

MAGUIRE STREET CORRIDOR UPGRADE

# SELECTION CRITERIA

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REVISION NUMBER: 01

REVISION DATE: AUGUST 23, 2023



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## **Maguire Street Corridor Upgrade Project**

### **Selection Criteria and Procedures – Statement of Qualifications for CMAR**

#### **1.0 DEFINITIONS**

1. Agreement—The written instrument, including its attached exhibits, executed by Owner and Construction Manager at Risk, that sets forth the Contract Price and Contract duration, identifies the Owner, Construction Manager at Risk, Owner’s Advisor, and Engineer, and designates the specific items that are Contract Documents.
2. Construction Manager at Risk (CMAR)—The entity that will enter into the Contract with Owner. Under the Contract the CMAR will provide CMAR Services and construct the Work set out in the Drawings and Specifications, as duly authorized, using the Construction Manager at Risk project delivery method.
3. CMAR Contingency—A contingency used to reimburse CMAR for costs due to unforeseen causes, unintentional errors, or events which cannot specifically be anticipated at the time Work Authorizations are issued, as set forth in the Agreement.
4. CMAR Fee—The component of the Guaranteed Maximum Price that supplements the CMAR’s compensation for the cost of the Work, consisting of either a fixed fee (a stipulated price or lump sum amount) or a percentage of the cost of the Work, as set forth in the Agreement.
5. CMAR Services—Those specific planning, organizational, and advisory services to be performed or furnished by CMAR, consisting collectively of Preconstruction Services, Procurement Services, and any other services authorized by Owner’s Advisor and expressly identified in such authorization as CMAR Services. CMAR Services are not part of the Work.
6. Contract—The entire and integrated written agreement between Owner and Construction Manager at Risk concerning the CMAR Services and the Work.
7. Contract Documents—Those items so designated in the Agreement, and which together comprise the Contract.
8. Contract Price—The money that Owner has agreed to pay Construction Manager at Risk for performance and completion of the CMAR Services and the Work, in accordance with the Contract Documents. The Contract Price may be subdivided into component parts based on authorized CMAR Services and Work Authorizations. The Contract Price includes the CMAR’s compensation for CMAR Services, construction support costs, cost of the Work, the CMAR Fee, CMAR Contingency, and the Owner’s contingency and allowances.
9. Contractor—The term “Contractor,” if used in the Contract, means Construction Manager at Risk.
10. Guaranteed Maximum Price (GMP)—The maximum amount to be paid by Owner to CMAR for the sum of the construction support costs, plus cost of the Work, plus the CMAR Fee, all as set forth in the Agreement.
11. Key Personnel—The critical Project personnel defined as the Project Manager, Project Superintendent, Safety Manager and Quality Control Manager.
12. Owner—The entity with which Construction Manager at Risk has contracted regarding the CMAR Services and the Work, and which has agreed to pay Construction Manager at Risk for the performance of the CMAR Services and the Work, pursuant to the terms of the Contract. The Owner is the City of Warrensburg.

