

State of New Jersey

DEPARTMENT OF THE TREASURY
DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION

REQUEST FOR CLASSIFICATION

ATTENTION CONTRACTOR

Enclosed is the Contractors Request for Classification Booklet (DPMC 27) which, when completed and submitted with the mandatory financial statement and other documentation provides the data required to post your firm on the active bid list for State projects described herein.

Please submit the completed application and all required documentation to this office. Upon review and approval of this application, your firm will be notified by mail of the effective and expiration dates, type of work, and rating assigned to your firm.

There is a non-refundable fee of \$100.00 which must be submitted with the application. All payments must be made on company checks (no-cash) made payable to "Treasurer, State of New Jersey". No application will be processed without the fee.

If you have any questions, please contact the Contractor Classification unit by accessing the DPMC web site at www.state.nj.us/treasury/dpmc/. NOTE: It is suggested that a photocopy of this completed form be retained for your records.

REQUEST FOR CLASSIFICATION (DPMC27)

STATE OF NEW JERSEY - DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION

RETURN ALL FORMS AND FINANCIAL STATEMENTS TO:
DPM&C Contractor Classification
33 W State St, PO Box, 034 Trenton, NJ 08625-0034

FORM 1 - CERTIFICATION, EXPERIENCE AND LICENSING



Check One: New Renewal

Signature of Officer _____ Title _____

Contact Person :

Name : _____

Phone: (____) _____

Signature of Preparer _____ Title _____ Date _____ Fed ID # _____

SUBMITTED BY (Firm name, Street, City, ZIP, Contact Person)

TELEPHONE NO
(____) _____

TYPE OF BUSINESS

- SOLE PROPRIETOR
 PARTNERSHIP
 CORPORATION LLC

E-Mail Address

FAX NO
(____) _____

If the books and accounts of the organization are not at the above address, enter location where they are kept.

- Is your firm certified as a
 Minority Business Enterprise
 Woman Business Enterprise with NJ Commerce Dept
 Small Business Enterprise
(check all that apply)

CONSTRUCTION EXPERIENCE

| | | |
|---|---|--|
| 1. Name of Equal Opportunity Officer | 2. Location of Equal Opportunity Officer | 3. Percentage of contract work performed by your own employees excluding subcontracting _____% |
| 4. How many years has your organization been in business as a contractor under your present business name? _____ Years | 5. Is your company owned by another firm? <input type="checkbox"/> NO <input type="checkbox"/> YES (If yes, attach details) | 6. Has your company been owned by another firm in the past? <input type="checkbox"/> NO <input type="checkbox"/> YES (If yes, attach details) |
| 7. Are any owners, partners or principals of your company affiliated with any other firm(s) as employees, shareholders or directors? <input type="checkbox"/> NO <input type="checkbox"/> YES (If yes, attach details) | 8. In the past 5 years, have any of the owners, partners, or principals of your company held similar positions or been employees, shareholders or directors of a company engaged in the same or similar type of business for which classification is sought? <input type="checkbox"/> NO <input type="checkbox"/> YES <i>(If Yes, in an attachment, identify all such companies and indicate whether they remain actively engaged in the business. If not, explain why.)</i> | |

CONSTRUCTION EXPERIENCE OF THE PRINCIPAL INDIVIDUALS OF YOUR COMPANY

| INDIVIDUAL'S NAME | PRESENT POSITION OR OFFICE | LENGTH OF TIME EMPLOYED BY YOUR ORGANIZATION | NO. OF YEARS CONSTRUCTION EXPERIENCE | BIRTH DATE | SOCIAL SECURITY # |
|-------------------|----------------------------|--|--------------------------------------|------------|-------------------|
| | | | | | |
| | | | | | |

NOTE: If more space is required for the principal individuals of your company, attach additional sheets.

THIS SECTION TO BE COMPLETED FOR A CORPORATION

IF NOT INCORPORATED IN NEW JERSEY



Submit copy of current Certificate of Authority to perform work in New Jersey as issued by N.J. Secretary of State.

Name of Registered Agent in New Jersey: _____

LICENSE INFORMATION (Photocopy of License and Business Permit where applicable must be attached)

| TYPE OF LICENSE | LICENSE / CERTIFICATION NUMBER | LICENSEE NAME (NOT COMPANY NAME, MUST BE SAME AS LICENSEE) | EFFECTIVE DATE | EXPIRATION DATE | BIRTH DATE | SOC SEC NO |
|--------------------------|--------------------------------|--|----------------|-----------------|------------|------------|
| ELECTRICAL | E | | | | | |
| PLUMBING | B | | | | | |
| WELL DRILLING | | | | | | |
| ASBESTOS | | | | | | |
| LEAD PAINT ABATEMENT | | | | | | |
| UNDERGROUND STORAGE TANK | | | | | | |
| SPRINKLER SYSTEMS | | | | | | |
| FIRE ALARM/SIGNAL | | | | | | |
| Landscape Irrigation | | | | | | |
| HVACR | | | | | | |

FORM 2—STOCKHOLDER/Common Disclosure
 STATE OF NEW JERSEY—DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION



FIRM NAME

FEDERAL ID NO

INSTRUCTIONS: List below the names, home addresses, dates of birth, social security numbers, offices held and ownership interest of all officers and all individuals, partnerships, corporations or any other owner with 10% or more named on the preceding page. All questions must be answered. If more space is needed, list on separate sheet.

| NAME | HOME ADDRESS | BIRTH DATE | SOC SEC NO | OFFICE HELD | PERCENT OF OWNERSHIP |
|------|--------------|------------|------------|----------------|----------------------|
| | | | | PRESIDENT | |
| | | | | VICE PRESIDENT | |
| | | | | SECRETARY | |
| | | | | TREASURER | |

COMPLETE ALL QUESTIONS BELOW

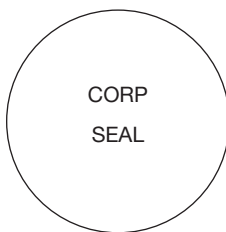
| | YES | NO |
|--|--------------------------|--------------------------|
| 1. Is the firm identified above owned or affiliated with any other company and/or corporation or are any principals listed above an owner or shareholder of any other company, partnership or corporation? <i>(If yes, complete a separate disclosure form for the parent company and/or affiliates.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Has any agency of government experienced delay in completion, additional expense, liens or claims filed against the performance or payment bonds in the past five years? <i>(If yes, attach a detailed explanation for each instance.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Within the past five years has the firm identified above been owned by another company or corporation? <i>(If yes, complete a separate disclosure form for the previous owner and/or affiliates.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Has any person or entity listed in this application ever been arrested, charged, indicted or convicted of a crime by the State of New Jersey, any other State or the U.S. Government? <i>(If yes, attach a detailed explanation for each instance.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Has any person or entity listed in this form ever been suspended, debarred or otherwise declared ineligible by an Agency of Government from bidding or contracting to provide services, labor, material, or supplies? <i>(If yes, attach a detailed explanation for each instance.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Have there been any administrative, civil or criminal matters pending in any federal, state, or local governmental jurisdiction in which this firm or its responsible employees are involved? <i>(If yes, attach a detailed explanation for each instance.) This also includes any prevailing wage adjudications.</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Has any federal, state, or local government license, permit or similar authorization necessary to perform the work applied for herein and held or applied for by any person or entity listed in this form been suspended or revoked, or is it the subject of any pending proceedings specifically seeking or litigating the issue of suspension or revocation? <i>(If yes to any part of this question attach a detailed explanation for each instance.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |

CERTIFICATION: I, being duly sworn, upon my oath, hereby represent and state that the foregoing information and any attachments thereto to the best of my knowledge are true and complete. I acknowledge that the State of New Jersey is relying upon the information contained herein and thereby acknowledge that I am under continuing obligation from the date of this certification through the completion of any contracts with the State to notify the State in writing of any changes to the answers or information contained herein. I acknowledge that I am aware that it is a criminal offense to make a false statement or misrepresentation in this certification, and if I do so, I recognize that I am subject to criminal prosecution under the law and that it will also constitute a material breach of my obligations to the State of New Jersey and that the State, at its option, may declare any contract(s) resulting from this certification void and unenforceable and take any other action including debarment, suspension, etc., that the State may deem appropriate. I, being duly authorized, certify that the information supplied above, including all attached pages, is complete and correct to the best of my knowledge.

ATTESTED: Sworn and subscribed to before me

SIGNATURE: _____ DATE: _____
 (Officer or Principal)

on the _____ day of _____, 20____



NAME: _____
 (Please print or type)

Signature: _____
 (Notary Public - Not an officer of the firm)

TITLE: _____

Firm Name

Form 3-TRADES REQUESTED
STATE OF NEW JERSEY-DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION

INSTRUCTIONS: Place a check () next to each trade classification that your company intends to submit a bid. See N.J.A.C 17:19-2.7 for further details

| | | | |
|---|--|---|---|
| <p>___ C006 Construction Manager as Constructor ___ C007 Design Build</p> <p>___ C008 General Construction ___ C009 General Construction/Alterations and Additions ___ C010 Partitions /Ceilings ___ C011 Doors and Hardware ___ C012 Windows ___ C013 Siding and Gutters ___ C014 Carpeting ___ C015 Flooring/Tile ___ C016 Millwork ___ C017 Insulation ___ C018 Acoustical ___ C019 Concrete/Foundation Footings/Masonry work ___ C020 Guniting ___ C021 Demolition ___ C022 Fencing ___ C023 Historical Light Fixture Restoration ___ C024 Historical Restoration ___ C025 Pre-cast Concrete ___ C026 Curtain Walls ___ C027 Architectural Cast Iron ___ C028 Welding ___ C029 Structural Steel and Ornamental Iron ___ C030 Plumbing* ___ C031 Oil and Gas Burners ___ C032 HVACR* ___ C033 Boilers (New Repair) ___ C034 Service Station</p> | <p>___ C035 Solar Energy Systems ___ C036 Energy Services (ESCO) ___ C038 Geothermal Loop Systems ___ C040 Fireproof Applications ___ C041 Insulation/Mechanical ___ C042 Incinerators ___ C043 Control Systems ___ C044 Parking and Control Systems ___ C045 Sprinkler Systems * ___ C046 Sheet Metal (Mechanical) ___ C047 Electrical* ___ C048 Communications Systems ___ C049 Fire Alarm/Signal Systems * ___ C050 Security/Intrusion Alarms ___ C052 Audio Visual Systems ___ C054 Site Work ___ C055 Sewage and Water Treatment Plants ___ C056 Sewer Piping and Storm Drains ___ C057 Landscape Construction ___ C058 Underground Water and Utilities ___ C059 Road Construction and Paving ___ C060 Athletic Fields/Tracks/Courts ___ C061 Athletic Fields/Synthetic Turf ___ C062 Pumping Stations ___ C065 Landscape Irrigation* ___ C066 Roofing-Membrane EPDM ___ C067 Roofing-Membrane PVC/CPE/CSPE</p> | <p>___ C068 Roofing Membrane Modified Bitumen ___ C069 Roofing-Urethane ___ C070 Roofing-Built Up ___ C071 Roofing -Metal ___ C072 Roofing-Tile/Slate/Shingles ___ C073 Caulking and Waterproofing ___ C074 Scaffolding ___ C075 Roofing-Historical Sites ___ C076 Roofing-TPO ___ C077 Painting-General ___ C078 Painting-Tanks/Steel Structures/Elevated Structures ___ C079 Painting-Historical Sites ___ C080 Sandblasting ___ C081 Divers ___ C082 Barges ___ C083 Bulkhead and Docks ___ C084 Jetty and Breakwater ___ C085 Dredging ___ C086 Pile Driving ___ C089 Prefabrication Buildings ___ C090 Prefabrication Music/Sound Clean Rooms ___ C091 Relocatable Buildings ___ C092 Asbestos Removal/ Treatment* ___ C093 Asbestos Removal/Mechanical* ___ C094 Waste Removal Toxic/Hazardous ___ C095 Radon Mitigation ___ C096 Lead Paint Abatement*</p> | <p>___ C097 Detention Equipment Systems ___ C098 Energy Management Systems ___ C099 Elevators ___ C100 Museum Exhibits ___ C101 Test Boring ___ C102 Well Drilling* ___ C103 Microbial Remediation ___ C104 Food Service Equipment ___ C105 School Furnishings ___ C106 Lab Furniture/Equipment ___ C107 Seating/Bleachers ___ C108 Swimming Pools ___ C109 Dust Collectors ___ C110 Signage and Graphics ___ C111 Septic Systems ___ C112 Stage Equipment ___ C113 Underground Storage Tanks/Closure & Installation* ___ C114 Underground Storage Tanks/Installation* ___ C115 Underground Storage Tanks/Closure* ___ C116 UST/Tank Testing ___ C117 Underground Storage Tanks/Corrosion Protection Systems Analysis* ___ C118 Above Ground Storage Tanks ___ C119 Site Remediation* ___ C120 Inside Plant cable* ___ C121 Outside Plant cable* ___ C122 Fiber Installation & Splicing*</p> |
|---|--|---|---|

