

Dear Interested Subcontractor:

Thank you for your firm's interest in working with Rodgers.

To be included in our subcontractor management program, each subcontractor is required to prequalify by submitting a complete Trade Contractor Prequalification Application and the Bid Notice Bulletin. In addition to completing the aforementioned documents, you will need to submit the following required documents based on your responses:

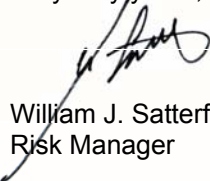
1. Safety and Insurance Documentation
 - a. Current Safety and Substance Abuse Policy
 - b. OSHA 300 and 300a logs from the past three years
 - c. Certificate of Insurance – Requirements are \$1M general liability (per project limits) and \$1M CSL Auto Liability; \$3M Excess, State Statutory Limits for Worker's Compensation. (If current insurance levels are less, then submit proof that subcontractor can meet project limits.)
2. Financial and Bonding information:
 - a. Financial Statements including most recent audited Balance Sheet and Income Statement
 - b. A signed letter from your bonding agent stipulating current amount of bonding capacity per project, aggregate limit, bond rate and identifying the surety including A.M. Best Rating.
 - c. Completed IRS W-9 Form, Request for Taxpayer Identification and Certification
3. Licensing and Certifications:
 - a. Minority Certification Letter from Governing Authority
 - b. Applicable Licenses: General Contractor's license required for work over \$30,000.00. Licenses for work associated with architectural, electrical, mechanical and plumbing.
 - c. North Carolina Business License or reciprocal License

Prior to submitting your application, please be familiar with Rodgers' bonding requirements: Separate Payment and Performance Bonds are required on all subcontracts of \$100,000 or greater. If the scope of work relates to building exterior; e.g., windows, roofing, EIFS, precast panels, brick veneer, etc., separate Payment and Performance Bonds are required regardless of the value of the scope of work.

Please submit your completed application to William Satterfield, Risk Manager, 5701 N. Sharon Amity Road, Charlotte, NC 28215. Applications must be received by 2pm on the date of the Prequalification Deadline. For additional information, feel free to contact Will at 704.537.6044 or wsatterfield@rodgersbuilders.com. Once your completed application has been received by Rodgers, we will immediately begin the review process and will contact you regarding your approval status as soon as possible. Rodgers may, but are not obligated to, inform Applicants of an incomplete Application or request that an Applicant clarify a response or provide additional documentation. An Applicant will have three (3) business days from date of notification to provide the clarification response. If you are not approved as prequalified (are deemed not qualified) you have a right of appeal. Please see Section 10 of this package for the procedure.

Again, thank you for your interest in working with Rodgers.

Very truly yours,



William J. Satterfield AIC, ARM
Risk Manager

The undersigned certifies under oath that the information provided herein is true and sufficiently complete so as not to be misleading.

Submitted to: **Rodgers** **Phone: 704.537.6044**
5701 N. Sharon Amity Road (28215) www.rodgersbuilders.com
Post Office Box 18446
Charlotte, NC 28218

Section 1 – Company Information

Company Name: _____ Corporation ☐
Mailing Address: _____ Partnership ☐
City, State, Zip: _____ Individual ☐
Street Address: _____ Joint Venture ☐
City, State, Zip: _____ Other ☐

Principal Office: _____ Dun & Bradstreet No.: _____
City, State, Zip: _____ Federal ID or SS #: _____

Phone: _____ E-mail: _____
Fax: _____ Website: _____

Contact Name: _____

Project Name (if applicable): _____

Scope(s) of work for which you are prequalifying : _____

Section 2 - Organization

1. How many years has your organization been in business? _____
2. How many years has your organization been in business under its present business name? _____
3. List any former names your organization has operated under:

4. Is your organization a subsidiary or affiliate of another firm? Yes ☐ No ☐

A. If yes, what is the parent company's name? _____

B. Also list all other subsidiaries or affiliates. _____

5. If your organization is a corporation, to include limited liability corporation, answer the following:

Date of incorporation: _____

State of incorporation: _____

Name of CEO: _____

Name of President: _____

Key Personnel: _____

6. If your organization is a partnership, to include limited liability partnership, answer the following:

Date of partnership: _____

Type of partnership: _____
(if applicable)

Names of General Partners: _____

7. If your organization is individually owned, answer the following:

Date of organization: _____

Name of Owner(s): _____

Section 3 - Licensing

1. Has a complaint ever been filed with any State Licensing Board against your firm? Yes ☐ No ☐
If yes, please describe:

2. Indicate licenses, with license numbers, for which you are qualified to do business, (e.g. electrical, fire protection, state or county business licenses, etc.).

