RFQ*. The Awarding Authority reserves the right to cancel this procurement at any time if it is in its best interest to do so.

### **B. Treatment of Information Submitted**

With the exception of the required *Update Statement* and financial information, the Awarding Authority shall have no obligation to treat any information submitted by an interested Trade 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 Trade 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 Trade Contractors**





Unauthorized communications or contact between Trade Contractors, their employees, agents or other related entities interested in submitting a SOQ and Awarding Authority, the Project Designer, the Owner's Project Manager, the Construction Manager at Risk firm 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 Owner's Project Manager for 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 any official RFQ Informational meeting and/or site visit held by Awarding Authority. If applicable, the official RFQ Informational meeting will be held at the date(s) and time(s) set forth in Section I.

Any issues brought to the Awarding Authority's attention, 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 Trade 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 to the website, <http://umassba.net>, all addenda which will be available to all respondent Trade Contractors that have downloaded or received the RFQ directly from the Awarding Authority. It shall be the sole responsibility of the respondent Trade 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 Trade Contractor that contacts directly or indirectly any member or employee of the Awarding Authority, or the Project Designer, or the Project Manager, or the Construction Manager at Risk firm, 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 RFQ Informational meeting as set forth in Section I.

#### **D. Credit References**

In evaluating credit references (see Part Two, Section 2(b) of the Trade RFQ Form 3), significant weight is attached to the Trade 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 mail or fax) so that it is received by Compass Project Management, Inc. by the deadline for SOQ submittal, a letter indicating how long they have been associated with the Trade Contractor and whether they consider the Trade Contractor to be favorable or unfavorable. This information must be submitted on the bank's letterhead to:





University of Massachusetts Building Authority  
UMass Dartmouth – Charlton College of Business Expansion  
RFQ for Trade Contractor Services

Compass Project Management, Inc  
Attn: Laureen Westman  
266 Main Street, Suite 31A  
Medfield MA 02052  
Email: [LWestman@CompassPMInc.com](mailto:LWestman@CompassPMInc.com)  
Fax: 508-589-6171



University of Massachusetts Building Authority  
UMass Dartmouth – Charlton College of Business Expansion  
RFQ for Trade Contractor Services

**Part Two: Trade Contractor SOQ Application Forms/Schedules**  
*(to be completed by Trade Contractor)*



University of Massachusetts Building Authority  
 UMass Dartmouth – Charlton College of Business Expansion  
 RFQ for Trade Contractor Services

**TRADE CONTRACTOR RFQ Interest Form  
 (TRADE RFQ Form 1)  
 (For Submission to Awarding Authority Immediately)**

**Instructions: If respondent Trade Contractor firm is interested in responding to the RFQ for Prequalification of Trade Contractors for this Project then Trade RFQ Form 1 MUST be submitted to the Awarding Authority BEFORE submitting the SOQ Application Trade RFQ Form 3.**

<b>Awarding Authority:</b>	University of Massachusetts Building Authority (UMBA)
<b>Project No.:</b>	UMBA 14-D1
<b>Project Name:</b>	UMass Dartmouth – Charlton College of Business Expansion

Mail, Email or Fax this *RFQ Interest Form* to<sup>1</sup>:

Compass Project Management, Inc  
 Attn: Laureen Westman  
 266 Main Street, Suite 31A  
 Medfield MA 02052  
 Email: [LWestman@CompassPMInc.com](mailto:LWestman@CompassPMInc.com)  
 Fax: 508-589-6171

By submitting this *Trade RFQ Interest Form* the below identified firm is expressing its interest in the above-referenced public building construction project and is requesting that it be added to the list of firms that will receive any addenda to the *RFQ* on the Project. The Awarding Authority ***assumes no responsibility for a firm’s failure to receive any addenda or other correspondence related to this RFQ due to the firm’s failure to submit an RFQ Interest Form as directed above or for any other reason.***

<b>Trade Contractor Category:</b>	
<b>Trade Contractor Firm Name:</b>	
<b>Trade Contractor Address:</b>	
<b>Trade Contractor Telephone:</b>	
<b>Trade Contractor Facsimile:</b>	
<b>Trade Contractor Contact Person/Title and email:</b>	
<b>Date Submitted:</b>	