*Copies of License must be attached

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|---|------|------|------|------|------|------|------|------|--|------|------|------|------|------|---|---|------|------|--|------|------|------|------|------|--|------|------|--|---|------|------|------|------|------|------|------|------|------|------|------|------|---|
| <p>(a) A Contractor who is classified in trade C006, Construction Manager as Constructor, shall also be classified in the C008 trade. Both C006 and C008 trades shall also be deemed classified for the following trades:</p> <table border="0"> <tr><td>C009</td><td>C015</td><td>C026</td><td>C073</td><td>C104</td></tr> <tr><td>C010</td><td>C016</td><td>C054</td><td>C077</td><td>C105</td></tr> <tr><td>C011</td><td>C017</td><td>C055</td><td>C080</td><td>C106</td></tr> <tr><td>C012</td><td>C018</td><td>C057</td><td>C089</td><td>C107</td></tr> <tr><td>C013</td><td>C019</td><td>C059</td><td>C090</td><td></td></tr> <tr><td>C014</td><td>C022</td><td>C062</td><td>C097</td><td></td></tr> </table> | C009 | C015 | C026 | C073 | C104 | C010 | C016 | C054 | C077 | C105 | C011 | C017 | C055 | C080 | C106 | C012 | C018 | C057 | C089 | C107 | C013 | C019 | C059 | C090 | | C014 | C022 | C062 | C097 | | <p>(d) A contractor who is classified in trade C009, General Construction/Alterations & Additions, shall also be eligible to bid on contracts including the following specialty trades, but shall be required to engage a subcontractor who is classified in the specialty trades listed.</p> <table border="0"> <tr><td>C026</td><td>C067</td><td>C070</td><td>C076</td></tr> <tr><td>C034</td><td>C068</td><td>C071</td><td>C091</td></tr> <tr><td>C066</td><td>C069</td><td>C072</td><td>C099</td></tr> </table> | C026 | C067 | C070 | C076 | C034 | C068 | C071 | C091 | C066 | C069 | C072 | C099 | <p>(i) A contractor who is classified in trade C047 Electrical, shall be deemed classified for the following trades:</p> <p align="center">C048 C049 C050</p> |
| C009 | C015 | C026 | C073 | C104 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C010 | C016 | C054 | C077 | C105 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C011 | C017 | C055 | C080 | C106 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C012 | C018 | C057 | C089 | C107 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C013 | C019 | C059 | C090 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C014 | C022 | C062 | C097 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C026 | C067 | C070 | C076 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C034 | C068 | C071 | C091 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C066 | C069 | C072 | C099 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>(b) A contractor who is classified in trade C008, General Construction, shall also be eligible to bid on contracts including the following specialty trades but shall be required to engage a subcontractor who is classified in the specialty trades listed</p> <table border="0"> <tr><td>C020</td><td>C066</td><td>C069</td><td>C072</td></tr> <tr><td>C060</td><td>C067</td><td>C070</td><td>C091</td></tr> <tr><td>C076</td><td>C068</td><td>C071</td><td>C099</td></tr> <tr><td></td><td></td><td></td><td>C061</td></tr> </table> | C020 | C066 | C069 | C072 | C060 | C067 | C070 | C091 | C076 | C068 | C071 | C099 | | | | C061 | <p>(e) A contractor who is classified in trade C030, Plumbing, shall also be deemed classified in trade C041.</p> | <p>(j) A contractor who is classified in trade C047, Electrical shall also be eligible to bid on contracts including the following specialty trades, but shall be required to engage a subcontractor who is classified in the specialty trades listed.</p> <p align="center">C043</p> | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C020 | C066 | C069 | C072 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C060 | C067 | C070 | C091 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C076 | C068 | C071 | C099 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | C061 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>(c) A contractor who is classified in trade C009, General Construction/Alterations & Additions, shall also be deemed classified for the following trades:</p> <table border="0"> <tr><td>C010</td><td>C015</td><td>C020</td><td>C059</td></tr> <tr><td>C011</td><td>C016</td><td>C022</td><td>C073</td></tr> <tr><td>C012</td><td>C017</td><td>C054</td><td>C077</td></tr> <tr><td>C013</td><td>C018</td><td>C057</td><td>C080</td></tr> <tr><td>C014</td><td>C019</td><td>C057</td><td>C089</td></tr> </table> | C010 | C015 | C020 | C059 | C011 | C016 | C022 | C073 | C012 | C017 | C054 | C077 | C013 | C018 | C057 | C080 | C014 | C019 | C057 | C089 | <p>(f) A contractor who is classified in trade C030, Plumbing, shall also be eligible to bid on contracts including the following specialty trades, but shall be required to engage a subcontractor who is classified in the specialty trades listed:</p> <table border="0"> <tr><td>C055</td><td>C056</td><td>C058</td><td>C062</td><td>C104</td></tr> </table> | C055 | C056 | C058 | C062 | C104 | <p>(k) A contractor who is classified in trade C058 Underground Water and Utilities shall also be deemed classified in C111.</p> | | | | | | | | | | | | | | | | | |
| C010 | C015 | C020 | C059 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C011 | C016 | C022 | C073 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C012 | C017 | C054 | C077 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C013 | C018 | C057 | C080 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C014 | C019 | C057 | C089 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C055 | C056 | C058 | C062 | C104 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <p>(g) A contractor who is classified in trade C032, HVACR, shall also be deemed classified for the following trades:</p> <table border="0"> <tr><td>C031</td><td>C033</td><td>C041</td></tr> <tr><td></td><td>C109</td><td>C042</td></tr> <tr><td></td><td></td><td>C046</td></tr> </table> | C031 | C033 | C041 | | C109 | C042 | | | C046 | <p>(l) A contractor who is classified in C113 Underground Storage Tanks/Closure & Installation shall also be deemed classified for the following trades listed:</p> <table border="0"> <tr><td>C114</td><td>C115</td><td>C118</td></tr> </table> | C114 | C115 | C118 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C031 | C033 | C041 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | C109 | C042 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | C046 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C114 | C115 | C118 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <p>(h) A contractor who is classified in trade C032, HVACR, shall also be eligible to bid on contracts including the following specialty trades, but shall be required to engage a subcontractor who is classified in the specialty trades listed:</p> <p align="center">C043 C090</p> | <p>(m) A contractor who is classified in C114 Underground storage Tanks/Installation, shall also be deemed classified in C118</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | <p>(n) A contractor who is classified in C092 Abestos Removal/Treatment, shall also be deemed classified in C093</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | <p>(o) A contractor who is classified in trade C029 Shall also be deemed classified in C028</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Note: If this form is not completed your application will be rejected.

| Firm Name | | | | Instructions: List at least two completed projects for each classification requested for on page 4 of this booklet. Be sure to use the largest projects for each trade. List only projects completed within the past 5 years. Give details. Use additional Sheets if necessary. | | | | | | | | | |
|--|---|--------------------------|-----|--|--|-----------------------|----|-------------------------------|-----------------------------|---|-----------------------------------|--|--|
| Form 4—Project Experience STATE OF NEW JERSEY—DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION | | | | | | | | | | | | | |
| NAME OF OWNER, COMPLETE ADDRESS AND TELEPHONE NO. | PROJECT LOCATION AND SPECIFIC TYPE OF WORK PERFORMED BY YOUR ORGANIZATION | CHECK PRIME OR SUB-CONTR | | LIST NAME AND TELEPHONE NO. OF ARCHITECT/ENGINEER OR PERSON IN CHARGE FOR OWNER | CONTRACT PRICE (Omit Cents) (Your portion of the contract) | APPROX DATE COMPLETED | | WAS TIME EXTENSION NECESSARY? | WERE ANY PENALTIES IMPOSED? | WERE LIENS CLAIMS OR STOP NOTICE FILED? | "YES" ANSWERS: ATTACH EXPLANATION | | |
| | | PR | SUB | | | MO | YR | | | | | | |
| 1 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | |
| | Trade C_____ | | | | | | | | | | | | |

FORM 5—AFFIRMATIVE ACTION AFFIDAVIT

STATE OF NEW JERSEY—DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION

Firm name



NOTE: This form must be completed and returned with your classification form, or your application to be classified will not be considered.

STATE OF _____ }
COUNTY OF _____ }

_____ of the firm of _____
(Name) (Firm Name)

being sworn according to law on his oath deposes and says that:

1. I am authorized to make this affidavit on behalf of _____
(Firm Name)
2. In addition to an agreement to comply with an Affirmative Program as required by the New Jersey Public Law 1975, Chapter 127 for equal employment opportunity as part of classification requirements, we do hereby further affirm that we will comply with the rules and regulations which are and/or may be promulgated by the State Treasurer pursuant to the Affirmative Action Law (PL 1975, C.127), as amended and supplemented.

BY _____
TITLE _____



ATTESTED: Sworn and subscribed to before me

on the _____ day of _____, 20____

SIGNATURE: _____
(Notary Public—Not an officer of the firm)

FORM 6—SURETY AFFIDAVIT (to be completed by bonding company).

STATE OF NEW JERSEY—DIVISION OF PROPERTY MANAGEMENT AND CONSTRUCTION

*Please note: Surety Company completing this form must currently be authorized to do business in the State of New Jersey.

| | | |
|-----------------|---|--|
| TO: | FIRM NAME | |
| FROM: | SURETY COMPANY NAME | |
| SUBJECT: | Classification to perform Construction for the State of New Jersey: | |

Reserving our rights to practice our normal underwriting functions, we are prepared to provide favorable consideration for the suretyship on behalf of _____ covering construction performance and payment bonds for
(Name of Contractor)

construction contracts in the aggregate amount of outstanding contracts during the twenty four (24) month period _____.
(Date)

The applicant firm's bonding capacity is; Aggregate: \$ _____

The surety amount indicated is based upon the applicant's compiled reviewed audited financial report for the fiscal period ending _____.

Our willingness to extend suretyship will be based on our underwriting of the account at the time the contractor requests approval. We, as surety, will maintain the absolute discretion to issue or withhold bonds as to each project which the contractor may seek to bid.

In writing bonds for the applicant firm, does the surety company rely on the indemnity of any individual(s) or any other firm(s)?

NO YES If YES, supply names and addresses of others: _____

| |
|---|
| <p align="center">NOTARY PUBLIC</p> <p>ATTESTED: Sworn and subscribed to before me</p> <p>on the _____ day of _____</p> <p>SIGNATURE _____ 20 ____.</p> <p>(NOTARY SEAL)</p> |
|---|

| |
|--|
| <p align="center">SURETY COMPANY</p> <p>BY: _____</p> <p align="center">_____ (Signatory Capacity) (Date)</p> <p>ADDRESS: _____</p> <p>TELEPHONE NO: _____</p> <p><i>(If signed by an individual other than an Authorized Officer, include properly executed Power of Attorney.)</i></p> |
|--|

FORM 7

Firm Name

Financial Record Information

1) For each working capital line of credit provided by a certified lending institution, provide details below and attach Current documentation evidencing the amount available as of the date of notarized certification on this DPMC-27. (Attach a copy of lending covenants and agreements).

| Amount of Credit | Amount Owed | Termination Date (Mo/Yr) | Name and Address of Lending Institution | Name and Phone # of Loan Officer |
|------------------|-------------|--------------------------|---|----------------------------------|
| | | | | |
| | | | | |

2) Has the applicant firm or its principals ever failed to complete a contract due to the following?

- Financial Constraints Yes No
- Non-Compliance with Loan Covenant Yes No
- Non-Compliance with Surety Covenant Yes No
- Contractual Dispute Yes No

If yes, provide details in a separate attachment.

Firm Name: _____

ATTENTION: If you do not complete your Request for Classification Booklet (DPMC-27) correctly, you may miss out on the opportunity to bid construction projects. Incorrect applications will delay the processing of your classification or may cause rejection of your application.

Please be sure the Contractor checklist has been completed to help ensure timely processing of your application.

CONTRACTOR CHECKLIST

- Did you affix your signature on pages 2, 3 and 6?
- Did you answer all questions on pages 2, 3, 5 and 8?
- Did you affix Corporate seal and notarize pages 3 and 6?
- Did you complete and attach a Financial Statement composing at least a six (6) month accounting cycle in accordance with NJAC 17:19-2.1? The Financial Statement cannot be more than 12 months old.
- Did you complete and attach the license information as requested on page 2?
*Electrical and Plumbing licenses must be in the name of the company. The Plumbing licensee must be at least a 10% owner in the company.
- If you are incorporated in another state, did you attach a current (issued within the last year) "Certificate of Authority" to perform work in New Jersey as requested on page 2?
- Have you completed a separate form 2 for each affiliated company?
- New applicants and contractors seeking to add a trade(s) must include copy of signed contracts for 2 completed projects as required by NJAC 17:19-2.7. Each contract must include a detailed scope of work.
- Original copy of Surety Affidavit (page 7) must be submitted by firms requesting rating in excess of \$200,000. The Surety Affidavit must be based on the same financial statement submitted with the application.
- Small Business Enterprise firms must submit a copy of the approval notice issued by the Set-Aside and Certification Office, Commerce and Economic Growth Commission.
- Did you attach a copy of your "Business Registration" issued by the New Jersey Department of Treasury, Division of Revenue?
- Did you attach a current copy of your "Public Works Contractor Registration Act Certificate" issued by the New Jersey Department of Labor?
- Did you attach a company check (non-refundable) in the amount of \$100.00 made payable to the "Treasurer State of New Jersey?"

Chapter 19

CLASSIFICATION AND PREQUALIFICATION OF FIRMS

Authority

N.J.S.A. 52:34-9.1 et seq., and 52:35-11

Source and Effective Date

R.2016 d.181, effective December 19, 2016
Sec: 48 N.J.R. 1495(a)

Chapter Expiration Date

In accordance with the N.J.S.A. 52:14B-5.1b Chapter 19, Classification and Prequalification of Firms, expires on February 1, 2023. See: 43 N.J.R. 1203(a).