License type & State	_____	License number	_____
License type & State	_____	License number	_____

Section 4 - Experience

1. Has your organization within the last five years ever failed to complete a contract or paid liquidated damages? Yes ☐ No ☐
If yes, please describe:

2. Are there any judgments, claims, or arbitration proceedings or suits pending or outstanding against your organization or its officers within the last five years? Yes ☐ No ☐
If yes, please describe:

3. Has your organization filed any lawsuits or requested arbitration with regard to contracts within the last five years? Yes ☐ No ☐
If yes, please describe and list each lawsuit or arbitration filing:

4. Within the last five years, has any officer or principal of your organization ever been an officer or principal of another organization when it failed to complete a contract? Yes ☐ No ☐
If yes, please describe:

5. Within the last (3) three years has your organization performed any work for Rodgers, City of Gastonia, Pendulum Studios, or LaBella? (If answer is "No", prequalification will not be negatively impacted.) Yes ☐ No ☐

If yes, please describe:

- Project Name: _____
- Rodgers Project Manager Name: _____
- Contract Amount: _____

6. **On a separate sheet**, list five (5) major projects your organization has ***in progress*** and **list five (5) major completed** projects for the scope(s) of work that you are prequalifying for. If the applicant has healthcare experience please list those projects. Provide the following information for **each** project:
- Project name & owner
 - General contractor (please list other than yourself)
 - GC contact name, phone number & email address
 - Contract amount
 - Scope of work
 - Completion date (actual or expected)
 - Percentage of work performed with your own forces
7. Indicate the type of projects in which your organization has experience: (*check all that apply*)
- ☐ Residential ☐ Commercial ☐ Industrial ☐ Health Care ☐ Mixed Use
☐ Senior Living ☐ Institutional
8. Indicate your preferred project size. _____
9. What scope(s) of work do you typically subcontract to other companies?

Section 5 - References

1. **On a separate sheet**, list four trade/credit references. Include the following for each reference: Company name, address, telephone number, and contact name.

Section 6 - Safety & Loss Prevention

1. Do you have a written safety and health program? Yes ☐ No ☐
If yes, please attach your safety policy.
2. Please attach OSHA 300A and 300 Logs for the last three years.
3. In the last 3 years, has your company ever received a Serious, Willful, or Repeat violation under the OSHA Construction or General Industry Standards? Yes ☐ No ☐
If yes, please attach a letter from your Safety Director explaining the citation(s) and remediation measures taken.
4. Please list your company's Experience Modification Rate (EMR) for the last three years.
 Year: _____ EMR: _____ Year: _____ EMR: _____ Year: _____ EMR: _____
5. Do you have a Substance Abuse Policy? Yes ☐ No ☐
If yes, please check the following that apply and supply copy of your Substance Abuse policy:
- ☐ Pre-employment testing post ☐ Accident testing
☐ Random testing ☐ For cause testing

Trade Contractor Prequalification

6. Provide a copy of your current certificate of insurance (General Liability, Auto, Workers' Compensation & Excess Liability).
7. List bank reference. *(Use a separate sheet for additional references)*

Name of banking company: _____

Address: _____

Telephone number: _____

Contact person: _____

8. Is your firm able to provide a payment and performance bond? Yes ☐ No ☐

If yes, please attach a signed letter from your bonding agent stipulating current amount of bonding capacity per project, aggregate limit, bond rate and identifying the surety including A.M. Best Rating.

Section 7 – Financial/Operational *(This information will remain confidential.)*

1. Attach a financial statement, preferably audited, including your organization's latest balance sheet and income statement. (Please note this information is required to process your application.)

2. Indicate below the annual sales volume for the last three (3) years:

Year _____ \$ _____ Year _____ \$ _____ Year _____ \$ _____

3. What is your backlog?

Today: \$ _____ Last Financial Statement: \$ _____ 12 months ago: \$ _____

4. Attach your company's IRS Form W-9, Request for Taxpayer Identification and Certification (Rev. December 2014)

Section 8 – Signature

I, _____ being duly sworn, deposes and says that the information provided on the prequalification application herein is true and sufficiently complete so as not to be misleading.

Firm Name: _____

By: _____

Title: _____

Dated this _____ day of _____, 20____

Subscribed and sworn before me this _____ day of _____, 20____

Notary Public: _____

Print Name

My commission expires: _____

Section 9 – Confidentiality

Rodgers will attempt to keep your financial information confidential. However, once submitted to Rodgers, your financial information, as well as your entire Application and supporting documents ("Application"), may be public records, except for material which qualifies as "trade secret" information under N.C. Gen. Stat. 66-152 et. seq. Be advised that audited financial statements of public companies are not trade secrets, nor is pricing information. Please consult your attorney about whether any other information contained in your Application qualifies as a trade secret.

