Reference Guide

Subcontractor Prequalification v10x

By CMiC

CMiC
Computer Methods
international Corp.

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Subcontractor Relationship Management

Overview – Subcontractor Relationship Management

CMiC Subcontractor Relationship Management helps an organization manage subcontractors from start to finish, by integrating all subcontracting activity into the organization. Subcontractors are a vital part of completing any construction project, but the mismanagement of subcontractors can present a substantial risk that can threaten the stability and profitability of a project.

CMiC Subcontractor Prequalification is designed to be applicable both for general contractors and subcontractors. CMiC Subcontractor Prequalification enables collaboration in line with the PM JSP approach, and it automates the pre-qualification process. Applicants may submit their documents such as financial statements, insurance certificates, and other supporting documents through the web-enabled self-serve application, and the owners can go through the information to determine the prequalification status of the applicants.

Create, track, and approve vendor applications online and track multi-tiered contracts. Prequalify subcontractors before they begin work on a project, and store ratings and past work performance for future reference to ensure that subcontractors meet the organization's high standards of quality and reliability. Manage exposure through the detailed tracking of lien waivers, releases, and insurance certificates, and gain full control of all subcontracting arrangements, including contracts, billing, and payments.

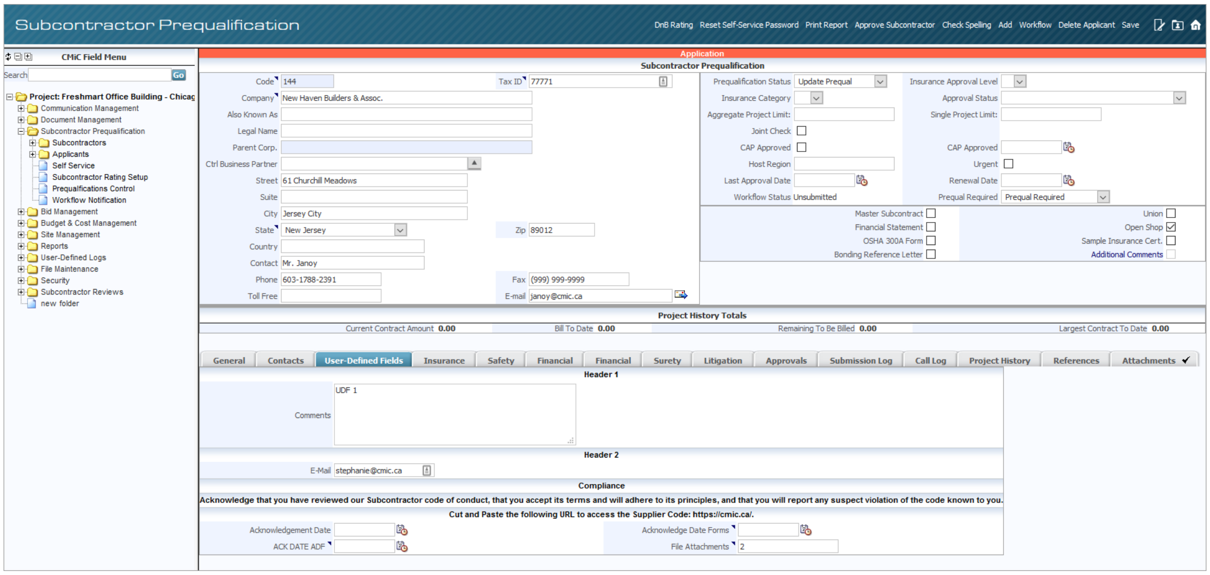
CMiC Subcontractor Relationship Management includes:

- Prequalification
- Subcontractor Rating
- Subcontractor Management

This document covers both prequalification and rating. See the *Subcontract Management* guide for details on managing subcontracts.

Subcontractor Prequalification

Introduction

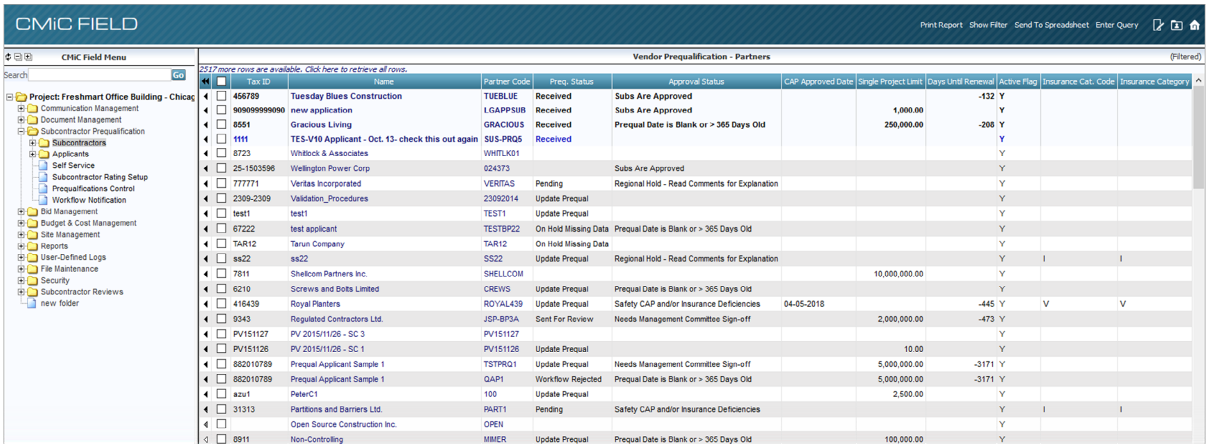


Sample of Subcontractor Prequalification

Internal users are presented with the options as presented within the Project Management Treeview within a node. Standard functionality of PM Treeview Menu Maintenance allows repositioning and labeling of the options as per their own requirements. For simplicity, the Treeview being shown in several of these screens was modified to eliminate display of the remaining PM options.