Chapter Historical Note

Chapter 19, Rules Governing the Classification and Qualification of Bidders, was adopted as R.1970 d.91, effective July 31, 1970. See: 2 N.J.R. 57(c), 2 N.J.R. 78(b).

Pursuant to Executive order No. 66(1978), Chapter 19, Rules Governing the Classification and Qualification of Bidders, was readopted as R.1990 d.193, effective March 8, 1990. See: 22 N.J.R. 329(b), 22 N.J.R. 1150(b).

Chapter 19, Rules Governing the Classification and Qualification of Bidders, was repealed and Chapter 19, Classification and Qualification of Bidders, was adopted as new rules by R. 1995 d. 90, effective February 21, 1995, operative March 23, 1995. See: 26 N.J.R. 474(b), 27 N.J.R. 755(a).

Pursuant to Executive order No. 66(1978), Chapter 19, Classification and Qualification of Bidders, was readopted as R.2000 d.76, effective January 28, 2000. See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

Chapter 19, Rules Governing the Classification and Qualification of Bidders, was repealed and Chapter 19, Classification and Prequalification of Firms, was adopted as emergency new rules by R.2003 d.171, effective April 2, 2003 (to expire June 1, 2003), See: 35 N.J.R. 1701(a).

Chapter 19, Classification and Prequalification of Firms, was adopted as new rules by R.2003 d.252, effective June 1, 2003. See: 35 N.J.R. 1701(a), 35 N.J.R. 2881(a).

Chapter 19, Classification and Prequalification of Firms, was readopted R.2008 d.363, effective October 31, 2008. As a part of R.2008 d.363, Subchapter 2, Rules, was renamed Classification of Firms; Subchapter 3, Debarment, Suspension and Disqualification of Firm(s) and Individual(s), was recodified as Subchapter 4; and Subchapter 4, Hearing Procedures, was recodified as Subchapter 5; and Subchapter 5, Consultant Prequalification and Selection Procedures, was recodified as Subchapter 3, effective December 1, 2008. See: Source and Effective Date. See, also, section Annotations.

Chapter 19, Discovery Procedures, was repealed and Chapter 19, Classification and Prequalification of Firms, was readopted R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

Law Review and Journal Commentaries

Battle for state contracts: What process is due in a challenge to a state contract award? Patrick D. Kennedy & Maeve F. Cannon. 180 N.J. Law, 16 (Mag) (Oct./Nov. 1996).

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SUBCHAPTER I. GENERAL PROVISIONS

17:19-1.1 Definitions

The following words and terms, when used in this chapter, shall have the following meanings, unless the context clearly indicates otherwise.

“Affiliates” or “related parties” means firms and/or persons having an overt or covert relationship such that any of them directly or indirectly controls or has power to control another.

“Agency consultant” means a firm that provides technical going and professional services to State agencies in support of construction projects or programs through limited task order assignments.

“Agency of government” means any Federal, State, regional, county or local government agency, in this or any other state, including any department, division, commission, authority, office, branch, section and political subdivision or other governmental or quasi-governmental entity.

“Aggregate rating” means the limit of the dollar value of all contracts, public and private, that a firm may perform at any given time.

“Chairperson” means the principal member of the DPMC’s consultant selection committee who is responsible for the management of the selection process.

“Classification” means the process and product of assigning specific construction categories or trades and the aggregate ratings that define the eligibility of firms to engage in public work as determined by the DPMC in accordance with this chapter.

“Client agency” means any State entity for which the DPMC provides professional and construction contracting services.

“Construction cost estimate (CCE)” means the estimated construction cost of a specific project.

“Consultant” means an architect, engineer, construction manager, or other professional service firm providing technical and professional services in support of a design or construction project.

“Cost proposal” means a specific fee proposal covering compensation for services as specified.

“Debarment” means an exclusion from public work contracting for a definite period of time.

“Deputy Director” means a Deputy Director of the DPMC or a Deputy Director’s duly authorized representative.

“Director” means the Director of the DPMC or the Director’s duly authorized representative.

“Disqualification” means exclusion from public work contracting until specific conditions or requirements are satisfied or denial or revocation of the opportunity to bid on or engage in a particular public work contract.

“DPMC” means the Division of Property Management and Construction in the State of New Jersey, Department of the Treasury.

“DPMC-27” means the request for classification form to be submitted by a firm seeking classification as a contractor.

“DPMC-48A” means the Professional Services Prequalification application submitted by a firm seeking prequalification as a consultant.

“DPMC-48T” means the Material Testing Laboratory prequalification application submitted by a firm seeking prequalification as a material testing laboratory.

“Final Project Performance Evaluation” (FPPE) means the mathematical average of all interim performance reviews for a contractor or a consultant on a completed project.

“Firm” means any company, sole proprietorship, partnership, association, corporation, joint stock company, limited liability company, or other business entity and their lessees, trustees, assignees or receivers.

“Major project” means a project with an anticipated cost for services greater than that allowed by the routine contract procedure or a project of a complex or specialized nature, which includes technical work requiring special licenses or certifications, new building technologies or processes, historical renovations, the potential for unforeseeable conditions, which may increase the project cost significantly, the need for increased competition, and/or the need to combine several smaller components or projects to ensure effective coordination and completion of the project(s) as determined by the Director.

“Member” means an individual appointed to serve on a selection committee.

“Prequalification” means a process of reviewing information and experience data to determine the prequalification level and professional disciplines of consultants and the result thereof.

“Prequalification level” means the maximum construction cost estimate dollar level for which a consultant is prequalified. Prequalification levels are established and periodically adjusted by the Director, in accordance with this chapter.

“Public work” means any public building or other public betterment or improvement constructed, repaired or improved wholly or in part at the expense of any agency of government required or permitted to use the DPMC’s classification of contractors and/or prequalification of design consultants.

“Ranking” means the process of combining the selection evaluations of all individual members of the selection committee and ordering the firms from highest to lowest total scores.

“Routine project” means a project with an anticipated cost for services less than that allowed in a major project as set forth in the DPMC’s policy.

“Selection committee” means the body responsible for selecting consultant firms for State projects.

“Selection coordinator” means the administrator of the day-to-day committee operations and procedures, including advertising of projects, scheduling of meetings, preparing agendas, rendering scores, preparing minutes of committee meetings and similar administrative responsibilities.

“Selection evaluation” means the numerical scoring of the consultant’s submission by an individual member of the selection committee.

“Significant project” means a project equal to or greater than the average dollar value of completed projects for the previous

three years. These projects may be public projects, private projects, or a combination of the two.

“State” means the State of New Jersey, or any of the departments or agencies in the executive branch of government with the lawful authority to engage in contracting.

“Suspension” means an exclusion from public work contracting for a period of time, pending the completion of an investigation, legal proceedings or administrative proceedings.

“Term contract” means a contract awarded to a consultant for a specific time period based upon the qualifications of the consultant firm and/or hourly rates for specific service categories.

“Trade” means a specific category of construction work for which a firm may be classified by DPMC in accordance with this subchapter.

“Work order” means a DPMC form to be used by a contracted consultant to submit proposals for approval for limited assignment task orders based on hourly rates for professional services to be provided to State government agencies.

Amended by R.2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

Inserted “Affiliate” or “related party”, “Agency of government” and “Division”: in “Director”, substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction; in “Person”, substituted a reference to partnerships for a reference to copartnerships; and rewrote “Questionnaire” as “Request for Classification or Questionnaire”.

Amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Added definitions “Agency consultant”, “Aggregate rating”, “Chairperson”, “Client agency”, “Construction cost estimate (CCF)”, “Consultant”, “Cost proposal”, “DPMC-48A”, “Financial Project Performance Evaluation”, “Major project”, “Member” “Prequalification”, “Prequalification level”, “Ranking”, “Routine project”, “Selection committee”, “Selection Coordinator”, “Selection evaluation”, “Term Contract”, “Work Order”, in definition “Classification”, substituted “that” for “which” in definitions, “Classification”, “Deputy Director”, and “Director” substituted “DPMC” for “Division of Property Management and Construction in the Department of Treasury”: in definition “Deputy Director”, substituted “a” for “the” following “or”: in definition “DPMC-27” for definition “DPMC”, inserted “State of New Jersey”: substituted definition “DPMC-27” for definition “DPMC-27”: in definition “Firm” deleted “firm” preceding “sole” in definition “Public work”, substituted “repaired” for “repair”, and inserted “the” preceding “DPMC’s” and inserted “and/or” prequalification of design consultants”.

Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

Deleted “q” in front of “words” and inserted “,” after “chapter”. Added definitions “DPMC-48T” and “Trade”. In definition “Significant project” substituted “three” for “two”.

SUBCHAPTER 2. CLASSIFICATION OF FIRMS

17: 19-2.1 Statements required from firms requesting classification

(a) Only those firms holding a valid classification in a trade as issued by the DPMC shall be eligible to bid for work in that specified trade on a public works project, unless otherwise permitted by law. In addition, no bid proposal for a public works project shall be accepted unless every subcontractor in every trade required by law, the bid advertisement, or the bid documents, to be named in the bid proposal holds a valid classification issued by the DPMC in the trade for which that subcontractor is named. Said classification and rating must be valid on the bid due date for the project.

(b) Each DPMC-27 shall be completed in its entirety and all questions must be answered and all requested information must be provided. Incomplete submissions will not be processed by the DPMC. All financial statements shall conform with generally accepted accounting principles and be completed by either a certified public accountant (CPA) or public accountant, pursuant to N.J.S.A. 45:2B-42 et seq., who is independent of and not an employee of the firm for which the financial statements are being provided. Information required by the DPMC-27 includes:

1. A financial statement, which may be a certified audited statement, review statement, or compilation of statements, depending upon the aggregate rating being sought by the firm. The firm must submit its most recent financial statement, which shall not be more than 12 months old. The financial statement shall include a cover letter signed by the public accountant or CPA who prepared the document. The financial statement shall include at a minimum a balance sheet, related statements of income and retained earnings and cash flows and notes to financial statements in complete detail and shall comprise at least a six-month accounting cycle. The certified audited financial statements shall have an unqualified opinion.

i. Submission of a compilation of financial statements will limit a firm’s maximum aggregate rating to not more than \$5,000,000.

ii. Submission of a CPA review of financial statements will limit a firm’s maximum aggregate rating to not more than \$1 5,000,000.

iii. Submission of a CPA’s certified audited financial statement will be required for aggregate ratings exceeding \$1 5,000,000.

iv. Submission of combined or consolidated statements is not acceptable, unless complete supplementary (combining or consolidating) information is included with the report. This information shall be of such detail as to show the financial condition of the particular firm seeking classification:

v. Where the firm seeking classification is a subsidiary of a parent firm, submission of the parent company’s 10K report (annual report required by the U.S. Securities and Exchange Commission) is permissible, if it contains a sufficient separate breakdown of information regarding the financial status and condition of the subsidiary firm. If the 10K report does not provide information clearly reflecting the financial condition of the subsidiary firm, a balance sheet provided by the firm’s in-house accountant detailing current assets and liabilities will be acceptable, provided that the information is certified as both accurate and consistent with the 10K report, by the person who has signed the 10K report on behalf of the parent company.

2. A statement as to organization, which shall demonstrate the adequacy of the firm (officers, key management personnel).

physical plant and equipment) to undertake a project in the classification(s) requested. A current listing of non-supervisory personnel must also be provided. If the firm uses trades and or employees from a leasing company, such company must be registered in conformance with N.J.S.A. 34:8-67 et seq. A copy of the leasing agreement and New Jersey Department of Labor Registration of the leasing company must be included;

3. A statement as to prior experience, which shall show the number of years that the firm has been engaged in the contracting business and shall further disclose the firm's experience over that period.

i. In no instance shall a firm with less than one year of such experience be classified, unless the firm demonstrates that its principals have at least five years of experience in each trade for which the firm is seeking classification.

ii. The firm shall indicate the number of years of construction experience that the firm has had by trade, as a prime contractor and as a subcontractor. In such statement, the firm may show the experience of officers, managers and key personnel:

4. A statement as to the past performance and project experience, which shall give an accurate and complete record of work completed in the past five years by the firm giving the names of each project, type of work, location, contract price, and the names of the owner and of the architect/engineer in charge for the owner. At least two significant projects that have been completed must be described for each trade requested. A copy of contracts for the completed significant projects must be provided;

5. A statement that the firm has adopted or will comply with an Affirmative Action Program for Equal Opportunity in accordance with applicable New Jersey and Federal laws, rules and regulations;

6. A statement of the firm's bonding capacity, as required by N.J.A.C. 17:19-2.9, which shall be from a surety authorized to issue bid, performance and payment bonds in the State pursuant to N.J.S.A. 2A:44-143;

7. A statement setting forth the names and addresses of all stock holders, partners or members owning a 10 percent or greater interest in the firm. If one or more stockholders, partners or members are a corporation, partnership or limited liability company owning a 10 percent or greater interest in the firm, the statement shall also set forth the names and addresses of all stock holders, partners or members owning a 10 percent or greater interest in that corporation, partnership or limited liability company. Disclosure of the names and addresses of all stockholders, partners or members owning a 10 percent or greater interest shall continue at each level of ownership until all stockholders, partners or members owning a 10 percent or more interest have been disclosed; and

8. A statement setting forth any other pertinent material and facts that will justify the classification requested by the firm.

(c) All foreign corporations shall include a current certificate of authority to transact business in New Jersey, issued pursuant to N.J.S.A. 14A:13-3 et seq.