If you contend that any portion of your Application is a trade secret that may not be disclosed (except as permitted in this agreement), take the following precautions: (a) any trade secrets should be submitted in a separate, sealed envelope marked "Trade Secret - Confidential and Proprietary Information - Do Not Disclose Except for the Purpose of Evaluating this Application," and (b) the same trade secret/confidentiality designation should be stamped on each page of the trade secret materials contained in the envelope. **Do not attempt to designate your entire Application as a trade secret.** Each trade contractor also releases Rodgers, the City of Gastonia and each of their officers, officials, employees, and agents from all costs, damages, and expenses resulting from inadvertent of any trade secret materials.

In submitting an Application each Trade Contractor agrees that Rodgers may reveal any trade secret materials contained in such Application to all City of Gastonia staff and officials involved in the prequalification and selection process, and to any outside consultant or other third parties who assist the City in the prequalification or selection process. Contractor also hereby releases Rodgers, the City of Gastonia and each of their officers, officials, employees, and agents from all costs, damages and expenses resulting from inadvertent disclosure of any trade secret materials.

Furthermore, each Applicant agrees to indemnify and hold harmless Rodgers, the City and each of their officers, employees, and agents from all costs, damages, and expenses incurred in connection with refusing to disclose any material that the Applicant has designated as a trade secret.

Section 10 - Appeal Procedure

1. Within three (3) calendar days after the denial of prequalification is issued to the contractor, the contractor may submit a written protest to _____ ("the Review Official"). The written protest shall be submitted by electronic mail to _____. The written notice must clearly specify the name of the contractor and shall clearly articulate the reasons why the contractor is contesting the denial and shall attach all documents and additional information supporting the contractor's position.
2. The Review Official will review the available information and if necessary hold a meeting with the contractor, and within five (5) calendar days of his receipt of the written protest, shall issue a decision either granting or denying prequalification status. If prequalification status is denied, the decision shall specify the reason for the denial.
3. If not satisfied with the Review Official's decision, the contractor shall have three (3) calendar days to request, in writing to the Review Officer, a hearing before the City Manager. The hearing shall be informal and the contractor shall have the opportunity to ask questions and present evidence.
4. The City Manager may delegate the conduct of the hearings to the Assistant City Manager and may adopt the recommendation of the Assistant City Manager.
5. Within five (5) calendar days after the hearing, the City Manager shall make a recommendation to Rodgers. The City Manager's recommendation shall be made in writing and may be delivered by facsimile, email or personal delivery.
6. Rodgers shall have three (3) calendar days thereafter to review the recommendation and issue decision as to the prequalification status of the contractor. The Rodgers' construction manager's decision shall be final.

Project Name: City of Gastonia FUSE Complex



		1	
		Company Name	
Description		Div#	
Section 2 - Similar Work experience for pursued Bid Package? (Sports and Entertainment Complexes, Sports Fields, Sports Netting, Sports Padding, Food Service, Public Address Systems, Scoreboard, Concrete Seating Bowls, Masonry, Roofing, Plumbing, Mechanical, Electrical, Field Lighting, etc.)		Yes/No	
Section 7 - Sufficient bonding to bond the scope of work? (Attached letter, "A" rated surety and currently dated)		Yes/No	
Section 7 - Properly submitted with Financials sufficient for prequalification of trade package?		Yes/No	
If all answers are "Yes" proceed to the point Matrix. If any are "No" stop the prequalification process.			
Section #		Max Pts	Pts
1. General Company Information			
Sec. 1	Company Name/Main Office Location Completed	1	
Sec. 1	Business Type	1	
Sec. 1	Contact information	1	
Sec. 2 (1)	# Years in Business (rate 1-5)	5	
Sec. 3 (1)	Complaint filed with State Licensing Board	5	
Sec. 3 (2)	Licensing Information	2	
	Subtotal	15	
2. Experience			
Sec. 4 (1)	Failed to complete construction contract	5	
Sec. 4 (2)	Litigation/Claims - Currently outstanding against company	3	
Sec. 4 (3)	Litigation/Claims filed in the last 5 years	3	
Sec. 4 (4)	Officer or Principal failed to complete a contract	5	
Sec. 4 (6)	Experience - 5 completed & in-progress projects listed (rate 1-5)	5	
Sec. 4 (6)	Favorable project reference #1 (rate 1-7)	7	
Sec. 4 (6)	Favorable project reference #2 (rate 1-7)	7	
Sec. 4 (6)	Favorable project reference #3 (rate 1-7)	7	
Sec. 5 (1)	Credit references listed	5	
	Subtotal	47	
3. Safety & Loss Prevention			
Sec. 6 (1)	Attached written Safety Plan	2	
Sec. 6 (2)	Attached OSHA logs	2	
Sec. 6 (3)	Serious, Willful, or Repeats OSHA violations (rate 1-5)	5	
Sec. 6 (4)	EMR rate under 1.0	5	
Sec. 6 (5)	Written Substance Abuse Policy	2	
Sec. 6 (6)	Attached COI	2	
	Subtotal	18	
TOTAL POINTS		80	#
All scores 64 and above will be prequalified.			