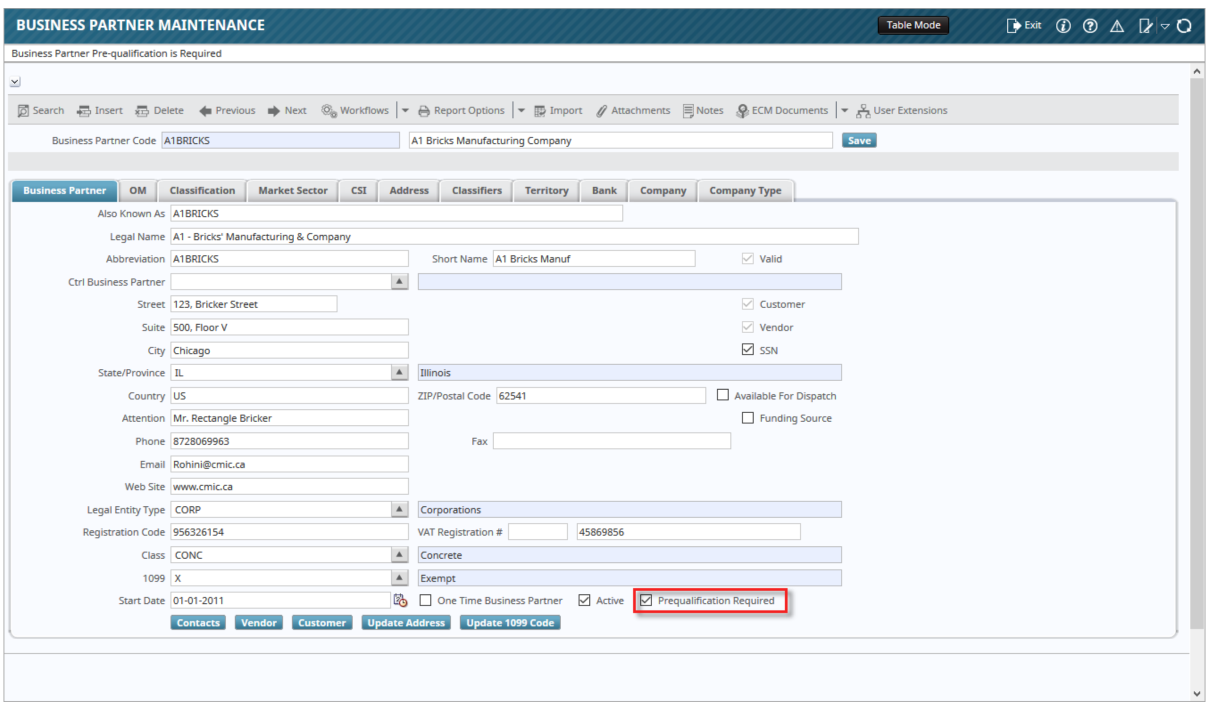
The Subcontractors and Applicants log views present the standard set of buttons for printing, querying, filtering, and sending to spreadsheet.

Subcontractor Log

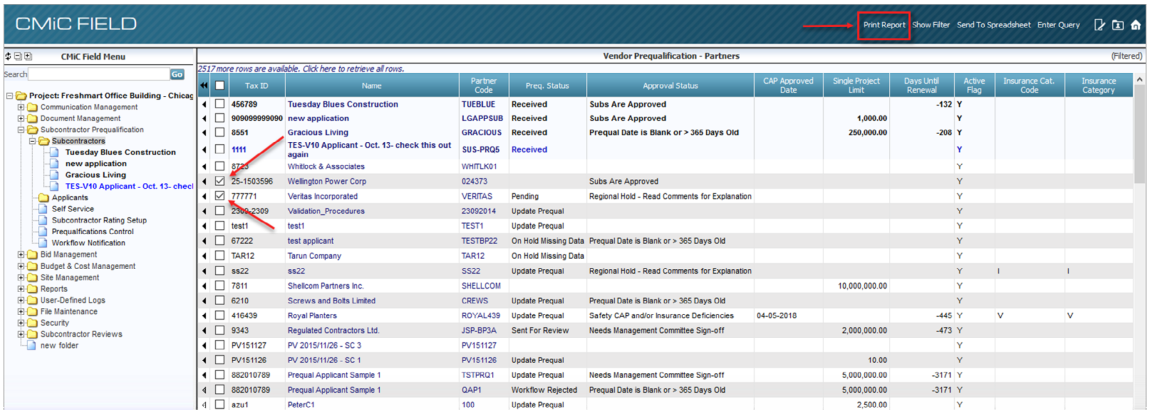


Subcontractor Log

The Subcontractor log, by default, displays only partners that are marked as “Prequalification Required”. This results in a smaller listing of those appropriate for viewing rather than the entire business partner listing. If the business partner is pre-existing, setting the business partner to prequalification required will now make prequalification settings applicable to that business partner.

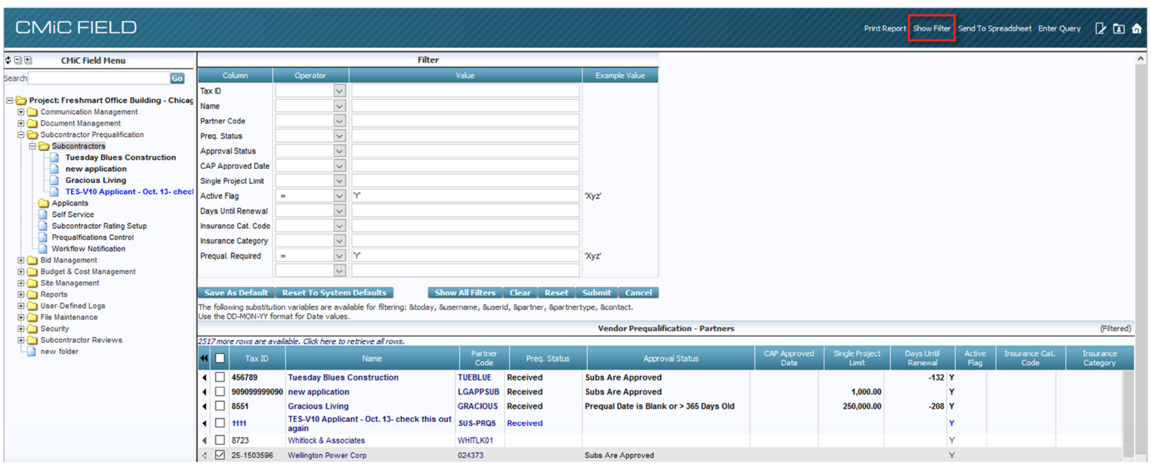


[**Print Report**] – Button



The checkboxes in the log are tied in with the [**Print Report**] button allowing output from multiple partners in a single step. Also, users have the ability to select/unselect all the subcontractors from the list by checking/unchecking the box in the header.