(d) All firms shall furnish a current copy of all applicable licenses and permits as required in the DPMC-27. All licenses and permits for electrical, HVACR, and plumbing contractors must be issued in the firm's name. The licensee listed for plumbing must be the designated

"bona fide representative" as defined by the "Board of Master Plumbers" or own 10 percent of the firm seeking classification. The licensee listed for HVACR must be the designated "bona fide representative" as defined by the "Board of Examiners of Heating, Ventilating, Air Conditioning and Refrigeration Contractors" or own 10 percent of the firm seeking classification.

Amended by R.2000 d. 76, effective: February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

In (a) and (b), substituted references to PMC-27 for references to GSA-27 and substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction throughout; in (b)l, rewrote the introductory paragraph and i; in (b)4, inserted a reference to terminations in the second sentence, and inserted a reference to Department of Labor wage requirements in the third sentence; rewrote (b)7; and in (c), substituted a reference to the Department of Treasury for a reference to the Department of State. Amended by R.2008 d.363, effective December 1, 2008.
Sec: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Throughout (a) and in the second sentence of the introductory paragraph of (b), inserted "the" preceding "DPMC": in (b)3, inserted designations i and ii; in (b)4, deleted "(not by subcontractors or individuals employed by others)" following "firm": in (c), substituted "issued" for "as issued by the Secretary of State:" and updated the N.J.S.A. reference; and added (d). Amended by R.2016 d.181, effective: December 19, 2016. See: 48 N.J.R. 1495(a).

In (a) inserted "in that specified trade"; substituted "works" for "work" and "in every trade required by law" for "that is required by law"; inserted "in the trade for which that subcontractor is named." In (b) 1., inserted v., and in (b) 3. Removed " , in which case the aggregate rating shall not exceed \$500,000." In (b) 8. (d), inserted "HVACR;" and "The licensee listed for HVACR must be the designated...or own 10 percent of the firm seeking classification."

17:19-2.2 Fraudulent statements

A firm or an individual who makes, or causes to be made, a false, deceptive or fraudulent statement in the DPMC-27 or any other submission required in conjunction with a request for classification or in the course of any hearing under this chapter may, at the discretion of the Director, be disqualified from bidding, suspended and/or debarred in accordance with this chapter and may be subject to prosecution pursuant to applicable laws.

Amended by R.2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a)

In (b) substituted reference to PMC-27 for a reference to GSA-27, and added "and pursue any recourse under N.J.A.C. 17:19-3 and 4" at the end.

17:19-2.3 Joint venture statement (DPMC projects only)

(a) Where two or more firms each with a valid classification and rating for the same trade category, propose to form a joint venture for purposes of bidding on a DPMC project, the firms shall jointly submit a Statement of Joint Venture Form (DPMC 606) to the DPMC, which shall:

1. Be provided to the DPMC by the joint venture no less than five business days before the bid due date set for the project on which they proposed to bid:

2. State the classifications of the individual firms:

3. Describe the purpose, structure and resources of the joint venture, and be supplemented by any other information requested by the DPMC:

4. Include a statement from a surety authorized to issue payment and performance bonds in the State of the bonding capacities of the individual firms and the bonding capacity of the joint venture: and
5. Be signed by all of the firms comprising the joint venture.

(b) In no event shall a Joint ventures aggregate rating exceed the combined total of the individual firms' aggregate ratings. However, if the joint venture's combined aggregate rating exceeds \$200,000,000, the joint venture may be deemed unlimited.

Amended by R.2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

In (a) and (b), substituted references to PMC-606 for references to DBC 606: and in (a)1, substituted "days", excluding weekends and/or legal holiday for "calendar or work days" following "five".

Amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In the introductory paragraph of (a) and in (a)1 and (a)3, inserted "the" preceding "DPMC".

17:19-2.4 Responsibility determination

(a) The DPMC shall not classify a firm without first making an affirmative finding that the firm is responsible. A firm has the burden of proving to the DPMC that the firm is responsible.

(b) Responsibility will be determined based on criteria that include:

1. Financial resources;
2. Technical qualifications;
3. Experience;
4. Organization, facilities, personnel and other such resources;
5. Contract performance record;
6. Accounting and auditing submissions and practices;
7. Equal employment opportunity and affirmative action record;
8. Record of integrity;
9. Safety record;
10. Compliance with applicable prevailing wage laws and regulations, as evidenced by submission of a valid Public Works Contractor Registration issued by the Department of Labor and Workforce Development; and
11. Other factors deemed relevant by the DPMC.

Amended by R.2000 d.76, effective February 22, 2000.
See 31 N.J.R. 4237(a) 32 N.J.R. 712(a)

In (a) and (c) substituted references to the DPMC for references to the DBC throughout: in (a), substituted a reference to PMC-27 for a reference to GSA-27, and substituted s reference to standardized forms entitled "Surety Affidavit" for a reference to standardized forms: and in (b), substituted a reference to \$200,000 for reference to \$100,000.

Amended by R. 2008 d. 363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a), inserted "The" and inserted "the" preceding "DPMC"; in (b)9, deleted "and" from the end: added new (b)10; recodified former (b)10 as (b)11 and in (b)11, inserted "the" preceding "DPMC".

17:19-2.5 Performance evaluation

(a) For any firm proposing to submit bids on public work requiring the DPMC classification, a Final Project Performance Evaluation (FPPE) shall be determined. The FPPE shall be calculated pursuant to the following provisions:

1. For any firm that has no prior public work experience with the State, the performance multiplier, as defined in N.J.A.C. 17:19-2.8, shall be based on an evaluation of the firm 's references and past experience, as identified in t he firm's DPMC-27. The DPMC may require that the owner or his or her representative certify t hat the projects/ contracts referenced by the firm have been completed in a satisfactory manner or all contract obligations have been met.

2. For any firm that has prior public work experience with the State, the performance multiplier shall be based on the project evaluations submitted to the DPMC by any State agency, to the extent t hat the evaluations comply with the following criteria:

i. The State agency reviewed t he performance of each of t he prime contractors on a public work project periodically throughout t he duration of the project. One or more persons directly involved in the management, supervision or inspection of the project shall make these interim performance reviews:

ii. Interim performance reviews shall be presented on a standardized performance review form approved by the DPMC; and

iii. Interim performance reviews will be based on t he following factors:

- (1) Quality of work;
 - (2) Scheduling;
 - (3) Management;
 - (4) Cost control/change orders;
 - (5) Safety industrial hygiene;
 - (6) Subcontractors;
 - (7) Close-out; and
 - (8) Other factors affecting a firm's performance;
- iv. Interim reviews on incomplete projects may be included in the FPPF at the time of classification.

(b) A firm's challenge to a FPPE shall not be conducted as part of this classification or bidding process but must proceed pursuant to N.J.A.C. 17:19-5.2(a)3.

(c) The Director may establish special evaluation criteria for certain projects.

(d) In making a responsible determination the DPMC may consider performance reviews (both interim and final) submitted by non-DPMC bidding entities in any format acceptable to t he DPMC.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a)

In (a) and (c), substituted references to the DPMC for references to the DBC; and in (b), rewrote the introductory paragraph.

Amended by R. 2003 d.252, effective June 1, 2003, change upon adoption effective July 7, 2003.

See: 35 N.J.R. 1701(a), 35 N.J.R. 2881(a)

In (b) amended N.J.A.C. reference.

Amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a)

Section was "Performance ratings". Rewrote (a); in (b), substituted "FPPE" for "project evaluation", inserted "or bidding", and updated the N.J.A.C. reference ; and added (d).

17:19-2.6 Firms to be classified

(a) Upon receipt of the completed DPMC-27, the DPMC will begin to process the application and shall determine if the firm is entitled to a classification in any trade and an aggregate rating. Classification will be based on the information contained in the DPMC-27 and on the firm's performance rating.

(b) Firms shall reclassify every 24 months in order to remain eligible to bid on public work. A firm must submit a new DPMC-27 to the DPMC before the expiration date of the current classification. If a firm fails to timely submit a complete renewal application, the firm's classification will expire. The classification renewal will be effective as of the date shown on the classification notice by the DPMC. The classification renewal will expire 24 months from the effective date shown on the classification notice by the DPMC. Any renewal application (DPMC-27) submitted more than three months after the expiration of a classification shall be considered a "new" application.

(c) In accordance with provisions found in N.J.S.A. 52:35-2. Firms submitting a new or renewal application must include a non-refundable company check in the amount specified in N.J.S.A. 52:35-2 payable to "Treasurer, State of New Jersey." The DPMC will not process a DPMC-27 application until a company check is received. If a check is returned for any reason, the DPMC may immediately revoke the firm's classification. Any firm who submits a check that is returned will be required to submit a certified check or money order with all future submissions for a period of three years. The firm will also be responsible for any additional charges, including bank charges. Incurred as a result of any returned check.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a)

In (b) substituted a reference to PMC-27 for a reference to GSA-27; and rewrote (c)2 and (f).
Amended by R. 2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a)

In (a) and (b), inserted "the" preceding "DPMC" four times; in (b) substituted "24" for "18" twice inserted the last sentence; and added (c).

Case Notes

School board is to determine job classification. *Bil Jim Const. Co., Inc. v Manchester Tp. Bd. of Edu.*, 236 N.J. Super, 603, 566 A2d 585 (L.1989).

Court will determine adequacy of public contract specifications. *Bil Jim Const. Co., Inc. v Manchester Tp. Bd. of Edu.*, 236 N.J. Super, 603, 566 A2d 585 (L.1989).

Contract award was vacated where specifications omitted information and allowed school board discretion to supply it after bids were opened. *Bil Jim Const. Co., Inc. v Manchester Tp. Bd. of Edu.*, 236 N.J. Super, 603, 566 A2d 585 (L.1989).

17:19-2.7 Trade classifications

(a) To be classified for a given trade, a firm must have successfully completed at least two significant projects in that trade within the previous five years. A firm must submit with its DPMC-27 a contract document that identifies the following information: an actual dated signature page; the dollar amount of the contract; the scope of work; schedule of values; and contact names of the owner, the design professional(s), and/or the construction manager; and must be licensed and permitted to perform work in the given trade, when applicable.

(b) The trades for which an applicant may request classifications are as listed on the DPMC-27.

Amended by R.2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a)

In (a) and (d), substituted references to PMC-27 for references to GSA-27 throughout: rewrote (b) and (c); and in (d), inserted "or any of the factors described in N.J.A.C. 17:19-2.5(b)" at the end of the introductory paragraph, and substituted a reference to the DPMC for reference to the DBC in 2.
Amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a)

In (a), inserted ":", and must be licensed and permitted to perform work in the given trade, when applicable".
Amended by R.2016 d.181, effective December 19, 2016.
See: 48 N.J.R. 1495(a).

In (a) inserted "schedule of values;".

Case Notes

Unsuccessful bidders omission of prequalification affidavit in bid for contract to add to and alter a school was a waivable, immaterial defect. *Fee Elec., Inc. v. Franklin Lakes Bd. of Edu.*, 284 N.J. Super 480.665 A.2d 803 (L.1995).

17:19-2.8 Aggregate rating

(a) The aggregate rating of a firm shall be based on the following factors:

1. The firm's working capital reported in its financial settlement;
2. The firm's FPPE, as described in N.J.A.C. 17:19-2.5;
3. The firm's bonding capacity, as described in N.J.A.C. 17:19-2.9; and
4. All other factors, as described in N.J.A.C. 17:19-2.(b).

(b) Working capital shall be determined according to generally accepted accounting principles (defined as current assets minus current liabilities), but shall not include:

1. Any assets not in the name of the firm;
2. Any past due accounts exceeding one year;
3. Any fixed assets, including, but not limited to, buildings, land or furniture. However, the net book value of owned construction equipment (excluding automobiles) may be used to supplement the contractor's net working capital calculation. The value of this equipment must be based on the same date as information provided in the financial statement submitted with the application. This information shall be provided through the schedule included in the DPMC-27;
4. Any assets not realizable within one year;
5. Securities that have been pledged; and
6. Any line of credit: The exception to this deduction is a working capital line of credit issued by a certified lending institution. The line of credit must be solely used for the purposes of the business as it relates to construction contracting. A copy of all pertinent lending covenants and agreements must be attached to the financial statement, along with a full explanation of all outstanding liabilities as of the date of the notarized certification on the DPMC-27 against the line of credit. If the line of credit meets the

above criteria. 100 percent of the unused line will be added to the working capital calculation.

(c) The firm's aggregate rating shall be calculated as follows:

1. Multiply the firm's working capital according to the following table:

| Working Capital | Asset Multiplier |
|----------------------------|------------------|
| 1 to \$500,000 | 12 |
| \$500,001 to \$1,500,000 | 14 |
| \$1,500,001 to \$3,000,000 | 16 |
| \$3,000,001 or higher | 18 |

1. Multiply the result of this calculation by the FPPE multiplier:

| FPPE | FPPE Multiplier |
|------------------------------|-----------------|
| 80.0 percent or higher | 1.00 |
| 70.0 percent or 79.9 percent | 0.50 |
| 69.9 percent or lower | 0.25 |

EXAMPLES: The following examples show the effect of a FPPE multiplier for a firm having (1) an FPPE of 80.0 percent or higher and (2) an FPPE of 70.0 percent to 79.9 percent.