By: \_\_\_\_\_ Date: \_\_\_\_\_  
 (Signature of Authorized Representative)

<sup>1</sup> Note: The *Statement of Qualifications (SOQ) Application Form (TRADE RFQ Form 3)* and accompanying *Schedules A through M*, submitted in response to this *RFQ* **MAY NOT BE FAXED.**



## TRADE CONTRACTOR RFQ RESPONSE CHECKLIST (TRADE RFQ Form 2)

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

- Did respondent Trade Contractor fax or mail the *Trade Contractor RFQ Interest Form (Trade RFQ Form 1)* to the Awarding Authority?
- Did respondent Trade Contractor complete the entire *SOQ Application (Trade RFQ Form 3)* and all required attachments and schedules?
- Did respondent Trade Contractor fully complete *Schedules A through M* and attach all required documentation?
- Did respondent Trade Contractor attach the resumes of owners and management personnel identified in respondent Trade Contractor's responses to *Schedule A* and *Schedule B*?
- Did respondent Trade Contractor attach the required documentation from respondent Trade Contractor's insurance company supporting the workers' compensation modifier history reported in *Schedule F*?
- Does respondent Trade Contractor have the current contact information for all of the references reported in *Schedule G, Schedule H, Schedule I*?
- Did respondent Trade Contractor attach a commitment letter for payment and performance bonds in the form required and for a value of 110% of the trade contract value as required in *Section 4(a) of Part Two, Trade RFQ Form 3*?
- Did respondent Trade Contractor attach a currently valid DCAM *Sub-bidder Certificate of Eligibility* as required in *Section 4(b) of Part Two, Trade RFQ Form 3*? (required as of January 1, 2006)
- Did respondent Trade Contractor attach a completed and signed *Sub-bidder Update Statement* using the most recent form available on the DCAM website as required in *Section 4(c) of Part Two, Trade RFQ Form 3*? (required as of January 1, 2006)
- Did respondent Trade Contractor include the original and all required copies of respondent Trade Contractor's entire *SOQ application package*?
- Did respondent Trade Contractor address the *SOQ envelope* correctly (i.e. to reference the Project and other required information set forth herein)?
- Did respondent Trade Contractor 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 is his or her correct and current contact information provided?



University of Massachusetts Building Authority  
 UMass Dartmouth – Charlton College of Business Expansion  
 RFQ for Trade Contractor Services

**TRADE CONTRACTOR STATEMENT OF QUALIFICATIONS FORM  
 (TRADE RFQ FORM 3)**

UNIVERSITY OF MASSACHUSETTS  
 Dartmouth - Charlton College of Business Expansion

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

<b>Trade Contractor Category:</b>	
<b>Trade Contractor Name:</b>	
<b>Trade Contractor Mailing Address:</b>	
<b>Trade Contractor Street Address:</b>	
<b>Telephone Number:</b>	
<b>Facsimile Number:</b>	
<b>Contact Person/Title and Email:</b>	
<b>Trade Contractor Acknowledges Addenda Nos.:</b>	

**Note:** If Respondent Trade Contractor is “SDO (formerly SOMWBA) Certified” as a MBE/WBE/MWBE, please indicate which below and attach letter from the Supplier Diversity Office evidencing such certification.

MBE       WBE       M/WBE



\*\*\*\*\* **IMPORTANT NOTICE** \*\*\*\*\*

**Interested TRADE CONTRACTORS MUST indicate in the table below the trade for which it is seeking prequalification in this SOQ submission and MUST submit SEPARATE individual SOQ forms for each and every other trade that it is also seeking prequalification for this Project.**