13. Owner's Advisor (OA)—The individual or entity named as Owner's Advisor in the Agreement. The Owner's Advisor provides services to the Owner, as an advisor and representative. The Owner's Advisor is Burns & McDonnell Engineering Company, Inc..
14. Preconstruction Services—Those planning, management, and support services to be performed or furnished by CMAR as set forth in the Scope of CMAR Preconstruction Services Exhibit to the Agreement. Preconstruction Services are separate and distinct from Procurement Services, and from the performance of the Work itself, and are a component of CMAR Services.
15. Procurement Evaluation Manual—An Owner document outlining the steps and procedures to be followed for evaluation of the RFQ and RFP.
16. Procurement Services—Those services relating to assembling Work Packages and procurement of construction Subcontractors, Suppliers, and materials and equipment, to be performed or furnished by CMAR as set forth in the procurement-related provisions of the Scope of CMAR Services Exhibit to the Agreement. Procurement Services are separate and distinct from Preconstruction Services, and from the performance of the Work itself, and are a component of CMAR Services.
17. Project—The total undertaking to be accomplished for Owner by construction managers, engineers, contractors, advisors, and others, including planning, study, design, construction, testing, commissioning, and start-up, and of which the CMAR Services and the Work to be performed under the Contract are a part.
  - a. The Project is the Maguire Street Improvement Project.
18. Proposal—The document submitted to Owner by a Proposer in response to the RFP, including any completed forms, attachments, and exhibits presenting the compensation (price) terms to be included in the Agreement between Owner and Construction Manager at Risk if the selected Proposer is awarded the CMAR Contract.
19. Proposer—A Construction Manager at Risk (CMAR) entity that submits a Statement of Qualifications and, if invited to do so in a two-step selection process, submits a Proposal for the CMAR Contract.
20. Request for Proposal (RFP)—The document issued directly to the most highly ranked proposers in a two-step selection process based on evaluations of the submitted Statements of Qualifications, asking each short-listed Proposer to submit a Proposal for providing CMAR Services and furnishing and completing the Work.
21. Request for Qualifications (RFQ)—The document issued by Owner to proposers requesting that they submit qualifications and other information to be used by the Owner in ranking proposers.
22. Statement of Qualifications (SOQ)—The document submitted to Owner by a Proposer in response to the RFQ, including any completed forms, attachments, and exhibits, to demonstrate experience, competence, and ability to successfully perform the CMAR Services and furnish and complete the Work.
23. Subcontractor—An individual or entity having a direct contract with Construction Manager at Risk or with any other Subcontractor for the performance of a part of the Work.
24. Supplier—A manufacturer, fabricator, supplier, distributor, or vendor having a direct contract with Construction Manager at Risk or with any Subcontractor to furnish materials or equipment to be incorporated in the Work by Construction Manager at Risk or a Subcontractor.
25. Work—The entire construction or the various separately identifiable parts thereof required to be provided under the Contract Documents. Work includes and is the result of performing or providing all labor, services, and documentation necessary to produce such construction;

furnishing, installing, and incorporating all materials and equipment into such construction; and may include related services such as testing, start-up, and commissioning, all as required by the Contract Documents.

26. Work Authorization—A document issued by Owner’s Advisor and signed by Owner and CMAR which identifies and defines new Work Packages and establishes the amount to be paid, times for completion, and any special or supplementary provisions applicable to the authorized Work.
27. Work Package—A specific portion of the Work developed by Engineer and Owner’s Advisor in collaboration with the CMAR and subsequently authorized by a Work Authorization.

## **2.0 PURPOSE AND INTENDED USE OF THE DOCUMENT**

The following items propose, at a minimum, the selection criteria and procedures for use by Owner and Owner’s Advisor in determining and documenting the Owner’s process for selecting a Construction Manager at Risk (CMAR), only. Once the criteria have been agreed upon by the Owner and Owner’s Advisor, the details will provide a foundation for development of the Procurement Evaluation Manual.

The CMAR selection process will be based on a two-step process. In the first step, the proposers submit a Statement of Qualifications (SOQ) in response to the Request for Qualifications (RFQ) issued by the Owner. The Owner and its representatives will evaluate the Statements of Qualifications to identify those proposers that are most qualified for the Project, creating a short-list of no more than three and no less than two qualified proposers.

In the second step, a Request for Proposal will be issued to the shortlisted proposers to:

- 1) Demonstrate the Proposer’s technical approach to the Project
- 2) initiate one-on-one interviews to evaluate the Proposer’s approach to the Project and
- 3) obtain each Proposer’s offer for its proposed price for the Proposer’s CMAR Services and or Fee.

At the time of the CMAR procurement the design of the Project will be conceptual in nature, therefore, the CMAR will not be asked to submit a binding Guaranteed Maximum Price.

Instructions for preparing the SOQ will be furnished in the Request for Qualifications. A sample form for proposers is included in Appendix A.

## **3.0 SELECTION CRITERIA**

### **3.01 Ineligible Proposers**

It is imperative to note that no person that has been disbarred or suspended from bidding or is otherwise ineligible for state or federal contracts may participate on any Proposer’s team.

At the time of submitting its SOQ, proposers will be required to complete the Statement of Qualifications Certification and (See Appendix A of this document) that the Proposer and Subcontractors identified on Table 1 –General Information, Previous Contracting Experience (see Appendix A) will be required to certify and indicate exceptions to the statements identified below.