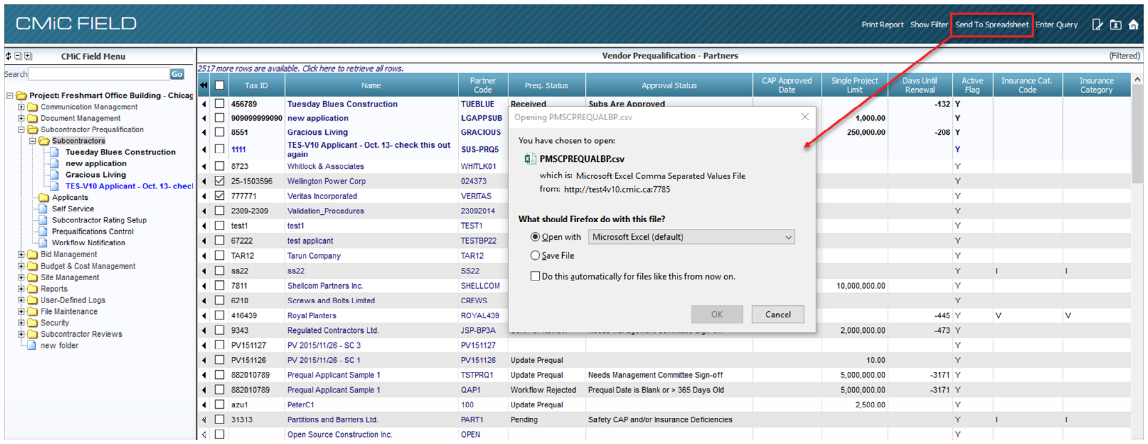
[**Show Filter**] – Button



The [**Show Filter**] button allows viewing and changing of the current filter set on the log. This is the standard filtering option provided on all JSP Log screens.

The default filter is to only show business partners where the 'Prequalification Required' box is checked.

[**Send To Spreadsheet**] – Button

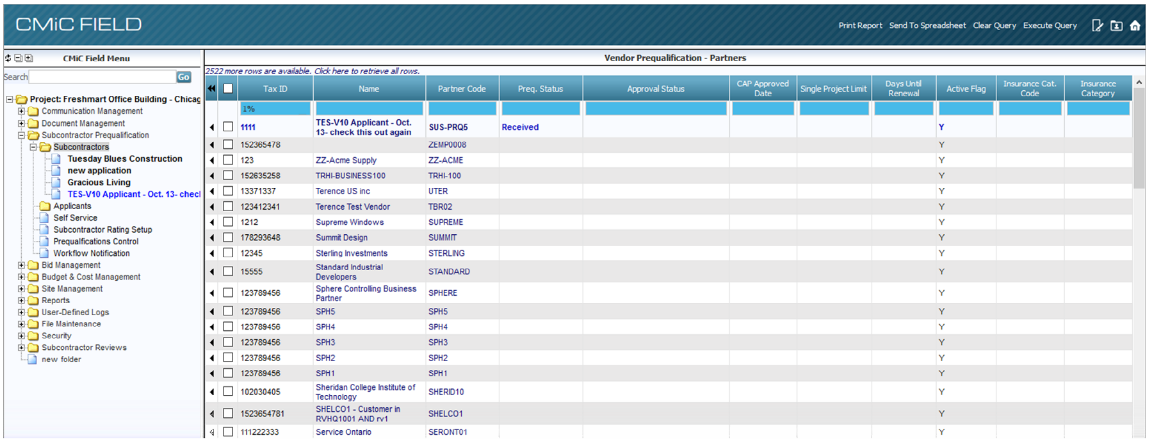


The [**Send To Spreadsheet**] button available in all JSP Logs is provided to export the log data currently displayed to a CSV/Excel file. This is useful when someone wants to perform more analysis on the data or to transfer for external processing and reporting.

[**Enter Query**] – Button

Log records can be filtered using the query feature. The query criteria is remembered for the current log while the user drills into a detail record and returns back to the log. The sort order also is remembered while the user works with the same log.

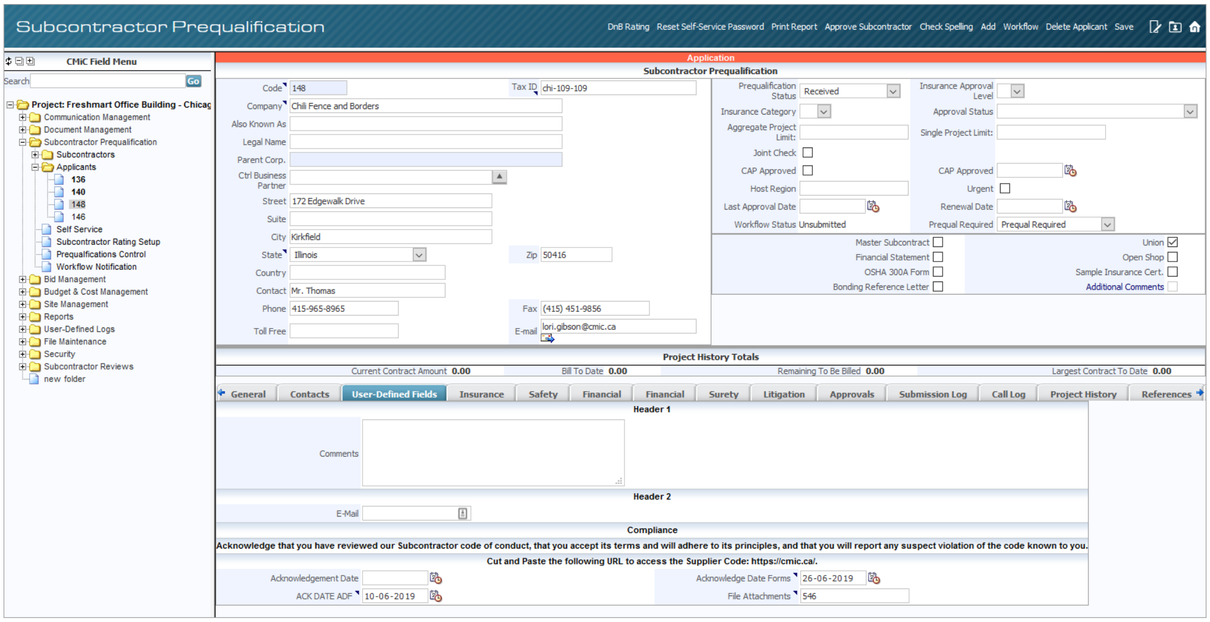
To query the log, simply click the [**Enter Query**] button, and a blue line of empty fields will be displayed above the log records. Enter the value or query criteria for record selection. Refer to the sample below.



For date fields, the format for query entry is dd-mm-yy, dd/mm/yy, or dd-mmm-yyyy. The operators, such as “=”, “<”, “>”, “>=”, etc. can be included where appropriate. Also, users may use a wild card character such as “1%” to query a specific set of data.