A=Working Capital

B=Asset Multiplier

C=Preliminary Aggregate Rating (A*B)

D=Performance Multiplier

E=Aggregate Rating

(Formula) (A*B) * D=E

(1) $\$85,000 * 12 = \$1,020,000 * 1.00 = \$1,020,000$

(2) $\$85,000 * 12 = \$1,020,000 * 0.50 = \$510,000$

3. If a firm has not received an FPPE, a performance multiplier will be based upon in format ion received by the DPMC during t he review of project references.

4. When the firm's FPPE is less than 69.9 percent, the Director may reject the application or assign an aggregate rating less than that provided for in this section, based on all factors relevant to the firm's ability to perform.

Amended by R. 2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

In (a), rewrote the last sentence; and in (b), substituted a reference to PMC-27 for a reference to GSA-27.

Amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In the introductory paragraph of (a), deleted the former first sentence and inserted "of a firm": in (a)2, substituted "FPPE:" for "performance rating": in (a)3, deleted "and" from the end; deleted former (a)4 and (c): recodified former (a)5 as (a)4 and (d) as (c): rewrote (b)3: in (e)2, substituted "FPPE" for "performance" and a colon for "based upon at least three projects completed in the last five years": in the (c)2 table headers, substituted "FPPE" for "Average Performance Evaluations (APE)" in the first column and "FPPE" for "Performance" in the second column: in the (c)2 EXAMPLES, substituted "FPPE" for "performance" once and "APE" twice in the first sentence, in definition for "C", inserted "(A*B)", in the Formula, substituted (A*B)*D=E" for "A x B=C and C x D=F", in two examples, substituted (1) for "1", "(2)" for "2"; and an asterisk for "x" four times; in (c)3, substituted "an FPPE" for "State performance evaluation" and inserted "the" preceding "DPMC"; and in (c)4, substituted "FPPE" for "APE".

17:19-2.9 Bonding capacity

(a) A firm proposing to submit bids on a public work project, which requires a performance bond or a payment bond, or both, shall submit as part of its DPMC-27 a certified statement of the firm's bonding capacity. The statement shall be contained on the standardized form entitled "Surety Affidavit" provided by the DPMC, and shall be from a surety authorized to issue bid bonds and performance and payment bonds in state.

(b) If the aggregate rating is equal or greater than 85 percent of the firm's bonding capacity, and if the surety attesting to the firm's bonding capacity is listed in Treasury Circular 570 with a high rating as defined in N.J.S.A. 2A:44-143, the firm shall be issued an aggregate rating equal to its bonding capacity.

(c) A firm, which does not provide a statement of bonding capacity from an authorized surety shall receive an aggregate rating of not more than \$200,000 and shall not be eligible to bid on any projects for which a bond is necessary, but may be eligible to bid on any project for which a bond is not required., within the firm's aggregate rating limit. In no event shall a firm's aggregate rating exceed the firm's bonding capacity, except, firm's with a bonding capacity of \$200,000,000, and demonstrating a net working capital calculation of \$200,000,000 or more, shall be issued unlimited aggregate rating.

Amended by R. 2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted a reference to the following factors for a reference to three factors in the introductory paragraph, and added 4 and 5 ; in (b), inserted "exceeding 90 days" at the end of 3, deleted a reference to officers, employees, etc in 8, and added 9 and 10; and in (d), substituted "69.9 percent to 65 percent" for "69.9 percent or lower" in the table in 2, substituted a reference to the DPMC for a reference to the DBC in 3, substituted a reference to \$200,000 for a reference to \$100,000 in 4, and substituted a reference to 65 percent for a reference to 0.25 in 5. Amended by R. 2008 d.363, effective December 1, 2008. See: 40 N.J.R. 3959(a), 40 N.J.R. 6825 (a).

In (a), inserted a comma following "project" and inserted "the" preceding "DPMC"; and in (c) inserted a comma following "A firm" and substituted "firms with a bonding capacity of \$200,000,000, and demonstrating a net working capital calculation of \$200,000,000 or more," for "that if the aggregate rating is equal to or greater than \$200,000,000, the firm".

17:19-2.10 Special classification requirements

(a) As may be dictated by the unique, specialized nature, or scope of the work to be performed on a project, the Director may establish special classification requirements for a given project.

(b) The Director may establish special classification requirements for a given trade classification in order to ensure that firms, which have been classified con form to the latest technical or safety developments in that trade. The DPMC shall provide notice of any such special requirements to all previously classified firms via direct mail, electronically and/or by publication in major State newspapers and trade journals.

Amended by R. 2008 d. 363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825 (a).

In (b), inserted a comma following "firms" and inserted "The" and substituted "to" for "with" following "conform".

17:19-2.11 Effective dates of classifications and ratings

(a) A classification or rating resulting from the filing of an original application or a renewal application shall be determined and effective no later than eight business days after receipt by the DPMC of all required information.

(b) A firm must have a valid classification and rating appropriate to any project on which the firm may bid, or under which a firm will be designated as a subcontractor in a principal trade, as provided in N.J.S.A. 52:32-2, or if the contract documents require the trade to be classified.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted reference to PMC-27 for a reference to GSA-27; and in (c) substituted a reference to the DPMC for a reference to the DBC.

Amended by R. 2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825 (a).

In the introductory paragraph of (a), inserted "the" preceding "DPMC" and "DPMC" throughout; in the introductory paragraph of (a) inserted "no later than" and inserted a comma following "information": in (a)1, inserted a comma following "firm".

Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

In (a), removed ", except as follows: 1. ... 2. ...".

17:19-2.12 Classification change

(a) A firm shall notify the DPMC in writing during a classification period, when the financial, bonding and/or corporate status of a firm changes substantially as to warrant a change of classification or rating. The firm shall provide said notice to the DPMC within 10 days of the change(s) and shall submit a revised DPMC-27, or applicable portions thereof, as required. Examples of substantial change include, but are not limited to, insolvency, decreases in bonding capacity, changes in ownership, or any of the factors affecting the firm's responsibility, as described in N.J.A.C. 17:19-2.4(b).

(b) A firm may request an increase in its aggregate rating for the remainder of the firm's existing classification period by submitting to the DPMC an updated financial statement for a period of at least six months from the ending date of the financial statement submitted with the prior OPMC-27 in conformance with the provisions found in N.J.A.C. 17:19- 2.1(b), or, in the alternative, a firm may submit an updated surety affidavit showing an increase in bonding. The affidavit must be based on the same financial statement submitted with the application or request for an increase. However, a firm that has an aggregate rating of more than \$15,000,000 may request an increase in its aggregate rating by submitting a CPA reviewed financial statement.

(c) The DPMC shall review all submissions in accordance with this section and issue a decision no later than eight business days from the date of the firm's submission. Any change of classification shall be effective only for the remainder of the original classification period.

(d) The DPMC, in its discretion, may reduce a firm's aggregate rating or revoke the firm's classification entirely based upon information not provided at the time that the firm's classification was originally granted and/or the firm's aggregate rating was originally set, as determined by the factors set forth in N.J.A.C. 17:19-2.4.

Amended by R. 2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a) added the last sentence.

Amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825 (a).

Inserted "the" preceding "DPMC" throughout; in (b), substituted or in the alternative a firm may submit an updated surety affidavit showing an increase in bonding. The affidavit must be based on the same financial statement submitted with the application or request for an increase. However, a firm "for". However, a firm: and in (c) inserted "The" and deleted "the" preceding "20".

Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

In (c), substituted "eight" for "20"; inserted (d).

Case Notes

Bidder that acted in good faith in calculating work on hand by cost-to-complete method and complying with aggregate rating limit was not precluded from proving after the fact that it is qualified, based on clear and convincing evidence that outstanding balance of contracts would be within aggregate limit by bid project's scheduled start date. In re DBC project No. A0716-00. 303 N.J. Super. 384.697 A.2d 131 (A.D. 1997).

17:19-2.13 Award of contracts exceeding aggregate rating

(a) A firm shall include with each bid a certification that the firm's bid for the subject contract would not cause the firm to exceed its aggregate rating limits, including consideration of *its backlog of* uncompleted construction work*, including public and private contracts*.

(b) If at the time of a bid opening a question arises as to whether a bid for a project is within a firm's existing classification or aggregate rating, the bid shall be opened, and if the bid is at variance with the firm's trade classification or aggregate rating, the bid shall be rejected.

(c) A firm shall not be awarded a contract which, when added to the backlog of uncompleted construction work would exceed the firm's aggregate rating. The backlog of uncompleted construction work shall be the total contract value of unbilled work, as evidenced by the most recent approved invoice (or other similar documentation) received by the bidder before or on the date of the bid. The firm may deduct 85 percent of the total contract value of the work performed by principal trades, as described in (e) below, on such uncompleted work. DPMC may require the firm to provide documentary proof that its backlog of uncompleted work plus the contract price of the contract to be awarded would not cause the firm to exceed its aggregate rating.

(d) If a firm successfully bids for two or more contracts which, either in combination with each other or in combination with the backlog of uncompleted construction work on other currently held contracts would exceed the firm's aggregate rating, the firm shall be awarded only those contracts which in combination fall within the firm's aggregate rating, as follows:

1. Contracts shall be considered in the chronological order of the bid due dates.

2. Where the dollar value of a given contract award, when combined with the dollar value of the firm's current backlog of other uncompleted work, would cause the firm's total dollar value of uncompleted work to exceed the firm's aggregate rating, the firm shall not be eligible for that award.

3. However, if a firm provides with its bid clear and convincing evidence that its total dollar value of uncompleted work (including

the bid amount for the current contract) will be within its aggregate rating as of the award date, the Director may determine to accept the bid if it is in the best interest of the State.

(e) On any project where a firm is awarded single prime contract \which encompasses work to be performed by a subcontractor in a principal trade, as defined in N.J.S.A. 52:32-2, including plumbing and gas fitting, steam and hot water heating and ventilation, electrical, structural steel and ornamental iron work, and general construction, and where the work to be performed by the subcontractors is specifically identified in the bid, the firm shall calculate the value of the awarded contract (for purposes of determining how much the contract will contribute toward determining the firm's back-log) by deducting 85 percent of the actual subcontract price of the work to be performed by principal trades from the actual price of the contract awarded to it. The firm will have the burden of proving that the work is encompassed by the principal trades and the value of the amount of the work performed by those principal trades.

Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

In (a) deleted "statement...due date and" and substituted "firm's bid for" for "the award of". Inserted "limits, including consideration of *its backlog of* uncompleted construction work*, including public and private contracts*." and removed the "." at the end of "rating". In (c), deleted ", as shown on Form DPMC 701," and inserted "DPMC may require the firm...exceed its aggregate rating." In (d) 2. inserted "the dollar value of" and ", when combined with the dollar value of the firm's...uncompleted work to"; removed "would". In (d) 3., "total dollar value...for the current contract" subbed for "outstanding balance of the contracts" and "as of the award date" subbed for "by the time...begin".

Case Notes

Township board of education's award of school construction contract to lowest bidder was proper, although second lowest bidder challenged award alleging lowest bidder was disqualified because lowest bidder's base bid plus 52 alternates on which it was originally required to bid was beyond its aggregate rating, where lowest bidder's base bid was within its aggregate rating, and value of contract awarded, including some but not all alternates, was also within its aggregate rating. *Seacoast Builders Corp v. Jackson Tp. Bd. Of Edu.*, 363 N.J. Super. 373.833 A 2d 84.

For purposes of bidding for governmental contracts, where the bid specifications call for discretionary alternates, the totality of the concerns underlying in the public bidding laws is best accommodated, consistent with regulation governing preclassification aggregate rating of bidders, by permitting a prospective bidder to submit his bid if the base bid, rather than base bid plus alternatives bid, comports with its aggregate rating. *Seacoast Builders Corp v. Jackson Tp. Bd. Of Edu.*, 363 N.J. Super. 373.833 A 2d 84.

Under administrative regulation governing classification and prequalification of bidders for governmental contracts, which requires aggregate rating compliance both at time of bidding and at time of award bidders' aggregate rating compliance at the time of the bid is to be determined based on the base bid, and bidders' aggregate rating compliance at the time of the award is to be determined based on the actual contract value: this technique best serves the public interest in the enforcement of the policies and objectives of the public bidding laws. *Seacoast Builders Corp v. Jackson Tp. Bd. Of Edu.*, 363 N.J. Super. 373.833 A 2d 84.

SUBCHAPTER 3. CONSULTANT PREQUALIFICATION AND SELECTION PROCEDURES

17:19-3.1 Purpose

The consultant selection procedures are established to give qualified firms an open opportunity to be selected for State contracts on the basis of demonstrated competence and experience. Selection of consultants based upon a combination of technical qualifications and cost proposals enables the public interest to be served.

Recodified from N.J.A.C. 17:19-5.1 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Deleted "architectural, engineering, construction management and other consultant" preceding "firms".

Former N.J.A.C. 17:19-3.1. Causes for debarment of a firm(s) or an individual(s), recodified to N.J.A.C. 17:19-4.1.

17:19-3.2 Scope

(a) The principal elements of the consultant selection procedures provided for:

1. Verifying the qualifications of firms interested in providing consultant services to the State;
2. Initiating and advertising projects (which may include other solicitation requirements);
3. Screening all interested and qualified firms;
4. Evaluating procedures by selection committee; and
5. Obtaining final approval by the Director.

Recodified from N.J.A.C. 17:19-5.2 by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Former N.J.A.C. 17:19-3.2. Conditions affecting the debarment of a firm(s) or an individual(s), recodified to N.J.A.C.17:19-4.2.