At the time of submitting its Proposal, short-listed proposers, and/or Subcontractors identified in the Proposal will be required to certify and indicate exceptions to the statements identified below. The Owner in its sole discretion, may reject a Proposal on the basis of any such exception except to the extent the Owner has evaluated the item during SOQ evaluation as provided in Section 3.02 (Responsiveness, Responsibility, and Pass/Fail Evaluation) and there is no new information following SOQ submission that warrants rejection of the Proposal.

1. This Proposer is not currently suspended, debarred, proposed for debarment, or voluntarily excluded from bidding by any federal or state agency.
2. This Proposer has not been suspended, debarred, or voluntarily excluded from bidding by any federal or state agency within the past five years.
3. This Proposer has not been released from a proposal in the past five years.
4. This Proposer within the past five years, has not been convicted or had a civil judgment rendered against them by a court of competent jurisdiction in any matter involving fraud, anti-trust violations, theft, official misconduct, or other offenses indicating a lack of business integrity or business honesty.
5. This Proposer is not currently indicted or otherwise criminally or civilly charged by a federal, state, or local government with fraud, anti-trust violations, theft, official misconduct, or other offenses indicating a lack of business integrity or business honesty.
6. This Proposer has not defaulted on a project, had its performance bond pulled by an owner or failed to complete any contract awarded to it.
7. This Proposer has not refused to construct or refused to provide materials defined in the contract documents or in a change order.
8. This Proposer is not currently involved in any litigation or contemplating litigation.
9. This Proposer is not currently seeking protection under any bankruptcy law and has not sought protection under bankruptcy laws in the past five years.

### **3.02 Responsiveness, Responsibility, and Pass/Fail Evaluation**

The Owner will review each Proposer's SOQ to confirm that it is responsive. Responsive SOQs shall be complete and shall not deviate from the RFQ requirements in any material respect.

Following the Owner's determination of responsiveness, the Owner will evaluate each SOQ for responsibility based upon the following pass/fail criteria:

1. The Proposer has presented evidence showing the makeup of its organization and evidence that its organization has the legal ability to enter into and perform the Contract to deliver the Project utilizing a Construction Manager at Risk (CMAR) model and complies with state licensing requirements;
2. The Proposer and each Subcontractor identified on Table 1 – General Information (see Appendix A) is not currently suspended, debarred, voluntarily excluded, or disqualified from performing or bidding on work for the United States federal government, the State of Missouri or any other state or territory of the United States, or any governmental entity, instrumentality, or authority;
3. The information disclosed in Table 1 - General Information does not, in the Owner's sole determination, materially adversely affect the Proposer's responsibility, including its integrity and ability to carry out the Project responsibilities potentially allocated to it;

4. The Proposer demonstrates, in the Owner’s sole determination, that the Proposer is capable of obtaining bonds in the amount set forth in Section 4.0 Requirements for Statement of Qualifications.

A SOQ that fails to achieve a “pass” rating on any pass/fail element will be deemed unacceptable, resulting in the Proposer not being short-listed to submit a response to the RFP.

### 3.03 Scoring Criteria

The scoring for selection criteria shown in Table A – Scoring Criteria includes items that are presented in more detail throughout this document. The Owner retains the option to make changes or additions as deemed necessary.

Criterion	Description	Weighting Value (Points)
	<b>Statement of Qualifications</b>	
A	Proposer’s organization	20
B	Experience and past performance of Proposer	40
C	Experience and qualifications of proposed Key Personnel	40
	<b>Total Points</b>	<b>100</b>
	<b>Request for Proposal</b>	
D	Project approach	40
E	Interview	20
F	CMAR Services and Fee Proposal	40
	<b>Total Points</b>	<b>100</b>

Table A – Scoring Criteria

### 3.04 Evaluation for SOQ Rating Categories

#### A. Rating Category A – Proposer's organization

1. Provide the organization and communication structure of the CMAR and, if applicable, any other Subcontractor identified in the SOQ. This information may be submitted on a one-page, 11 x 17, organization chart.
2. Provide a one-page narrative (8.5 x 11) that describes the personnel and equipment resources the Proposer has available for the construction of the Project.