\*\*\*\*\* **IMPORTANT NOTICE** \*\*\*\*\*

Mark "X" for Trade Seeking Prequalification	Section #	Trade Category
<input type="checkbox"/>	040001	Masonry
<input type="checkbox"/>	055001	Miscellaneous & Ornamental Iron
<input type="checkbox"/>	070001	Waterproofing, Dampproofing & Caulking
<input type="checkbox"/>	075001	Roofing & Flashing
<input type="checkbox"/>	080001	Metal Windows
<input type="checkbox"/>	088001	Glass & Glazing
<input type="checkbox"/>	090001	Tile
<input type="checkbox"/>	090002	Acoustic Tile
<input type="checkbox"/>	090003	Resilient Flooring
<input type="checkbox"/>	090004	Painting
<input type="checkbox"/>	140001	Elevators
<input type="checkbox"/>	210001	Fire Protection System
<input type="checkbox"/>	220001	Plumbing
<input type="checkbox"/>	230001	Heating, Ventilation & Air-Conditioning
<input type="checkbox"/>	260001	Electrical



1. **Management Experience - (50 points available; minimum of 25 points required for prequalification approval)**
  - a. ***Business Owners:*** Interested Trade Contractors **MUST COMPLETE Schedule A** and **MUST ATTACH** to it a resume for each and every business owner of respondent Trade Contractor firm as set forth in *Section VI(C)(1)(a)* of *Part One* of the *RFQ* for this Project.
  - b. ***Management Personnel:*** Interested Trade Contractors **MUST COMPLETE Schedule B** and **MUST ATTACH** to it an organizational chart AND 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* of the *RFQ* for this Project.
  - c. ***Similar Project Experience:*** Interested Trade Contractors **MUST COMPLETE Schedule C** and list similar projects for the last three (3) years. For each project, respondent Trade Contractor must include the name, description of project, description of respondent Trade Contractor'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* of the *RFQ* for this Project. Be sure to include any Trade specific experience or criteria required.
  - d. ***Terminations:*** Interested Trade Contractors **MUST COMPLETE Schedule D** and list each and every project on which respondent Trade Contractor was terminated or failed to complete the work as set forth in *Section VI(C)(1)(d)* of *Part One* of the *RFQ* for this Project.
  - e. ***Lawsuits:*** Interested Trade Contractors **MUST COMPLETE Schedule E** and list of all lawsuits in which the Trade Contractor is a defendant or defendant-in-counterclaim with regard to construction contracts within the last three (3) years. Please include among the lawsuits requested in the previous sentence, payment bond lawsuits under M.G.L. c.149, §29 and mechanics lien lawsuits. If the lawsuit was pending at any time during the last three (3) years (which includes any lawsuit that was commenced, dismissed, or resolved by settlement or judgment during that time), then it must be listed. Please note that the lawsuits listed shall not include actions that primarily involve personal injury, workers' compensation claims, or where the sole cause of action involves the Trade Contractor's exercise of its rights for direct payment under M.G.L. c.30, §39F. Joint ventures must provide information regarding lawsuits for each joint venture partner as set forth in *Section VI(C)(1)(e)* of *Part One* of the *RFQ* for this Project.





- f. **Safety Record:** Interested Trade 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.
2. **References - (30 points available; minimum of 15 points required for prequalification approval)**
- a. **Project References:** Interested Trade Contractors **MUST COMPLETE** **Schedule G** and provide project references from Owners and Architects for all projects listed in *Schedule C* as required in *Section VI(C)(2)(a)* of *Part One* of the *RFQ* for this Project.
- b. **Credit References:** Interested Trade Contractors **MUST COMPLETE** **Schedule H** and provide a minimum of five (5) credit references as required in *Section VI(C)(2)(b)* of *Part One* of the *RFQ* for this Project.
- c. **Public Project Record:** Interested Trade Contractors **MUST COMPLETE** **Schedule I** and list all completed public building construction projects completed by respondent Trade Contractor during the past five (5) years as required in *Section VI(C)(2)(c)* of *Part One* of the *RFQ* for this Project.
3. **Capacity to Complete Project - (20 points available; minimum of 10 points are required for prequalification approval)**
- a. **Prior Revenue:** Interested Trade Contractors **MUST COMPLETE** **Schedule J** and list prior revenue for the last three (3) fiscal years.
- b. **Revenue Under Contract:** Interested Trade Contractors **MUST COMPLETE** **Schedule K** and list revenue under contract for the next three (3) fiscal years.
4. **Mandatory Requirements: (no points are assigned)**
- a. **Payment and Performance Bonds:** Interested Trade Contractors **MUST ATTACH** to the *Trade RFQ Form 3* at **Schedule L**, 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 ten percent (110%) of the estimated trade contract value of this Project.
- b. **Sub-bidder Certificate of Eligibility: (Required as of January 1, 2006)** Interested Trade Contractors **MUST ATTACH** to the *Trade RFQ Form 3* at