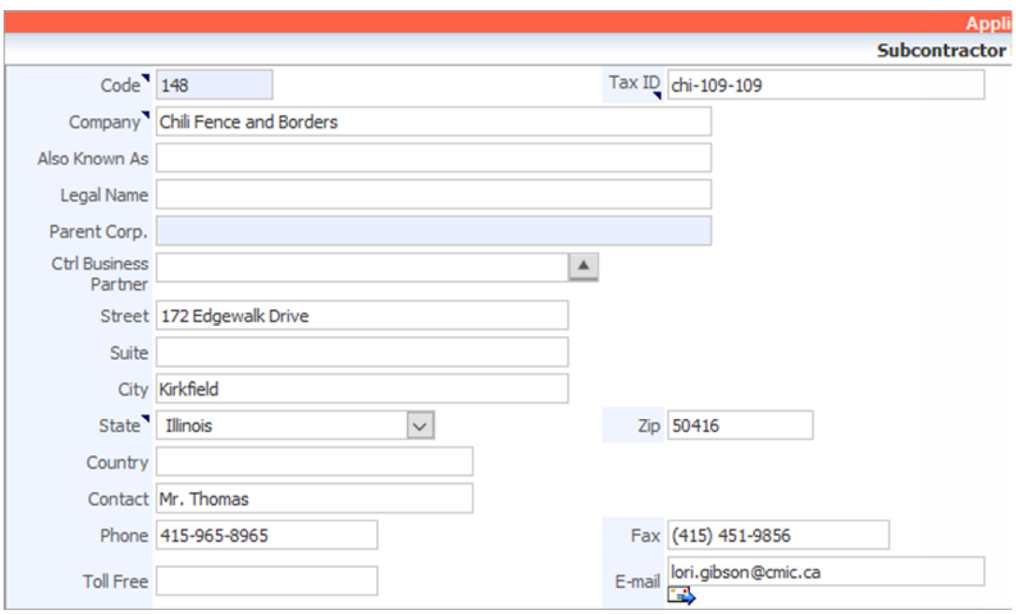
Click the [**Execute Query**] button to run the query against the entered data.

Subcontractor Prequalification Applicants

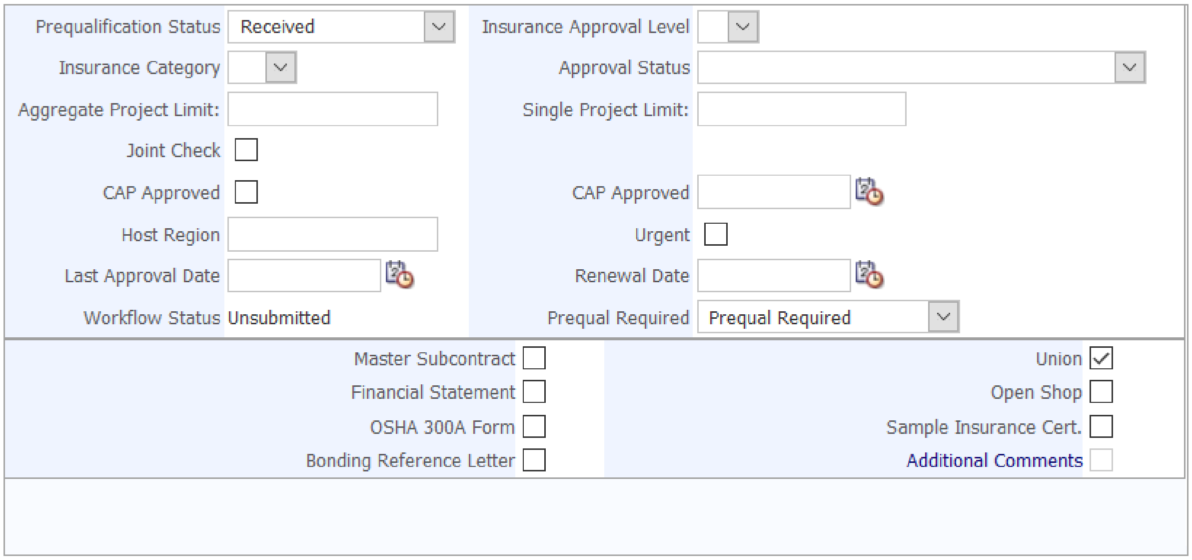


Applicant Log – Add Applicant initial screen

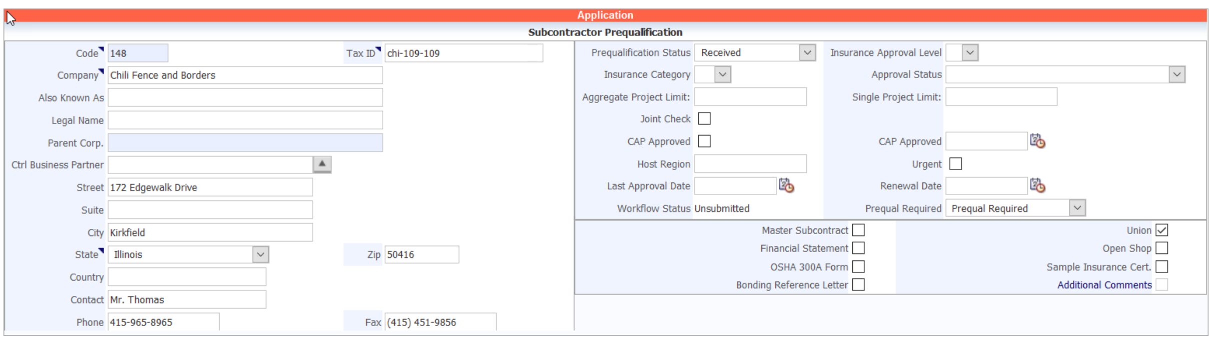
The [**Add**] button in the Applicants Log is provided to allow internal users to add applicants directly into the subcontractor prequalification process. Applicants also have the option (if allowed) to use the Self Service screen to manually add their own information to which an internal user would be able to update as required. This may also include a workflow process.



The left section of the header block allows for maintenance of the applicant information, such as code, tax ID, name, address, and other contact related information.

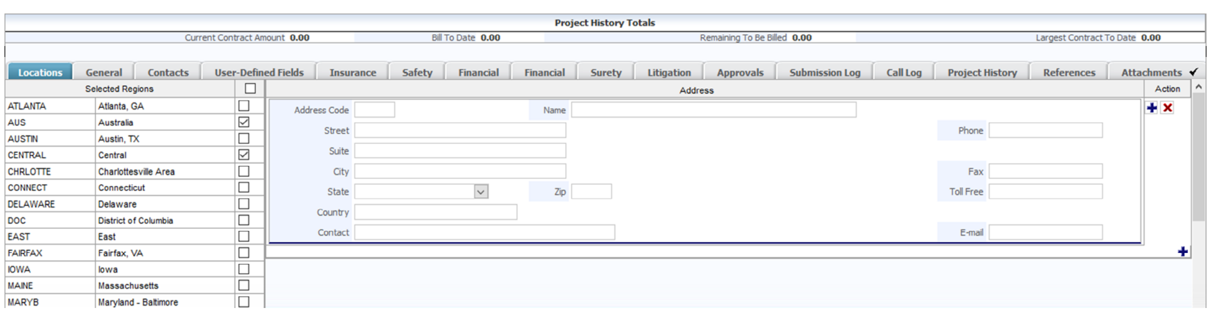


The right side of the header section allows updates on the current status of the applicant, as well as the approval level, insurance category, limits, CAP information, workflow status, whether a default compliance code set in SC control is to be inserted/updated in all subcontracts/vouchers (applicable only when the applicant turns subcontractor vendor), whether they will require prequalification (only applicable once converted into a business partner), as well as checkboxes indicating which documents have been provided.