#### B. Rating Category B - Experience and past performance of Proposer

1. Owner will consider the experience and past performance of the Proposer as a company, including, but not limited to:
  - a. Proposer’s current experience and performance on similar projects (within the last 10 years);
  - b. Qualifications of the proposed management team;
  - c. Organization’s operating philosophy and approach to managing changes in project scope;
  - d. Financial stability and approach to financial management of projects;
  - e. Safety programs and past safety performance;
  - f. Quality programs and quality management;

- g. Experience on claims and litigation;
- h. Specific experience in CMAR delivery method;
- i. Provide examples of successful collaboration with the Owner's Engineer, including instances of value engineering, effective risk management, timeliness of previous project completions and innovative alternative technical concepts;
- j. Successfully complete Table 1 of the SOQ Form.

C. Rating Category C - Experience and qualifications of proposed Key Personnel

- 1. Owner will consider the experience and qualification of the proposed Project Manager, Project Superintendent, Safety Manager, and Quality Control Manager (Key Personnel) for this Project, including:
  - a. Education, training, and personal experience in delivering similar projects while serving in the capacity for which they are being proposed;
  - b. Demonstrated ability to complete safe, quality projects on time and within budget as demonstrated by Proposal information and reference checks for offered individuals;
  - c. Demonstrated leadership, character, and capability of proposed individuals;
  - d. Availability and commitments to other projects;
  - e. Demonstrated ability to communicate effectively with Project stakeholders;
  - f. Successfully complete Table 3 and 4 of the SOQ Form.

**3.05 Evaluation for RFP for Rating Categories**

A. Rating Category D - Project approach

- 1. Owner will consider the Proposer's approach to constructing, completing, and commissioning the Project, including:
  - a. Organization's operating philosophy and approach to managing changes in Project scope and timeline
  - b. Traffic management plan
  - c. Preconstruction and Procurement Services;
  - d. Ability of the Proposer to complete Project for the Contract Price;
  - e. Ability to complete Project on time;
  - f. Communication and collaboration with Owner and affected stakeholders;
  - g. Construction contract administration;
  - h. Construction site safety and risk management:
  - i. Quality management;
  - j. Management of Subcontractors and Suppliers;
  - k. Resolving construction issues and resolving disputes and claims.

B. Rating Category E - Interview

- 1. The Proposer will be required to attend an interview with the Owner. The Proposer may bring to its interview any material that it believes is needed to prepare and present. The Proposer will be required to attend the interview with all Key Personnel. The Proposer



may bring other individuals so long as the total number of attendees does not exceed 10.

2. The interview will last 60 minutes and will be qualitatively evaluated and scored by the Owner. The format will be as follows:

- a. Introduction and presentation of approach: 30 minutes
- b. Q&A with the Owner selection panel: 25 minutes
- c. Closing: 5 minutes

C. Rating Category F – CMAR Services and Fee Proposal

1. Owner will consider the Proposer’s estimated price for CMAR Services and Fee.

**4.0 REQUIREMENTS FOR STATEMENT OF QUALIFICATIONS**

- 1) The Statement of Qualifications (SOQ) as submitted must include the information described in the RFQ, as a minimum, to allow the Owner (a) to assess the qualifications of each Proposer to successfully perform CMAR Services and complete the Work, and (b) to rank the Proposer’s qualifications objectively and as compared to the qualifications of other prospective proposers. The information requested in the RFQ must be provided completely and in detail.
- 2) The SOQ as furnished to proposers is set up to require that certain information be provided in forms included in the SOQ. The information in these forms will be used to make direct comparisons with the information provided by other proposers in response to the RFQ. Failure to submit the required information in the Statement of Qualifications may result in the Owner considering the Proposer as non-responsive. Failure to provide the information completely and clearly may result in lower scores in the evaluations which could result in the Proposer not being short-listed for the RFP. Proposers may be required to provide supplemental information, if so requested by the Owner, to clarify, enhance, or supplement the information provided in the Statement of Qualifications.
- 3) Information requested in the forms that cannot be totally incorporated in the forms may be included as an appendix to the form. This appendix must be clearly referenced by appendix number on the form, and the appended material must include the appendix number on every sheet of the appendix. The appendix must include only the information that responds to the question or item number to which the appendix applies.
- 4) The information requested is used to address each of the selection categories presented in the RFQ (not including the CMAR Services and Fee category) and should be presented in that order and be keyed specifically for each selection category. Proposers may provide supplemental information to the Statement of Qualifications such as organizational brochures or other marketing information to help demonstrate their qualifications to the Owner. This supplemental information may not be submitted as a substitute for the information specifically requested in this document. The reference must include the specific selection category to demonstrate strengths for each criterion.