17:19-3.3 Prequalification of consultants

(a) Firms desiring to be considered for consultant work with the DPMC shall submit a prequalification form, DPMC- 48A or a material testing laboratory prequalification form, DPMC-48T. This form provides comprehensive information on the management of the firm, the financial history of the firm, the type and value of past project work, licensed and technical staff, and other factors deemed relevant by the DPMC. This information is used to assist in the evaluation of firms for DPMC work and to establish the maximum construction cost estimate dollar level and professional disciplines for which the firm is qualified. The result of this evaluation is the firm's "prequalification." The prequalification will be effective for a 24-month period beginning with the date shown on the prequalification notice issued by the DPMC.

(b) In accordance with provisions found in N.J.S.A. 52:34-9.3. firms submitting a new or renewal application must include a non-refundable company check in the amount specified in N.J.S.A. 52:34-9.3 payable to "Treasurer. State of New Jersey." No application will be processed until a company check is received. If a check is returned for any reason, the DPMC may immediately revoke the firm's prequalification. Any firm that submits a check that is returned will be required to submit a certified check or money-order with all future submissions for a period of three

years. The firm will also be responsible for any additional charges, including bank charges, incurred as a result of any returned check.

(c) Review of the firm by the DPMC shall be completed within 30 calendar days or receipt of fully completed prequalification forms, and a notification of results shall be mailed to the firm within the same time period.

(d) If a prequalification is denied, the firm will be notified in writing of the reasons for denial. Measures that the firm may take in order to become qualified will be identified by the DPMC.

(e) If a firm does not agree with its prequalification as assigned by the DPMC, or the denial of its prequalification, it may make a written request to the manager of the DPMC's prequalification unit for reconsideration. Results of this review will be made known to the firm in writing. If the firm still does not agree with the DPMC's prequalification determination, it may appeal in writing to the Director whose decision will then be final.

(f) It is the responsibility of each firm to update and keep current all prequalification forms. Major changes occurring in the firm's status shall be brought to the attention of the DPMC in order that the prequalification record is current.

(g) Any firm seeking prequalification shall have at least one principal on its staff who has been engaged in active private practice with full financial responsibility for a period of two years immediately preceding its request for prequalification.

(h) The prequalification level assigned does not necessarily reflect the level on which a consultant has performed for other clients. The DPMC will endeavor to assign a level that is justified by applicable overall experience, length of time in business, prior experience, the number of licensed New Jersey principals, professional and technical staffing, and management depth. At a minimum, the consultant must have three public or private projects (two completed and one in progress) at or exceeding a specific prequalification dollar level in the discipline requested prior to approval for that prequalification level.

(i) Firms may increase their technical qualification for a specific project by entering into joint-ventures with other firms. Each individual firm of the joint venture must be separately prequalified. One of the firms shall have been prequalified at the level stipulated for the project

Amended by R.2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (d), rewrote first sentence.
Recodified from N.J.A.C. 17:19-5.4 amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "prequalification of consultant firms".
Rewrote (a); added a new (b); recodified former (b) through (f) as (e) through (g); in (c), (e) and (f), inserted "the" preceding "DPMC"; in (e), inserted "the" following "manager of" and substituted "DPMC's" for the second occurrence of "DPMC"; deleted former (g); and in (h), substituted "The DPMC will endeavor" for "DPMC endeavors", inserted "the" preceding "number" and substituted "professional" for "size". Former N.J.A.C. 17:19-3.3. Procedures, periods(s) of debarment and scope of debarment affecting the debarment of a firm(s) or individual(s), recodified to N.J.A.C. 17:19-4.3.

Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

In (a) inserted reference to DPMC-48T.

17:19-3.4 Public notification

(a) The DPMC may publicly solicit the interest of prequalified firms to provide professional services by advertising in one or more of the following methods:

1. In design and construction publications and trade journals covering the construction industry in New Jersey;
2. In newspapers;
3. By written notice to New Jersey professional societies;
4. By use of direct mailings to prequalified firms; or
5. Electronic means.

(b) Public notification shall include instructions to specify any special information or experience that a firm must submit by the date and time specified in the advertisement. Failure to respond within the time limits noted in the advertisement shall be cause for rejection of a Firm's application.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

Inserted (a) 5.
Recodified from N.J.A.C. 17:19-5.5 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a)

In the introductory paragraph of (a), inserted "The".
Former N.J.A.C. 17:19-3.4. Causes for suspension of a firm(s) or an individual(s), recodified to N.J.A.C. 17:19-4.4.

17:19-3.5 Performance evaluation

(a) For any firm proposing to submit proposals on public work requiring the DPMC's prequalification, an FPPE shall be determined. The FPPE shall be calculated pursuant to the following provisions:

1. For any firm that has no prior public work experience with the State, the FPPE shall be based on an evaluation of the firm's references and past experience, as identified in the firm's prequalification forms and/or project specific technical proposal. The DPMC may choose to require that the owner or his or her representative certify that the projects/contracts referenced by the firm have been completed in a satisfactory manner; or
2. For any firm that has prior public work experience with the State, the FPPE shall be based on the project evaluations submitted to the DPMC, to the extent that the evaluations comply with the following criteria:
 - i. The State agency reviewed the performance of each professional consultant on a public work project periodically throughout the duration of the project. One or more persons directly involved in the management, supervision or inspection of the project shall make this interim performance review;
 - ii. Interim performance reviews shall be presented on a standardized performance review form approved by the DPMC; and
 - iii. Interim reviews on incomplete projects may be included in the FPPE at the time of prequalification and, or during selection.

(b) A Firm's challenge to an FPPE shall not be conducted as part of the prequalification or selection process but must proceed pursuant to N.J.A.C. 17:19-5.

(c) The Director may establish special evaluation criteria for certain projects.

New Rule. R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Former N.J.A.C. 17:19-3.5. Conditions for suspension of a firm(s) or individual(s), recodified to N.J.A.C. 17:19-4.5.

17:19-3.6 Major project selection procedures

(a) The selection process will be initiated upon the receipt by the DPMC of a request from a State client agency for consultant services. The written request shall include a description of the scope of work of the project the time period in which the design and construction is to be completed and a current working cost estimate (if applicable) of the proposed project for both design and the construction of the project.

(b) A selection committee will be established to select a consultant for that specific project. The selection committee shall develop the selection evaluation criteria for the project. The evaluation criteria will be part of the public notice. The evaluation criteria for each project will generally include the following: firm's experience on projects of a similar size and nature; project team experience; past project performance; project approach; understanding of project needs; project schedule, budget and cost estimating; and/or other criteria as determined to be appropriate.

(c) The evaluation process may include submission of specific project questionnaire forms, technical proposals, past performance and interviews.

(d) Each individual member of the selection committee will evaluate all submissions based upon specific criteria and prepare a selection evaluation. The selection coordinator shall compile all evaluation scores and prepare a ranking. The chairperson shall call for a meeting of the selection committee to review the ranking and short list the appropriate number of firms for further consideration. Additional technical and/or organizational information may be requested from the firms before a final ranking is prepared.

(e) When the selection committee completes the ranking, cost proposals shall be solicited from the highest ranked firms.

(f) Site visits, pre-interview conferences and pre-proposal conferences may be scheduled. Attendance shall be mandatory when so stipulated.

(g) Sealed cost proposals will be accepted on a predetermined date and time by the selection coordinator. The selection committee will meet to open and review the cost proposals. Upon completion of the review, the selection committee may begin negotiations with the highest ranked firm or firms for a cost proposal that is fair and reasonable to the State. As required, the selection committee may request additional meetings, additional technical, organizational or cost data from any of the firms. If a satisfactory conclusion cannot be reached with the highest ranked firm or firms, the selection committee may negotiate with the next highest ranked firm or firms.

(h) The selection committee shall have the responsibility to recommend to the Director the selection of the firm that is the highest ranked and whose cost proposal is fair and reasonable to the State.

(i) The selection evaluations, rankings, negotiations and cost proposals of all firms, as well as all discussions and correspondence, relating to a consultant selection remain confidential until the contract is awarded.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), inserted a reference to consultant services at the end of the first sentence; and rewrote (b) and (g) through (i). Recodified from N.J.A.C. 17:19-5.7 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (b), substituted "selection evaluation" for "rating schedule and", substituted "evaluation" for "rating" twice, and inserted "past project performance:": in (c), substituted "evaluation" for "rating" and inserted "past performance": in (d), substituted "selection evaluation" for "rating" and "evaluation scores" for "ratings"; and in (i), substituted "selection evaluation, rankings" for "rating, ranking". Former N.J.A.C. 17:19-3.6. Procedures, period of suspension and scope of suspension affecting the suspension of a firm(s) or an individual(s), recodified to N.J.A.C. 17:19-4.6.

17:19-3.7 Routine contracts

(a) Prequalified firms desiring to perform certain consultant services for the DPMC or its client agencies may submit proposals for routine projects.

(b) The selection process shall be initiated upon the receipt by the DPMC of a request from a State client agency for consultant services that meet the criteria for a routine project. Upon the receipt or development of a project scope of work, the DPMC shall create a selection committee for the purpose of selecting a Professional Services Consultant for the project. The DPMC and/or the selection committee shall develop the specific selection evaluation and ranking criteria to be used for the selection.

(c) The DPMC shall publicly advertise each routine contract by electronic means and/or in newspapers before the random selection of firms for that contract. The advertisement/notice shall state the date on which the DPMC will be randomly selecting, from appropriate pool of its prequalified consultants, those firms from which proposals will be solicited. The advertisement/notice shall specify the prequalification discipline(s) and prequalification level required for the project and the criteria the DPMC will use in the selection evaluation and ranking of the proposals submitted from interested firms.

(d) From the pool of prequalified consultants specified in the advertisement, the DPMC will perform a computer-generated random election of firms and solicit technical proposals and sealed cost proposals from the list of randomly generated firms.

(e) Pre-proposal conferences, site visits and interviews may be scheduled, as necessary.

(f) Technical proposals shall be evaluated and ranked in accordance with the specific evaluation criteria for the project.

(g) The selection process regarding the sealed cost proposals will be in accordance with the major project selection procedures, N.J.A.C. 17:19-3.6(g).

(h) The selection committee shall have the responsibility to recommend to the Director the selection of the firm that is the highest ranked and whose cost proposal is determined to be fair and reasonable to the State.

(i) Nothing in these rules shall be interpreted to prohibit the DPMC from utilizing the major consultant election procedure for any and all engagements.

Recodified from N.J.A.C. 17:19-5.8 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (b), inserted "the" preceding the second occurrence of "DPMC" and "The" preceding the third occurrence of "DPMC", and substituted "selection evaluation" for "rating"; in (c), inserted "The" once and "the" twice preceding "DPMC", inserted "by electronic means and/or", deleted "and/or electronic only means" following "newspapers", and substituted "selection evaluation" for "rating"; in (d) and (i), inserted "the" preceding "DPMC"; in (f), substituted "evaluated" for "rated"; and in (g), updated the N.J.A.C. reference. Former "N.J.A.C. 17:19-3.7. Disqualification of a firm(s) or an individual(s), recodified to N.J.A.C. 17:19-4.7.

17:19-3.8 Term contracts

(a) Firms desiring to perform certain consultant services for the DPMC may submit proposals for term contracts as required. Term contracts shall be awarded by the Director to consultants who have complied with the terms and conditions of the term contract request for proposal and have been determined by the selection committee to be the best qualified.

(b) Term contracts may also be used to provide consultant services to client agencies in specific service categories for a specific time period.

Amended by R.2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (f), changed N.J.A.C. reference and rewrote (g).
Recodified from N.J.A.C. 17:19-5.9 amended by R. 2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a), inserted "the" preceding "DPMC". Former N.J.A.C. 17:19-3.8. Extent of debarment, suspension or disqualification, recodified to N.J.A.C. 17:19-4.8.

17:19-3.9 Term contract project selection procedures

(a) Term contracts may be used by the DPMC to serve a variety of consultant needs in accordance with the DPMC's duties to administer the DPMC's construction portfolio. The initiation of the selection process may be in accordance with the major or the routine project selection procedures, pursuant to N.J.A.C. 17:19-3.6 or 3.7.

(b) Firms are selected based upon technical qualifications and cost.

(c) Pre-proposal conference, site visits and interviews may be scheduled.

(d) Technical proposals shall be evaluated and ranked in accordance with the specific technical criteria for the project.

(e) The selection process regarding the sealed cost proposals shall be in accordance with the major project selection procedures, N.J.A.C. 17:19-3.6(g), except that costs may be based upon hourly daily rates and/or other methods for determining costs over a specific time period.

(f) The selection committee shall have the responsibility to recommend to the Director the selection of the firm that is the highest ranked and whose costs are fair and reasonable to the State.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

Rewrote (a).

Recodified from N.J.A.C. 17:19-5.10 and amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a), inserted "the" preceding either "DPMC" or "DPMC's" three times and updated the N.J.A.C. reference: in (d), substituted "evaluated" for "rated"; and in (e), updated the N.J.A.C. reference. Former N.J.A.C. 17:19-3.9. Prior notice by DPMC, recodified to N.J.A.C. 17:19-4.9.

17:19-3.10 Agency consultant program

(a) The agency consultant program provides a selection process for architectural, engineering or other consultant services to assist client agencies and the DPMC in the planning of construction projects, developing scopes of work, investigating construction-related problems, designing small projects and administering small construction projects.

(b) The DPMC may delegate to client agencies the authority to award projects for consultants to perform professional services for construction projects. The client agency shall evaluate and rank the technical submissions according to selection procedures established by DPMC policy.