**Schedule M**, a currently valid *Sub-bidder Certificate of Eligibility* (issued by DCAM) for each Trade in which it submits a SOQ.

- c. **Sub-bidder Update Statement: (Required as of January 1, 2006)** Interested Trade Contractors **MUST ATTACH** to the *Trade RFQ Form 3* at **Schedule M**, a current and completed *Sub-bidder Update Statement* for each Trade in which it submits an *RFQ* utilizing the current *Update Statement Form* available on DCAM's website.

## 5. **Execution Requirements**

- a. **RFQ Response Checklist:** Before signing and submitting its *SOQ Application Package* for this Project, interested Trade Contractors are advised to carefully review the *RFQ Response Checklist – Trade RFQ Form 2*.
- b. **Incomplete or Inaccurate Information:** Failure to accurately and completely provide the information requested may result in 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 Trade Contractor certifies that it is not currently debarred from performing public work for the Commonwealth of Massachusetts or the Federal Government.

**[THIS SPACE IS INTENTIONALLY BLANK]**



**CERTIFICATION**

The undersigned declares that he or she has carefully examined all the documents contained in the *Request for Qualifications for Trade Contractors (RFQ)* solicitation for the Project, and certifies to the best of his/her knowledge, that this *Statement of Qualifications* fully complies with all of the requirements of the *RFQ* and all addenda and clarifications issued in regard to the *RFQ*.

The undersigned also hereby certifies that he or she (or, if he or she is the authorized representative of a company, the company) is the only person interested in this *Statement of Qualifications* and any subsequent proposal; that it is made without any connection with any other person making any submission for the same work; that no person acting for, or employed by, the Awarding Authority is directly or indirectly interested in this *Statement of Qualifications* or any subsequent proposal, or in any contract which may be made under it, or in expected profits to arise therefrom; that the undersigned Respondent has not influenced or attempted to influence any other person or corporation to file a *Statement of Qualifications* or subsequent proposal or to refrain from doing so or to influence the terms of the *Statement of Qualifications* or any subsequent proposal of any other person or corporation; and that this submission is made in good faith without collusion or connection with any other person applying for the same work.

The undersigned further certifies under pains and penalties of perjury that the undersigned is not debarred from doing public construction work in the Commonwealth of Massachusetts under the provisions of section twenty nine F of chapter twenty nine, or any other applicable debarment provision of any other chapter of the General Laws or any rule or regulation promulgated there under, and further is not debarred from doing public construction work under any law, rule or regulation of the federal government.

The undersigned states that he or she has carefully examined all of the information provided and representations made in this *Statement of Qualifications* and the documents submitted with the SOQ including all schedules, forms and materials, and certifies to the best of his/her knowledge, that this *Statement of Qualifications* in its entirety is complete, true and accurate.

By signing below, the interested Trade Contractor **acknowledges receipt of the following addenda** to this *RFQ*:

Addenda Nos. (if any): \_\_\_\_\_

**SIGNED UNDER THE PAINS AND PENALTIES OF PERJURY:**

Signature: \_\_\_\_\_  
 (Signature of Authorized Representative)

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Firm Name: \_\_\_\_\_

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

Project Number: \_\_\_\_\_

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



University of Massachusetts Building Authority  
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**Firm Name:** \_\_\_\_\_

**SCHEDULE A – BUSINESS OWNERS:** Interested Trade 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* of the *RFQ* for this Project.