**4.01 Proposal Format and Presentation**

Provide one printed copy of the SOQ at the time and place set forth in the RFQ. Submit the SOQ using the guidelines set forth in the RFQ.

- A. Provide an electronic copy of the SOQ. Individual files may not exceed 100 MB. Provide confidential information in a separate file that is clearly marked as confidential. Divide files into parts if necessary.
- B. Submit confidential information in accordance with the requirements in the RFQ. Information marked confidential, but not placed in a separate binder or electronic file as required will not be considered confidential and will be treated as other non-confidential information in the SOQ.

#### **4.02 Letter of Surety**

The SOQ shall also include a letter from a surety and insurance provider in the form of Appendix B - Surety Letter/Certificate and Acknowledgement indicating that the surety has reviewed the Proposer's and relevant entities' financial statements, works in progress, and other diligence information and are of the opinion that the Proposer (presumed as ultimate CMAR) could obtain both a performance and a payment bond, each with a penal sum of not less than \$20 million. If the CMAR is to be a joint venture, partnership, limited liability company, or other association, then separate letters shall be submitted for each member or partner thereof with respect to which the surety is certifying to the entity's bonding capacity with the foregoing requirements.

The surety letter shall indicate that based on the information reviewed the surety is comfortable that the Proposer understands the bonding requirements of CMAR delivery. Furthermore, the surety shall expressly agree and acknowledge that if the Proposer is short-listed, the surety shall perform further diligence about whether they can offer the payment and performance bond required of the CMAR under the Contract. The performance and payment bond may not be in excess of the cumulative underwriting limitation listed in the circular of the underwriting capacities of the CMAR's surety companies. Letters indicating "unlimited" bonding/security capability are not acceptable.

The performance bond and the payment bond will be required to be in place for the successful Proposer at the time of Contract execution.

## **Appendix A – Statement of Qualifications**

**Statement of Qualifications Certification**

Project: **[Project Name]**

Project Number: **[Project Number]**

By submitting this Statement of Qualifications and related information, Proposer certifies that it has read the Proposal Documents and that Proposer's representations are true and correct and contain no material misrepresentations, and that the individual signing below is authorized to make this certification on behalf of the Proposer's organization.

Proposer: \_\_\_\_\_  
*(typed or printed name of organization)*

Signature: \_\_\_\_\_  
*(individual's signature)*

Name: \_\_\_\_\_  
*(typed or printed)*

Title: \_\_\_\_\_  
*(typed or printed)*

Designated Representative:

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

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

Address for giving notices:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

*(Attach evidence of authority to sign if Proposer is a corporation, partnership, or a joint venture.)*

**Table 1-General Information**

Organization			
Legal Name of Business:			
Form of Business: <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> General Partnership <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Corporation			
<input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Joint Venture comprised of the following companies:			
1.			
2.			
3.			
Provide a separate Statement of Qualifications for each Joint Venturer			
Date Business was formed:		State under which Business was formed:	
Is this Business authorized to operate in the Project location: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Pending			
Is this Business licensed as a general contractor in the Project location: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Pending <input type="checkbox"/> N/A			
List of companies, firms, or organizations that own any part of this Business.			
Name of company, firm, or organization.			Percent ownership
Principal Office			
Primary contact		Main telephone number	
Email address		Website address	
Business address of principal office			
Regional Office			
Primary contact		Main telephone number	
Email address		Website address	
Business address of regional office			
Business officers, partners, and limits of authority			
Name:		Title:	
Authorized to sign contracts: <input type="checkbox"/> Yes <input type="checkbox"/> No		Limit of Authority:	
Name:		Title:	
Authorized to sign contracts: <input type="checkbox"/> Yes <input type="checkbox"/> No		Limit of Authority:	
Name		Title:	
Authorized to sign contracts: <input type="checkbox"/> Yes <input type="checkbox"/> No		Limit of Authority:	