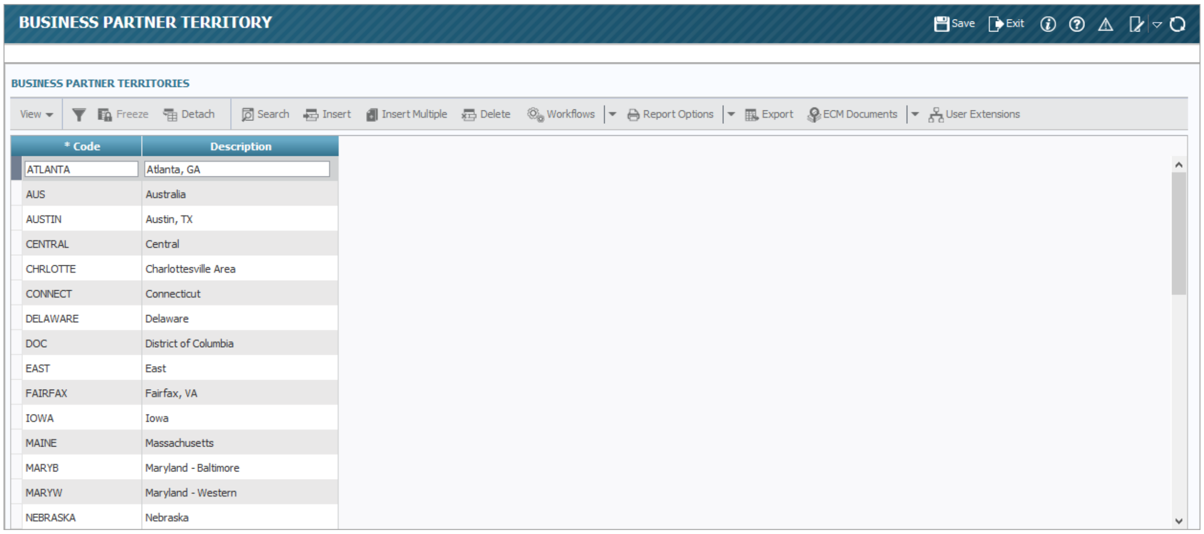
Completed applicant header section sample

Locations – Tab



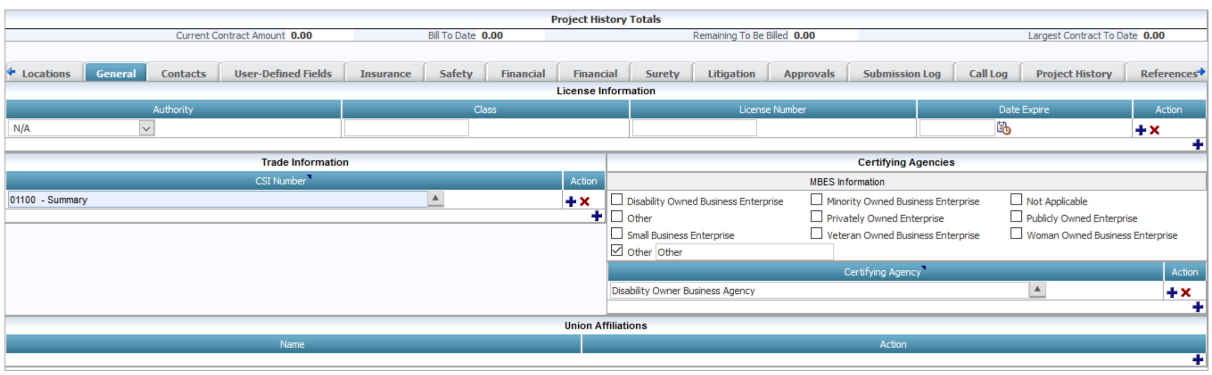
The Locations tab allows the selection of one or more business partner territories (left section), as well as the entry of actual addresses (right section) as required. In both cases, multiple regions/addresses are permitted.

The selected regions data is maintained in the PM Forms Local Table – Business Partner Territories.