NAME	TITLE	ROLE/JOB RESPONSIBILITIES/ SCOPE OF WORK	# OF YEARS W/FIRM	EDUCATION/EXPERIENCE



**Firm Name:** \_\_\_\_\_

**SCHEDULE B – MANAGEMENT PERSONNEL:** Interested Trade Contractors **MUST** provide the following information and **attach (1) an organizational chart and (2) copies of the resumes** 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 of the RFQ* for this Project.

NAME	TITLE	ROLE/JOB RESPONSIBILITIES/ SCOPE OF WORK	# OF YEARS W/FIRM	EDUCATION/EXPERIENCE	COMPLETED PROJECTS



**Firm Name:** \_\_\_\_\_

**SCHEDULE C - SIMILAR PROJECT EXPERIENCE:** Interested Trade Contractor **MUST** list all similar projects respondent Trade Contractor has completed during the last three (3) years. For the purpose of this RFQ “similar projects” shall be as defined in Section VI(C)(1)(c) of Part One of the RFQ for this Project. If specific criteria are required for a Trade such as prior experience, make sure those criteria are met by the projects listed.

PROJECT NAME & LOCATION	PROJECT OWNER	PROJECT DESCRIPTION AND SPECIFIC SCOPE	ORIGINAL AND FINAL CONTRACT AMOUNT AND EXPLANATION	START AND COMPLETION DATES (M/D/YYYY – M/D/YYYY)



**Firm Name:** \_\_\_\_\_

**SCHEDULE D - TERMINATIONS:** Interested Trade 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* of the RFQ for this Project within in the prior five (5) years.

PROJECT NAME & LOCATION	SCOPE OF WORK PERFORMED	CONTRACTED WITH	START & END DATES	ESTIMATED CONTRACT AMOUNT	% COMPLETE	REASON FOR TERMINATION OR FAILURE TO COMPLETE





**Firm Name:** \_\_\_\_\_

**SCHEDULE E – Lawsuits:** Interested Trade Contractors are **required** to list of all lawsuits in which the trade contractor is a defendant or defendant-in-counterclaim with regard to construction contracts within the last three (3) years. Please include among the lawsuits requested in the previous sentence, payment bond lawsuits under M.G.L. c.149, §29 and mechanics lien lawsuits. If the lawsuit was pending at any time during the last three (3) years (which includes any lawsuit that was commenced, dismissed, or resolved by settlement or judgment during that time), then it must be listed. Please note that the lawsuits listed shall not include actions that primarily involve personal injury, workers’ compensation claims, or where the sole cause of action involves the trade contractor’s exercise of its rights for direct payment under M.G.L. c.30, §39F. Joint ventures must provide information regarding lawsuits for each joint venture partner as set forth in *Section VI(C)(1)(e)* of *Part One* of the *RFQ* for this Project.

PROJECT NAME & LOCATION	PROJECT OWNER	DESCRIPTION OF LEGAL PROCEEDING (include caption of case, parties, location of proceeding, description of the dispute and status and/or outcome)



**Firm Name:** \_\_\_\_\_

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

YEAR	WORKERS' COMP. EXPERIENCE MODIFIER	COMMENTS



**Firm Name:** \_\_\_\_\_

**SCHEDULE G - PROJECT REFERENCES:** Interested Trade Contractors are **required** to list references for prior work respondent Trade Contractor has performed which appears in **Schedule C** as set forth in *Section VI(C)(2)(a)* of *Part One* of the *RFQ* for this Project.

<b>PROJECT TITLE:</b>					
	COMPANY NAME	CONTACT PERSON/ADRESSS	TELEPHONE	FAX	EMAIL
Owner:					
Designer:					
<b>PROJECT TITLE:</b>					
	COMPANY NAME	CONTACT PERSON/ADRESSS	TELEPHONE	FAX	EMAIL
Owner:					
Designer:					
<b>PROJECT TITLE:</b>					
	COMPANY NAME	CONTACT PERSON/ADRESSS	TELEPHONE	FAX	EMAIL
Owner:					
Designer:					



**Firm Name:** \_\_\_\_\_

**SCHEDULE G - PROJECT REFERENCES (Continued):**

<b>PROJECT TITLE:</b>					
	<b>COMPANY NAME</b>	<b>CONTACT PERSON/ADRESSS</b>	<b>TELEPHONE</b>	<b>FAX</b>	<b>EMAIL</b>
Owner:					
Designer:					
<b>PROJECT TITLE:</b>					
	<b>COMPANY NAME</b>	<b>CONTACT PERSON/ADRESSS</b>	<b>TELEPHONE</b>	<b>FAX</b>	<b>EMAIL</b>
Owner:					
Designer:					



**Firm Name:** \_\_\_\_\_

**SCHEDULE H - CREDIT REFERENCES:** Interested Trade 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* of the RFQ for this Project.