**Table 1 –General Information (Continued)**

<b>Business History</b>		
List of names that this Business currently has or anticipates operating under over the history of the Business, including the names of related companies presently doing business:		
Names of organization	From date	To date

<b>Indicators of Organization Size</b>	
Average number of current full-time employees	
Estimate of revenue for the current year	
Estimate of average revenue for the previous 3 years	

<b>Licensure</b>			
Name of License:			
Licensing Agency:			
License Number:		Expiration Date:	
Name of License:			
Licensing Agency:			
License Number:		Expiration Date:	
Name of License:			
Licensing Agency:			
License Number:		Expiration Date:	

<b>Diverse Business Certifications</b>		
Name of Certification	Certifying Agency	Certification Date
<input type="checkbox"/> Disadvantage Business Enterprise:		
<input type="checkbox"/> Minority Business Enterprise:		
<input type="checkbox"/> Woman Business Enterprise:		
<input type="checkbox"/> Disabled Veteran Owned Business:		
<input type="checkbox"/> Historically Underutilized Business:		
<input type="checkbox"/> Small Business Enterprise:		
<input type="checkbox"/> Other:		
<input type="checkbox"/> None		

**Table 1 –General Information (Continued)**

Previous Contracting Experience		
Years of experience in projects similar to the proposed project:		
As a general contractor		As a joint venture partner
Is this Proposer currently suspended, debarred, proposed for debarment, voluntarily excluded, or disqualified from bidding by any local, state, or federal agency? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment.		
Has this Proposer ever been suspended, debarred, or voluntarily excluded from contracting by any local, state, or federal agency within the last 5 years? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment.		
Has this Proposer been released from a proposal in the past 5 years? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment.		
Has this Proposer, within the past 5 years, been convicted or had a civil judgement rendered against them by a court of competent jurisdiction in any matter involving fraud, anti-trust violations, theft, official misconduct, or other offenses indicating a lack of business integrity or business honesty? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment		
Is this Proposer currently indicted or otherwise criminally or civilly charged by a federal, state, or local government with fraud, anti-trust violations, theft, official misconduct, or other offenses indicating a lack of business integrity or business honesty? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment		
Has this Proposer ever defaulted on a project, had its bond pulled by an owner or failed to complete any contract awarded to it? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment.		
Has this Proposer ever refused to construct or refused to provide materials defined in the contract documents or in a change order? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment.		
Is this Proposer currently involved in any litigation or contemplating litigation? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment.		
Is this Proposer currently seeking protection under any bankruptcy law or sought protection under bankruptcy laws in the past five years? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide full details in a separate attachment		
Previous History with Owner		
List projects that have been completed with the Owner over the last 5 years. If more than 5 projects, list only the most recent.		
	Project Name	Year
1		
2		
3		
4		
5		

**Table 1 –General Information (Continued)**

<b>Previous Claims History and Litigation Experience</b>	
List all claims or litigation involving owners on other construction projects that have been active over the last 5 years or that are currently unresolved.	
Description of Claim or Litigation	Status
1	
2	
3	
4	
5	

<b>Surety</b>			
Surety Name			
Mailing address (principal place of business):		Physical address (principal place of business):	
Telephone (main number)		Telephone (claims notices)	
Name of Local Agent for Surety			
Telephone		Email	
Surety is a corporation organized and existing under the laws of the state of:			
Is surety authorized to provide surety bonds in the Project location? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Is surety listed in the U.S. Department of the Treasury’s Listing of Approved Sureties (Department Circular 570 “Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies”)? <input type="checkbox"/> Yes <input type="checkbox"/> No			

<b>Financial Summary Information for Proposer</b>		
Date of Proposer’s most current financial statement:		<input type="checkbox"/> Attached
Date of Proposer’s most current audited financial statement:		<input type="checkbox"/> Attached
Financial indicators from the most current financial statement:		
Proposer’s Current Ratio (Current Assets / Current Liabilities)		
Proposer’s Quick Ratio ((Cash and Cash Equivalents + Accounts Receivable + Short Term Investments) / Current Liabilities)		