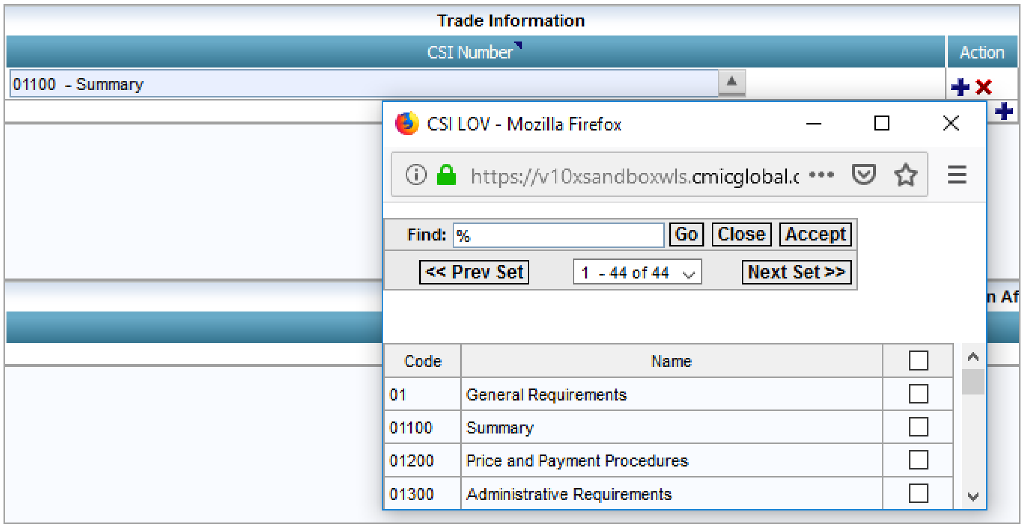
Business Partner Territories

General – Tab



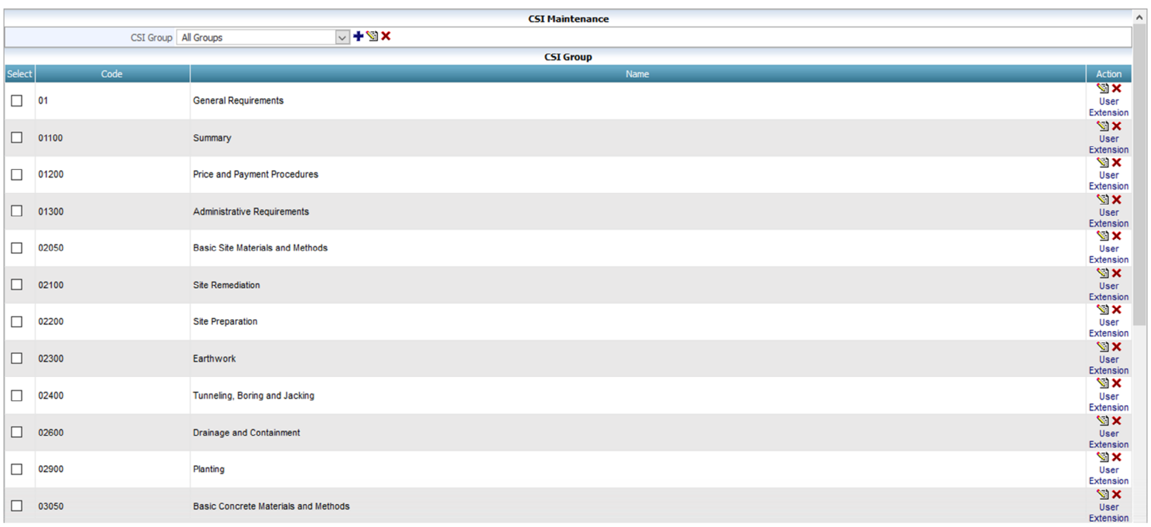
The General tab allows the maintenance of trade information, such as CSI numbers, certifying agencies, and license information of a subcontractor.

Trade Information



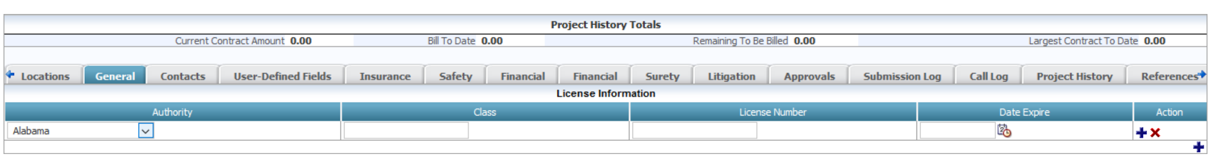
CSI Number

The CSI LOV is created from the PM JSP Local Files > CSI Maintenance.



PM JSP Local Tables – CSI Maintenance

Licenses Information

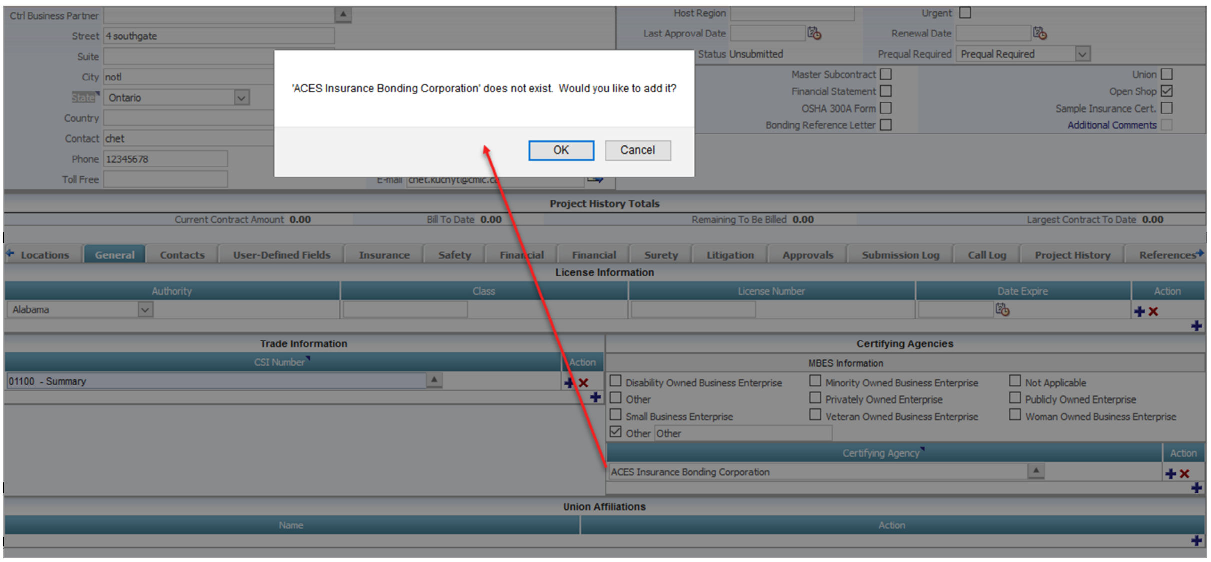


The License Information section allows entry of any relevant license information available. This includes specification of the authority which has issued the license as well as the expiry date.

Certifying Agencies

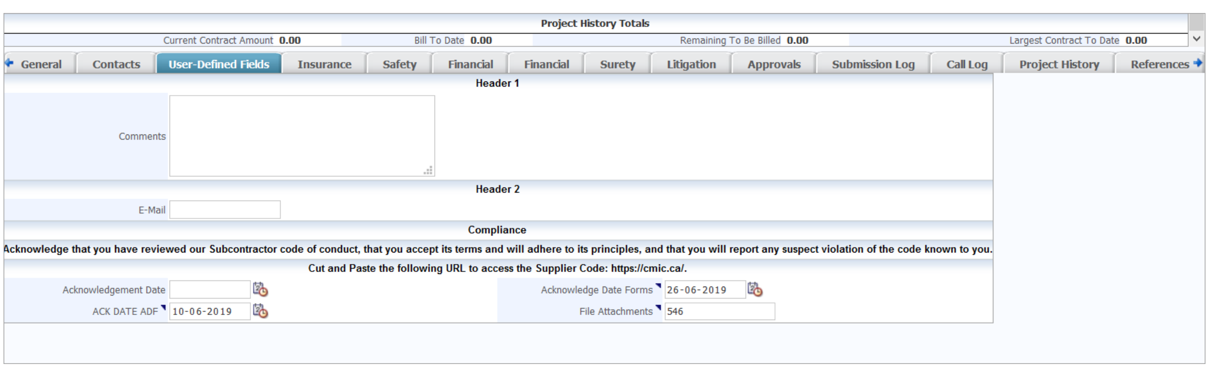
This section allows tracking of MBE/DBE (minority/disadvantaged business enterprise) information including specification of the certifying agency.

The Certifying Agency LOV is self-maintained in this section. Entry of a value will prompt the user for saving on committing of the record. From that point forward, the LOV will include the value just saved.