(c) An agency consultant fee limit for each work order shall be established by the DPMC, including a fee limit threshold per year.

(d) The client agency shall monitor and manage all activities of the consultant. Financial data and project files shall be available to the DPMC auditors.

Recodified from N.J.A.C. 17:19-5.11 and amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a) and (e), inserted "the" preceding "DPMC": in (b), inserted "The" and substituted "evaluate" for "rate"; and in (d), inserted "the" preceding "DPMC's". Former N.J.A.C. 17:19-3.10, list of debarred, suspended or disqualified firms or individuals, recodified to N.J.A.C. 17:19-4.10.

17:19-3.11 Client agency management of design/construction projects

(a) The DPMC may delegate authority to client agencies to manage design and/or construction phases of a project with a stipulated construction cost estimate.

(b) The selection of firms to submit technical and cost proposals shall be in accordance with the major project selection procedures, pursuant to N.J.A.C. 17:19-3.6, or routine contracts selection procedures, pursuant to N.J.A.C. 17:19-3.7.

Recodified from N.J.A.C. 17:19-5.11 and amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a), inserted "The"; and in (b), updated both N.J.A.C. references. Former N.J.A.C. 17:19-3.11, Director's authority to contract, recodified to N.J.A.C. 17:19-4.11

SUBCHAPTER 4. DEBARMENT, SUSPENSION AND DISQUALIFICATION OF FIRM(S) AND INDIVIDUAL(S)

17:19-4.1 Causes for debarment of a firm(s) or a individuals(s)

(a) In the public interest, the DPMC may debar a firm or an individual for any of the following causes:

1. Commission of a criminal offense incident to obtaining or attempting to obtain a public or private contract, or subcontract thereunder, or in the performance of such contract or subcontract;
2. Civil or criminal violation of the Federal Organized Crime Control Act of 1970 or the New Jersey Racketeer Influenced and Corrupt Organizations Act, N.J.S.A. 2C:41-1 et seq., or the commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, perjury, false swearing, receiving stolen property, obstruction of justice or any other offense indicating a lack of business integrity or honesty;
3. Violations of the Federal or any state antitrust statutes, or of the Federal Anti-Kickback Act (18 U.S.C. 874.40 U.S.C. 276c);
4. Violations of any of the laws governing the conduct of elections of the Federal government, any state or its political subdivisions;
5. Violation of the "Law Against Discrimination" (P.L. 1945. c.169. N.J.S.A. 10:5-1 et seq., as supplemented by P.L. 1975. c.127), or of the act banning discrimination in public work employment (N.J.S.A. 10:2-1 et seq.), or of the act prohibiting discrimination by industries engaged in defense work in the employment of individuals therein (P.L. 1942. c.114, N.J.S.A. 10:1-10 et seq.);
6. Violations of any laws governing hours of labor, minimum wage standards, prevailing wage standards, discrimination in wages or child labor;
7. Violations of any laws governing the conduct of occupations or professions or regulated industries;
8. Violations of any Federal or state laws that may bear upon a lack of responsibility or moral integrity;
9. Willful failure to perform in accordance with contract specifications or within contractual time limits;
10. A record of failure to perform or of unsatisfactory performance in accordance with the terms of one or more contracts, provided that such failure or unsatisfactory performance has occurred within a reasonable time preceding the determination to debar and was caused by acts within the control of the firm or the individual debarred;
11. Violation of contractual or statutory provisions regulating contingent fees;
12. Any other cause affecting responsibility as a State contractor of such serious and compelling nature as may be determined by the DPMC to warrant debarment, including such conduct as may be prescribed by the laws or contracts enumerated in this section even if such conduct has not been or may not be prosecuted as violations of such laws or contracts;
13. Debarment or disqualification by any other agency of government;
14. Making any offer or agreement to pay or make payment of, either directly or indirectly, any fee, commission, compensation, gift, gratuity, or other thing of value of any kind to any State officer or employee of an agency of government with which such

vendor transacts or offer or proposes to transact business, or to any member of the immediate family as defined by N.J.S.A. 52:13D-13i, of any such officer or employee of an agency of government, or any partnership, firm, or corporation with which they are employed or associated, or in which such officer or employee has an interest within the meaning of N.J.S.A. 52:13D-13g.

15. Failure by a vendor to immediately report to the Attorney General and to the Executive Commissioner on Ethical Standards in writing the solicitation of any fee, commission, compensation, gift, gratuity or other thing of value by any officer or employee of any State agency of government or special State officer or employee as defined by N.J.S.A. 52:13D-13:

16. Failure by a vendor to immediately report in writing, or obtain a waiver from the Executive Commission on Ethical Standards for, the direct or indirect undertaking of any private business, commercial or entrepreneurial relationship (including the selling of any interest in such vendor), regardless of whether the relationship is pursuant to employment, contract or other agreement, express or implied, with the following:

i. Any State officer or employee of any State agency of government or special State officer or employee as defined by N.J.S.A. 52:130-13, having duties or responsibilities connected with the purchase, acquisition or sale of any property or services by or to any State agency of government or any instrumentality thereof: or

ii. Any firm or entity with which the State officer or employee of a State agency of government is employed or associated or has an interest in within the meaning of N.J.S.A. 52:13D-13g;

17. Influencing or attempting to influence or cause to be influenced, any officer or employee of any agency of government, in that officer's or employee's official capacity in any manner which might tend to impair the objectivity or independence of judgment of said officer or employee;

18. Causing or influencing or attempting to cause or influence, any State officer or employee of any State agency of government or special State officer or employee as defined by N.J.S.A. 52:13D-13, to use, or attempt to use, that officer or employee's official position to secure unwarranted privileges or advantages for the vendor or any other firm or individual; and/or

19. Agreeing with any agency of government to refrain from bidding on public works projects for reasons that, in the discretion of the Director, warrant debarment.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

Substituted references to the DPMC for references to the DBC throughout: deleted "DBC contracting": inserted "DPMC contracting" and rewrote "Person".
Recodified from N.J.A.C. 17:19-3.1 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In the introductory paragraph of (a) and in (a)12, inserted "the" preceding "DPMC". Former N.J.A.C. 17:19-4.1. Hearings: subject matter; firms or individuals who may request hearings, recodified to N.J.A.C. 17:19-5.1.

17:19-4.2 Conditions affecting the debarment of a firm(s) or an individual(s)

(a) The following conditions apply to debarment:

1. Debarment shall be made only upon approval of the Director, except as otherwise provided.
2. The existence of any of the causes set forth in N.J.A.C. 17:19-4.1 shall not necessarily require that a firm or an individual be debarred. In each instance, the decision to debar shall be made within the discretion of the Director, unless otherwise required by law, and shall be rendered in the best interests of the State.
3. All mitigating factors shall be considered in determining the seriousness of the offense, failure or inadequacy of performance and in deciding whether debarment is warranted.
4. The existence of a cause set forth in N.J.A.C. 17:19-4(a) 1 through 8 shall be established upon the rendering of a final judgment or judgment of conviction or a guilty plea or a plea of nolo contendere by a court of competent jurisdiction or by an administrative agency empowered to render such judgment. In the event an appeal taken from such judgment or conviction results in reversal thereof, the debarment shall be removed upon the written request of the debarred firm or individual, unless other cause for debarment exists.
5. The existence of a cause set forth in N.J.A.C. 17:19-4.1(a) 9 through 12 shall be established by evidence that the Director determines to be clear and convincing in nature.
6. Debarment for the cause set forth in N.J.A.C. 17:19-4.1(a) 13 shall be proper, provided that one of the causes set forth in N.J.A.C. 17:19-4.1 (a) 1 through 12 was the basis for debarment by the original debarring agency. Such debarment may be based entirely on record of facts obtained by the original debarring agency.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction in the introductory paragraph and 12, and inserted "of any state, Federal government" at the end of 13. Recodified from N.J.A.C. 17:19-3.2 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a)2, (a)4, (a)5, and (a)6., updated the N.J.A.C. references. Former N.J.A.C. 17:19-4.2. Requests for hearings: hearing procedures: time limitations, recodified to N.J.A.C. 17:19-5.2.

17:19-4.3 Procedures, period(s) of debarment and scope of debarment affecting the debarment of a firm(s) or an individual(s)

(a) The procedures, period of debarment and scope of debarment include the following:

1. When the DPMC seeks to debar a firm or an individual, the DPMC shall furnish to such firm or individual written notice: stating that debarment is being considered; setting forth the reasons for the proposed debarment; and indicating that such firm or individual will be afforded an opportunity for a hearing if such firm or individual so requests within a stated period of time. All such hearings shall be conducted in accordance with N.J.A.C. 17:19-5.

2. Where an agency of government other than the DPMC, has imposed debarment upon a firm or individual, the DPMC may also impose a similar debarment without affording an opportunity for a hearing, provided that the DPMC furnishes notice of the proposed similar debarment to that firm or individual, and affords that firm or individual an opportunity to present information in its behalf to explain why the proposed similar debarment should not be imposed, in whole, or in part.

3. Debarment shall be for a reasonable, definitely stated period of time, which as a general rule shall not exceed five years. Debarment for an additional period shall be permitted provided that notice thereof is furnished and the firm or the individual is afforded an opportunity to present information in its behalf to explain why the additional period of debarment should not be imposed.

4. Except as otherwise provided by law, a debarment may be removed or the period thereof may be reduced at the discretion of the Director upon the submission of a good faith application under oath, supported by documentary evidence, setting forth substantial and appropriate grounds for the granting of relief, such as newly discovered material evidence; reversal of a conviction or judgment actual change of ownership, management, or control; or the elimination of the causes for which the debarment was imposed.

5. A debarment may include all known affiliates of a firm or an individual, provided that each decision to include an affiliate is made on a case-by-case basis after giving due regard to all relevant facts and circumstances. The offense, failure or inadequacy of performance of an individual may be imputed to a firm or an individual with whom the individual is affiliated, where such conduct was accomplished with in the course of the individual's official duty or was affected by the knowledge or approval of the individual.

6. A firm that has been given notice of debarment by the DPMC shall not be eligible for an increase in its aggregate rating or an expansion of its trade classifications pending determination of the debarment action. The debarment or the suspension of a firm shall result in the immediate forfeiture of the firm's classification.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712(a).

In (a), substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction throughout, and changed N.J.A.C. references in 6. Recodified from N.J.A.C. 17:19-3.3 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "the" preceding "DPMC" throughout: in (a)1, updated the N.J.A.C. reference: and in (a)5, substituted "affected" for "effected". Former N.J.A.C. 17:19-4.3. Discovery procedures, recodified to N.J.A.C. 17:19-5.3.

17:19-4.4 Causes for suspension of a firm(s) or an individual(s)

In the public interest, the DPMC may suspend a firm or an individual for any cause specified in N.J.A.C. 17:19-4.1, or upon adequate evidence that such cause exists.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction throughout, and inserted ", and may be

referred to the Office of Administrative Law in the Director's discretion" at the end of the second sentence in 1. Recodified from N.J.A.C. 17:19-3.4 and amended by R.2008 d.363, effective December 1, 2008. See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "the" preceding "DPMC" and updated the N.J.A.C. reference.

17:19-4.5 Conditions for suspension of a firm(s) or an individual(s)

(a) The conditions for the suspension of a firm or an individual shall include the following:

1. Suspension shall be imposed only upon approval of the Director and the Attorney General, except as otherwise provided by law.
2. The existence of any cause for suspension shall not require that a suspension be imposed, and a decision to suspend shall be made at the discretion of the Director and the Attorney General and shall be rendered in the best interest of the State.
3. Suspension shall not be based upon unsupported accusation, but upon adequate evidence that cause exists.
4. In assessing whether adequate evidence exists, consideration shall be given to the credible evidence that is produced, to the existence or absence of corroboration as to important allegations, and to inferences that may properly be drawn from the existence or absence of affirmative facts.
5. Reasonable suspicion of the existence of a cause described in N.J.A.C. 17:19-4.1(a) 1 through 8 may be established by the rendering of a final judgment or judgment of conviction by a court or administrative agency of competent jurisdiction, by grand jury indictment or by evidence that such violations of civil or criminal law did in fact occur.

6. A suspension invoked by another agency of government for any of the causes described in N.J.A.C. 17:19-4.1(a) 1 through 12 may be the basis for the imposition of a concurrent suspension by the DPMC, which may impose such suspension when found to be in the best interest of the State.

Amended by R. 2000 d.76, effective February 22, 2000. See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

Substituted a reference to the Division of Property Management and Construction for a reference to the Division of Building and Construction.

Recodified from N.J.A.C. 17:19-3.5 and amended by R.2008 d.363, effective December 1, 2008. See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

In (a)5 and (a)6, updated the N.J.A.C. references and in (a)6, inserted "the" preceding "DPMC".

17:19-4.6 Procedures, period of suspension and scope of suspension affecting the suspension of a firm(s) or an individual(s)

(a) The provisions regarding procedures, period of suspension and scope of suspension shall include the following:

1. The DPMC may suspend a firm or individual or the firm's or the individual's affiliates, provided that within 10 days before the effective date of the suspension, the DPMC provides such firm or individual with a written notice:

i. Stating that a suspension has been imposed and stating its effective date;

ii. Setting forth the reasons for the suspension to the extent that the Attorney General determines that such reasons may be properly disclosed:

iii. Stating that the suspension is for a temporary period pending the completion of an investigation and any legal proceedings that may ensue: and

iv. Indicating that, if such legal proceedings are not commenced, or the suspension removed within 60 days of the date of such notice, the firm or the individual will be given either a statement of the reasons for the suspension and an opportunity for a hearing pursuant to N.J.A.C. 17:19-5, or a statement declining to give such reasons, which sets forth the DPMC's position regarding the continuation of the suspension. Where the DPMC suspends a firm or an individual based on a suspension by any other agency of government, the DPMC shall identify same as a reason for the suspension.