<b>Safety Officer Experience and Certifications</b>			
Safety Officer			
Years of Experience			
Certification Name			
Issuing Agency			
Expiration			

**Table 2—Current Projects and Projects Completed within the last 5 Years**

Name of Organization								
Project Owner					Project Name			
General Description of Project								
Project Cost					Date Project Completed			
Key Project Personnel	Project Manager	Project Superintendent	Safety Manager	Quality Control Manager	[Other Position]	[Other Position]		
Name								
Reference Contact Information (listing names indicates approval to contacting the names individuals as a reference)								
	Name	Title/Position	Organization	Telephone	Email			
Owner								
Designer								
Construction Manager								
Project Owner					Project Name			
General Description of Project								
Project Cost					Date Project Completed			
Key Project Personnel	Project Manager	Project Superintendent	Safety Manager	Quality Control Manager	[Other Position]	[Other Position]		
Name								
Reference Contact Information (listing names indicates approval to contacting the names individuals as a reference)								
	Name	Title/Position	Organization	Telephone	Email			
Owner								
Designer								
Construction Manager								
Project Owner					Project Name			
General Description of Project								
Project Cost					Date Project Completed			
Key Project Personnel	Project Manager	Project Superintendent	Safety Manager	Quality Control Manager	[Other Position]	[Other Position]		
Name								
Reference Contact Information (listing names indicates approval to contacting the names individuals as a reference)								
	Name	Title/Position	Organization	Telephone	Email			
Owner								
Designer								
Construction Manager								

**Table 3a—Proposed Project Managers**

Name of Organization			
<b>Primary Candidate</b>			
Name of individual			
Years of experience as project manager			
Years of experience with this organization			
Number of similar projects as project manager			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	
<b>Alternate Candidate</b>			
Name of individual			
Years of experience as project manager			
Years of experience with this organization			
Number of similar projects as project manager			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	

**Table 3b–Proposed Project Superintendents**

Name of Organization			
<b>Primary Candidate</b>			
Name of individual			
Years of experience as project superintendent			
Years of experience with this organization			
Number of similar projects as project superintendent			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	
<b>Alternate Candidate</b>			
Name of individual			
Years of experience as project superintendent			
Years of experience with this organization			
Number of similar projects as project superintendent			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	

**Table 3c–Proposed Project Safety Managers**

Name of Organization			
<b>Primary Candidate</b>			
Name of individual			
Years of experience as project safety manager			
Years of experience with this organization			
Number of similar projects as project safety manager			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	
<b>Alternate Candidate</b>			
Name of individual			
Years of experience as project safety manager			
Years of experience with this organization			
Number of similar projects as project safety manager			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	

**Table 3d–Proposed Project Quality Control Managers**

Name of Organization			
<b>Primary Candidate</b>			
Name of individual			
Years of experience as quality control manager			
Years of experience with this organization			
Number of similar projects as quality control manager			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	
<b>Alternate Candidate</b>			
Name of individual			
Years of experience as quality control manager			
Years of experience with this organization			
Number of similar projects as quality control manager			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	

**Table 3e—[Other Key Personnel Position]**

Name of Organization			
<b>Primary Candidate</b>			
Name of individual			
Years of experience as <b>[Describe Role]</b>			
Years of experience with this organization			
Number of similar projects as <b>[Describe Role]</b>			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	
<b>Alternate Candidate</b>			
Name of individual			
Years of experience as <b>[Describe Role]</b>			
Years of experience with this organization			
Number of similar projects as <b>[Describe Role]</b>			
Number of similar projects in other positions			
Current Project Assignments			
Name of assignment		Percent of time used for this project	Estimated project completion date
Reference Contact Information (listing names indicates approval to contact named individuals as a reference)			
Name		Name	
Title/Position		Title/Position	
Organization		Organization	
Telephone		Telephone	
Email		Email	
Project		Project	
Candidate's role on project		Candidate's role on project	