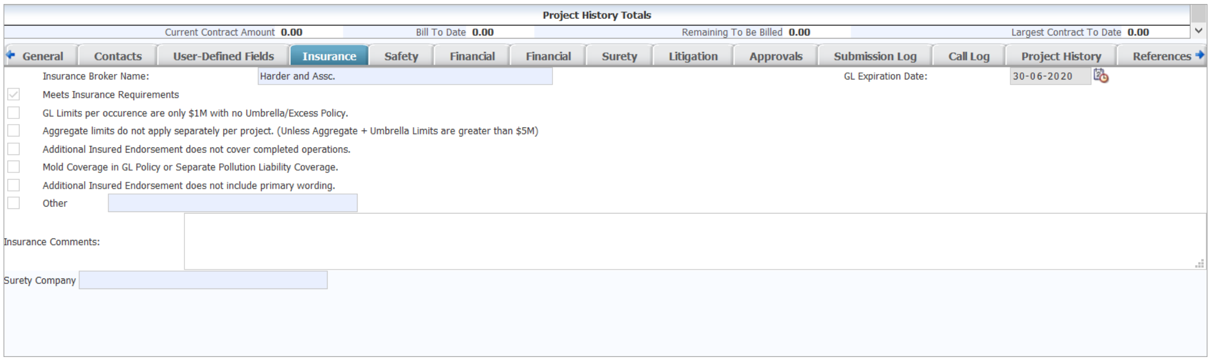
Confirmation dialog when adding a new certifying agency for MBE/DBEs

User Defined Fields – Tab



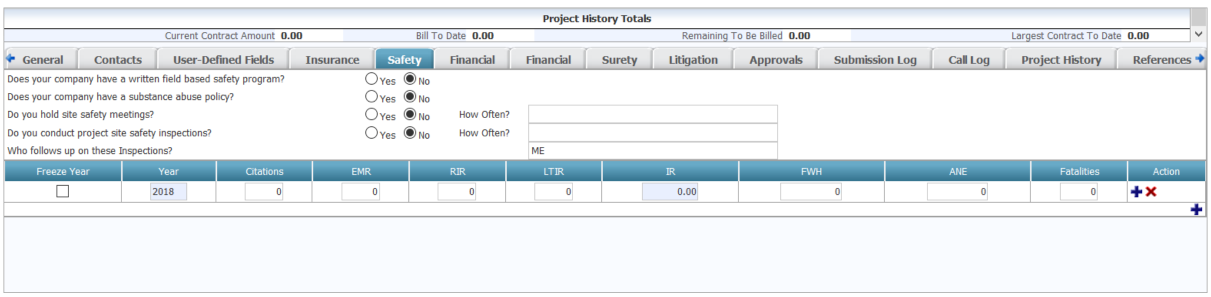
The User Defined Field tab allows maintenance of any ad-hoc entries, if required.

Insurance – Tab



The Insurance tab allows the recording of various items related to vendors insurance.

Safety – Tab



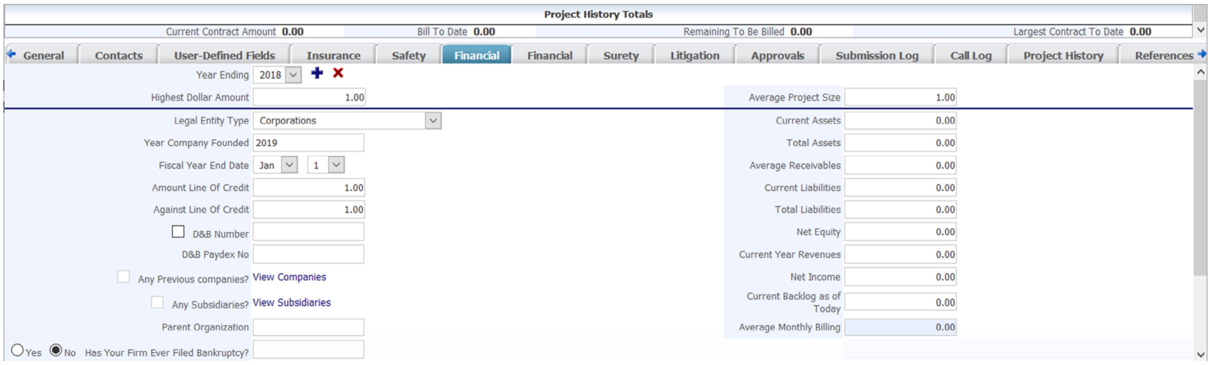
Under the Safety tab, maintenance of safety related information is completed by checking the appropriate status values and entry of standard safety related values by year, such as safety citations received, fatalities in the year, and other values including:

- EMR – Experience Modification Rate: The rate is based on two major issues, the number of claims and the cost of each claim. In essence, subcontractors whose unsafe acts result in injury have a higher EMR than subcontractors who actively practice safety and mitigate claims.
- RIR – Recordable Injury Rate: The incidence rate can be computed for all recordable cases of injuries and illnesses using the following formula: Total number of injuries and illnesses (N) ÷ number of hours worked by all employees (EH) x 200,000 hours = total recordable case rate. The 200,000 figure in the formula represents the number of hours 100 employees working 40 hours per week, 50 weeks per year would work and provides the standard base for calculating incidence rates.
- LTIR – Lost Time Injury Rate: This is calculated in the same way as the recordable injury rate, but instead of counting the total number of injuries and illnesses, the count would be for number of injuries and/or illnesses resulting in lost workdays.
- FWH – Total hours worked for all employees.
- ANE – Annualized average number of employees for the specified year.

The Incident Rate (IR) field is calculated: (RIR + LTIR) × 200000/FWH

To record additional years, click the add icon (✚).

Financial – Tab



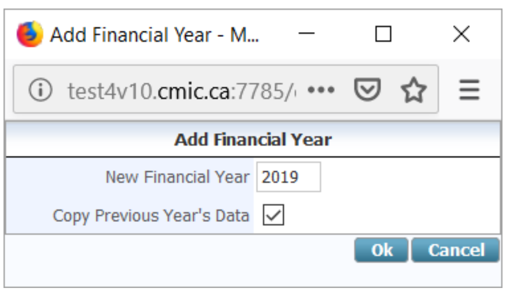
The Financial tab will allow entry for the current and past years financial information that may have an impact on qualification for the contractor.

Legal Entity Type

The legal entity types are selectable as specified in the AP Setup screen for AP business partners.

Year Ending

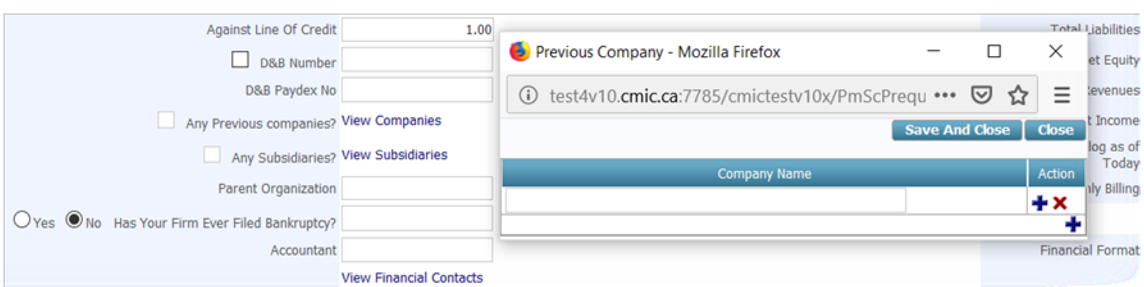
The ✚ displays a pop-up window:



This allows for keeping of more than a single year of financial information related to the vendor. The 'Copy Previous Year's Data' checkbox can be used to simplify updates to the newly added year where most of the information is the same.