2. A suspension shall not continue beyond 18 months from its effective date, unless civil or criminal action regarding the alleged violation has been initiated within that period, or unless debarment action has been commenced. When prosecution or debarment action has been initiated, the suspension may continue until the legal proceedings are completed.

3. A suspension may include all known affiliates of a firm or an individual provided that each decision to include an affiliate is made on a case-by-case basis after given due regard to all relevant facts and circumstances. The offense, failure or inadequacy of performance of a firm or an individual may be imputed with in the course of the firm or the individual's official duty or was effectuated by the firm or the individual with the knowledge or approval of such firm or individual.

Amended by R.2000 d.76, effective February 22, 2000. See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted a reference to the Division of Property Management and Construction for references to the Division of Building and Construction throughout. Recodified from N.J.A.C. 17:19-3.6 and amended by R. 2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "the" preceding "DPMC" and "DPMC's" throughout; and in (a) live update the N.J.A.C. reference.

17:19-4.7 Disqualification of a firm(s) or an individual(s)

The disqualification of a firm or an individual shall be based upon the DPMC's reevaluation of the responsibility of a classified or prequalified firm or the individual based upon information not provided at the time of classification or prequalification was originally granted, as determined by the factors set forth in N.J.A.C. 17:19-2.4 or 3.3.

Amended by R. 2000 d.76, effective February 22, 2000. See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction throughout. Recodified from N.J.A.C. 17:19-3.7 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "or 3.3".

Amended by R.2016, d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

Inserted "DPMC's reevaluation of", "a classified or prequalified firm or", "based upon information not provided...originally granted."

SUBCHAPTER 5. HEARING PROCEDURES

17:19-4.8 Extent of debarment, suspension or disqualification

The exclusion from State contracting by virtue of debarment, suspension or disqualification shall extend to all State contracting and subcontracting within the control or jurisdiction of the DPMC. When it is determined by the Director to be essential to the public interest, an exception from total exclusion may be made with respect to a particular State contract.

Recodified from N.J.A.C. 17:19-3.8 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "the" preceding "DPMC".

17:19-4.9 Prior notice by the OPMC

Insofar as practicable, prior notice of any proposed debarment shall be given to the Attorney General and the State Treasurer.

Amended by R. 2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

Substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction throughout.

Recodified from N.J.A.C. 17:19-3.9 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Prior notice by DPMC".

17:19-4.10 List of debarred, suspended or disqualified firms or individuals

The DPMC shall supply to the State Treasurer a monthly list of all firms or individuals having been debarred, suspended or disqualified in accordance with the procedures in this subchapter. The list shall be available for public inspection.

Amended by R.2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

Recodified from N.J.A.C. 17:19-3.10 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "The" preceding "DPMC".

17:19-4.11 Director's authority to contract

Nothing contained in this chapter shall be construed to limit the authority of the DPMC to refrain from contracting within the discretion allowed by law.

Amended by R.2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

Substituted a reference to the Division of Property Management and Construction for a reference to the General Services Administration.

Recodified from N.J.A.C. 17:19-3.11 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "the" preceding "DPMC".

17:19-5.1 Hearings; subject matter; firms or individuals who may request hearings

(a) Administrative hearings before the DPMC may include the following subject matter and be requested by the following firms:

1. Bid protest: A firm which has submitted a bid may request a hearing to protest the DPMC's award or rejection of a bid.

2. Selection protest: A firm which has submitted a proposal for award of a professional service contract, advertised by DPMC, may request a hearing to challenge the DPMC's decision to reject that firm's proposal and/or to award the contract to another firm.

3. Evaluation or reevaluation of classification: A firm dissatisfied with its classification, or the classification of another firm, may request a hearing to protest that classification.

4. Prequalification: A firm dissatisfied with its pre-qualification may request a hearing to protest that prequalification decision.

5. Performance evaluation: A firm dissatisfied with its performance evaluation on a public works project undertaken by the DPMC may request a hearing for the purpose of presenting evidence to dispute that evaluation.

6. Suspension, disqualification, or debarment: Except in the case of a suspension, a disqualification, or a debarment by another agency of government, a firm or an individual may request and shall be entitled to a hearing to challenge the DPMC's proposed suspension, disqualification or debarment of the firm or individual.

7. Certain other matters of dispute that may occur relative to the activities of the DPMC: The Director, within the Director's sound direction, may require that a firm or an individual participate in an in formal hearing.

8. The provisions of this section do not apply to "claims conferences" that are provided for in the DPMC's consultant and construction contracts. Such "claims conferences" are contractual in nature and are intended solely to provide a non-binding forum for the presentation and resolution of disputed contract claims.

Amended by R.2000 d.76, effective February 22, 2000.

See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction throughout.

Recodified from N.J.A.C. 17:19-4.1 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Inserted "the" preceding "DPMC" and "DPMC's" throughout; added new (a)2 and (a)4; and recodified former (a)2 as (a)3 and former (a)3 through (a)6 as (a)5 through (a)8. Former N.J.A.C. 17:19-5.1. Purpose, recodified to N.J.A.C. 17:19-3.1.

Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

In (a), deleted "and be requested by the following firms". Throughout, deleted "n informal" preceding "hearing" and "before the Director" after "hearing". In (a) 1., replaced "the Director's" with "DPMC's". In (a) 2., inserted "for award...advertised by DPMC," and replaced "to protest...of a firm" with "challenge the DPMC's decision...to another firm." In (a) 4., inserted "decision". In (a) 5., inserted "s" after "work"; inserted "for the purpose of presenting evidence to dispute that evaluation." In (a) 6., inserted "," after "disqualification" in two

instances. In (a) 8., replaced “convened at the Director’s discretion” with “contractual in nature...disputed contract claims.”

17:19-5.2 Requests for hearings; hearing procedures; time limitations

(a) Requests for hearings shall be made as follows:

1. Bid protest: An unsuccessful bidder seeking a hearing to challenge either the rejection of its own bid or the award of the contract to another bidder shall make written request to the Director setting forth the specific grounds for challenging an award of a contract or a bid rejection. The request must be received by the Director within five calendar days after the opening of bids.

2. Selection protest: An unsuccessful firm seeking a hearing to challenge either the rejection of its own proposal or award of the contract to another firm shall make written request to the Director setting forth the specific grounds for challenging the Director’s selection or rejection of a firm. The request must be received by the Director within five calendar days after the firm has been selected or rejected.

3. Evaluation or re-evaluation of classification: If a firm objects to its assigned classification or a firm objects to the classification of any other firm, a hearing may be requested pursuant to N.J.S.A. 52:35-4 and this subchapter. If a firm objects to its own classification, the request must be made, in writing, to the Director within 15 calendar days after the date of the classification notice. If a firm objects to the classification of another firm, the request must be submitted to the Director within five calendar days after the opening of bids or at least three calendar days before the proposed date of contract award, whichever date is earlier.

4. Prequalification: If a firm is dissatisfied with its prequalification, a hearing may be requested pursuant to N.J.S.A. 52:35-4 and this subchapter. If a firm objects to its own prequalification, the request must be made, in writing, to the Director within 15 calendar days after the date of the prequalification notice.

5. Performance evaluation: Any firm seeking to challenge a project performance evaluation by the DPMC must make written request for a hearing to the DPMC setting forth the specific grounds for the challenge. Such request must be duly submitted within 15 calendar days after the date of receipt of written notification of the performance evaluation. Any challenge to the performance evaluation of another agency of government must be made in accordance with the other agency of government’s guidelines.

6. Suspension, disqualification or debarment: Any firm seeking to challenge a suspension, disqualification or debarment must make written request to the Director setting forth the specific grounds for the challenge. Such request must be duly submitted within 15 calendar days after the date of receipt of DPMC’s written notification of the suspension, disqualification or debarment.

7. Certain other matters of dispute that may occur relative to the activities of the DPMC: the Director, within the Director’s sound discretion, may request that a firm participate in a hearing at a date and time to be scheduled by the Director.

(b) Hearing procedures are as follows:

1. Procedures in contested cases. Any matter constituting a contested case shall be conducted in accordance with the practices and procedures set forth in the Administrative Procedure Act,

N.J.S.A. 52:14B-1 et. seq., and 52:14F-1 et. seq., and the Uniform Administrative Procedure Rules, N.J.A.C. 17:27.

2. Procedures in matters not constituting contested cases are as follows:

i. Hearings in all matters not constituting contested cases will be conducted either by the Director or by a person designated by the Director to hear such matters. Delegation of authority may include authority to issue a final agency decision or, alternatively, may be limited to the creation of an evidentiary record to be transmitted to the Director for issuance of a final agency decision. Where feasible, hearings shall be held within 15 calendar days of receipt of hearing request.

ii. Hearings may be held either in person or by electric media, or a combination of both, and shall be conducted in such manner as to afford all interested parties a fair opportunity to present their respective factual and legal positions and to create a factual record sufficient to support issuance of a final agency decision on the issue or issues presented. Should the decisionmaker determine that there are no material facts in dispute, or should the parties agree to stipulate to all material facts, the decisionmaker may accept written submissions from the parties in lieu of a hearing before rendering a final agency decision.

iii. Should it be anticipated that a hearing will involve the taking of testimony from one or more witnesses, the person conducting the hearing for the State, as a matter of discretion, may provide for the transcription of such testimony at the State’s expense. Should the State not provide for transcription, any party may arrange for transcription of all testimony at that party’s expense. The State’s decisionmaker shall be provided with a copy of the transcript of all proceedings at no charge.

iv. Upon timely written request in advance of the hearing:

(1) The State shall provide copies of all relevant non-privileged documents to any party; and

(2) A party shall provide copies of all relevant non-privileged documents to the State and to all adverse parties. Copies shall be provided at the actual cost of reproduction.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), substituted references to the Division of Property Management and Construction for a reference to the Division of Building and Construction in 1, and deleted “relative to evaluation of performance” at the end of 3.

Recodified from N.J.A.C. 17:19-4.2 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Added new (a)2 and (a)4; recodified former (a)2 as (a)3 and former (a)3 through (a)5 as (a)5 through (a)7; in (a)5, substituted “project performance evaluation by the DPMC” for “DPMC performance evaluation”, and inserted “the” preceding “DPMC setting”; deleted former (b)2 and (b)4; recodified former (b)3 as (b)2 and former (b)2 and former (b)5 and (b)6 as (b)3 and (b)4; in (b)1, deleted “or by the Deputy Director” from the end of the first sentence; in (b)3 and (b)4, updated the N.J.A.C. references; in (b)4, substituted “the authority” for “to the Deputy Director the ability”; and added new (b)5 and (b)6. Former N.J.A.C. 17:19-5.2. Scope, recodified to N.J.A.C. 17:19-3.2. Amended by R.2016 d.181, effective December 19, 2016. See: 48 N.J.R. 1495(a).

In (a) 1., replaced “A firm” with “An unsuccessful bidder”; inserted “to challenge...bidder”. In (a) 2., replaced “A firm” with “An unsuccessful firm”, deleted “which has submitted a proposal” and inserted “to challenge...another firm.” In (a) 7.,

deleted "an informal or a formal". Recodified subsections of (b) 1. And (b) 2., and replaced (b) 3.-6. with subsections i.-iv. (2).

17:19-5.3 Discovery procedures

In an informal hearing, the Director shall be entitled, upon request, to review all records and documents used in evidence by a complainant. Any requested records and documents shall be made available to the Director at the actual cost of reproduction.

Amended by R. 2000 d.76, effective February 22, 2000.
See: 31 N.J.R. 4237(a), 32 N.J.R. 712 (a).

In (a), (b) and (f), substituted references to the Division of Property Management and Construction for references to the Division of Building and Construction; and in (b), substituted a reference to 15 calendar days for a reference to five calendar days. Recodified from N.J.A.C. 17:19-4.3 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Former N.J.A.C. 17:19-5.3. Definitions, repealed.

17:19-5.4 (Reserved)

Recodified from N.J.A.C. 17:19-3.3 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Prequalification of consultant firms".

17:19-5.5 (Reserved)

Recodified from N.J.A.C. 17:19-3.4 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Public notification".

17:19-5.6 (Reserved)

Repealed by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Set-aside program: minority-owned and female-owned businesses".

17:19-5.7 (Reserved)

Recodified from N.J.A.C. 17:19-3.6 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Major project selection procedures".

17:19-5.8 (Reserved)

Recodified from N.J.A.C. 17:19-3.7 and amended by R. 2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Routine contracts".

17:19-5.9 (Reserved)

Recodified from N.J.A.C. 17:19-3.8 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Term contracts".

17:19-5.10 (Reserved)

Recodified from N.J.A.C. 17:19-3.9 and amended by R.2008 d.363, effective December 1, 2008.
See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Term contract project selection procedures".

17:19-5.11 (Reserved)

Recodified from N.J.A.C. 17:19-3.10 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Agency consultant program".

17:19-5.12 (Reserved)

Recodified from N.J.A.C. 17:19-3.11 and amended by R.2008 d.363, effective December 1, 2008.

See: 40 N.J.R. 3959(a), 40 N.J.R. 6825(a).

Section was "Client agency management of design/construction projects".