**NOTES TO USER: Table 4–Project Information for Key Personnel**

Name of Organization								
<b>Provide information on all projects completed by the Organization within the last 5 years</b>								
Project Owner					Project Name			
General Description of Project:								
<b>Project Budget and Schedule Performance</b>								
Budget History	Amount		% of Contract	Schedule Performance		Date	Days	
Original Contract Price				Notice to Proceed				
Change Orders				Contract Substantial Completion Date at Notice to Proceed				
Owner Enhancements				Contract Final Completion Date at Notice to Proceed				
Unforeseen Conditions				Change Order Authorized Substantial Completion Date				
Design Issues				Change Order Authorized Final Completion Date				
Total				Actual / Estimated Substantial Completion Date				
Final Cost				Actual / Estimated Final Completion Date				
<b>Key Project Personnel</b>								
		Project Manager	Project Superintendent	Safety Manager	Quality Manager	[Other Position]	[Other Position]	
Name								
Percentage of time devoted to the project.								
Percentage of time proposed for this Project.								
Did Individual start and complete the project?								
If not, who started or completed the project?								
Reason for change?								
<b>Reference Contact Information (listing names indicates approval to contacting the names individuals as a reference)</b>								
	Name		Title/Position		Organization	Telephone	Email	
Owner								
Designer								
Owner's Advisor								
Surety								
<b>Issues / disputes resolved or pending resolution by arbitration, litigation, or dispute review boards</b>								
Number of issues resolved		Total amount involved in resolved issues			Number of issues pending		Total amount involved in issues pending	





## **Appendix B - Surety Letter/Certificate and Acknowledgement**

## Surety Letter/Certificate and Acknowledgement<sup>1</sup>

**[Name of Surety/Insurance company]** (“SURETY”) HEREBY CERTIFIES TO WARRENSBURG, MO, AS OF THIS [\_\_\_\_\_] [insert date] THAT:

1. The Surety is a licensed bonding surety, currently authorized to conduct business in the State of Missouri;
1. The Surety is listed on the U.S. Department of the Treasury’s “Listing and Approved Sureties” (accessible at the following weblink: <https://www.fiscal.treasury.gov/fsreports/ref/suretyBnd/c570.htm>);
2. The Surety’s rating is [\_\_\_\_\_] , and rated by [\_\_\_\_\_] [ and [\_\_\_\_\_] ]<sup>2</sup>;
3. The Surety is providing this Letter/Certificate and Acknowledgement for the [Proposer] [other entity];
4. The Surety has reviewed the Request for Qualifications (“RFQ”), to provide Construction Manager at Risk project delivery for the Maguire Street Corridor Upgrade Project, Warrensburg, MO.
5. The Surety has evaluated [Proposer’s] [other entity’s] financial statements and capability, backlog, and work-in-progress in determining its bonding capacity;
6. The Surety understands the bonding requirements associated with alternative project delivery models and any Project-specific requirements identified as anticipated to be required of the selected Construction Manager at Risk under the Contract;
7. If the Proposer is selected as a Short-Listed Proposer, the Surety shall perform further diligence as to whether the [Proposer]/[other entity] can obtain a performance bond and a payment bond to cover payment and performance under the Contract, each in the amount of \$20 million; and
8. [insert if applicable] [certification regarding analysis of the factors surrounding any proposed or anticipated material changes in the financial condition of the entity on behalf of which this Certificate and Acknowledgment is given, identifying any special conditions that may be imposed before issuance of surety bonds for the Project.]

SURETY HEREBY ACKNOWLEDGES THAT the City of Warrensburg, MO has not yet determined the specific amount of payment and performance bonds that it will require for the Project, which may ultimately require payment and performance bond amounts in excess of the \$20 million amount referenced above for each payment bond and performance bond.

Capitalized terms used but not defined herein shall have the meanings set forth in the RFQ.

IN WITNESS WHEREOF, the undersigned is the [\_\_\_\_\_] [insert title] of the Surety, to which this Certificate and Acknowledgment relates, and has duly executed this Certificate and Acknowledgment as of the date first written above.

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

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

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<sup>1</sup> Surety/Insurance company to adjust this form as necessary to identify the entity for which the certification is offered. If the entity to obtain the bonds is a joint venture, partnership, limited liability company, or other association, separate letters for one or more of the members of the Proposer team are acceptable.

<sup>2</sup> The Owner requires that the certifying surety has an A.M. Best and Company rating level of A- or better and Class A-X or better.