CHECK ONE	COMPANY NAME	CONTACT PERSON	TELE# and FAX#	Email Address
<input type="checkbox"/> BANK <input type="checkbox"/> SUPPLIER <input type="checkbox"/> VENDOR				
<input type="checkbox"/> BANK <input type="checkbox"/> SUPPLIER <input type="checkbox"/> VENDOR				
<input type="checkbox"/> BANK <input type="checkbox"/> SUPPLIER <input type="checkbox"/> VENDOR				
<input type="checkbox"/> BANK <input type="checkbox"/> SUPPLIER <input type="checkbox"/> VENDOR				
<input type="checkbox"/> BANK <input type="checkbox"/> SUPPLIER <input type="checkbox"/> VENDOR				



**Firm Name:** \_\_\_\_\_

**SCHEDULE I - PUBLIC PROJECT RECORD:** – Interested Trade Contractors are **required** to list all completed public buildings during the past five (5) years in accordance with *Section VI(C)(2)(c) of Part One* of the *RFQ* for this Project. (Respondent Trade Contractor may attach additional pages if necessary).

PROJECT INFORMATION	CONTACT INFORMATION Provide business and contact name, address, telephone, fax and email
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:



**Firm Name:** \_\_\_\_\_

**SCHEDULE J – PRIOR REVENUE:** – Interested Trade Contractors are **required** to list prior revenue for the last three (3) fiscal years in accordance with *Section VI(C)(3)(a)* of *Part One* of the *RFQ* for this Project.

Firm’s fiscal year runs \_\_\_\_\_ to \_\_\_\_\_.

CALENDAR YEAR	FISCAL YEAR	PRIOR ANNUAL REVENUE (\$)
2014		
2013		
2012		



**Firm Name:** \_\_\_\_\_

**SCHEDULE K – REVENUE UNDER CONTRACT:** – Interested Trade 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 \_\_\_\_\_.

CALENDAR YEAR	FISCAL YEAR	REVENUE UNDER CONTRACT (\$)
2015		
2016		
2017		





University of Massachusetts Building Authority  
UMass Dartmouth – Charlton College of Business Expansion  
RFQ for Trade Contractor Services

**Firm Name:** \_\_\_\_\_

**SCHEDULE L – LETTER EVIDENCING BONDING CAPACITY:**

**Respondent Trade 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 trade contract value of the Project. The surety company must meet the requirements set forth above. For Trade Contractors submitting SOQs for more than one Trade, a letter evidencing bonding capacity for each trade must be submitted.



University of Massachusetts Building Authority  
UMass Dartmouth – Charlton College of Business Expansion  
RFQ for Trade Contractor Services

**Firm Name:** \_\_\_\_\_

**SCHEDULE M – SUB-BIDDER CERTIFICATE OF ELIGIBILITY AND SUB-BIDDER UPDATE STATEMENT:**

**Respondent Trade Contractors must attach here TWO different documents:**

- 1) a copy of its current **DCAM *Sub-Bidder Certificate of Eligibility*** meeting the requirements set forth above in this RFQ;  
**and**
- 2) a completed and signed **DCAM *Sub-bidder Update Statement*** utilizing the most current form available on DCAM's website. [http://www.mass.gov/cam/forms/fi\\_contractcert.html](http://www.mass.gov/cam/forms/fi_contractcert.html)

Note: Trade Contractors submitting an SOQ for more than one Trade must submit a DCAM Sub-bidder Certificate of Eligibility and Sub-bidder Update Statement for each Trade.