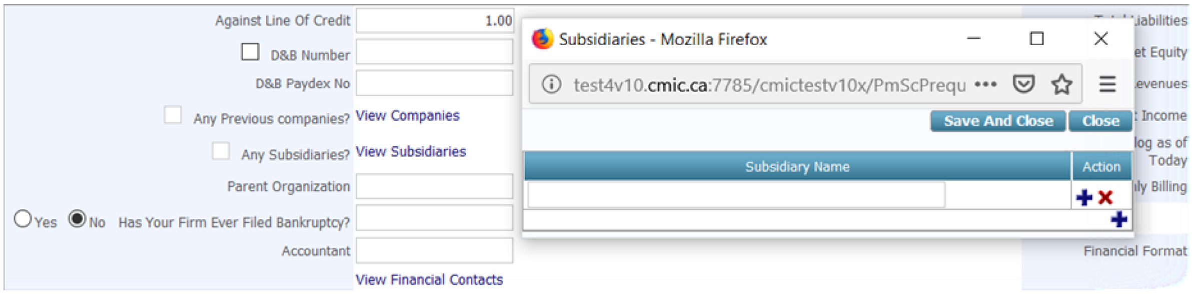
The financial year record can be deleted by clicking the ✖ beside the chosen year.

View Companies



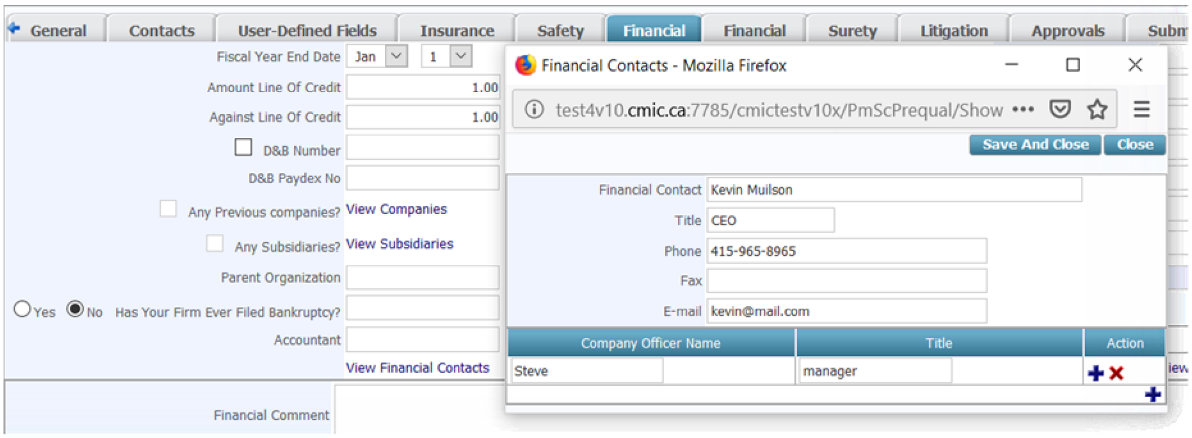
The View Companies link allows the tracking of other company names that may be related to the applicant.

View Subsidiaries



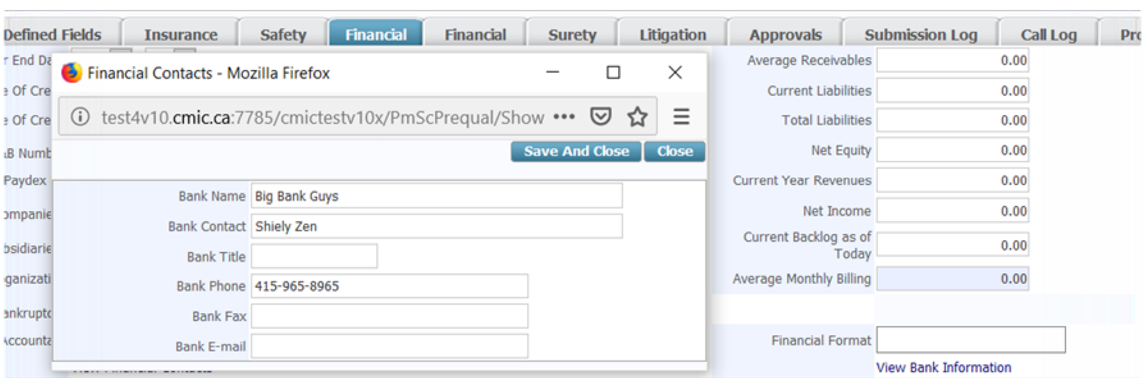
The View Subsidiaries link allows the tracking of other subsidiary names that may be related to the applicant.

View Financial Contacts – Link



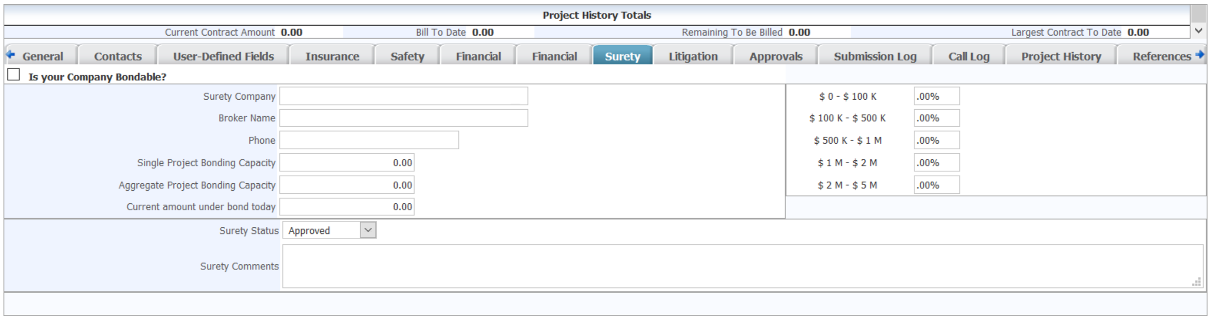
The Financial Contacts link allows specification of name and titles related to the company officers for this applicant. Additional officer names and titles are added by using the Add icon (➕).

View Bank Information – Link



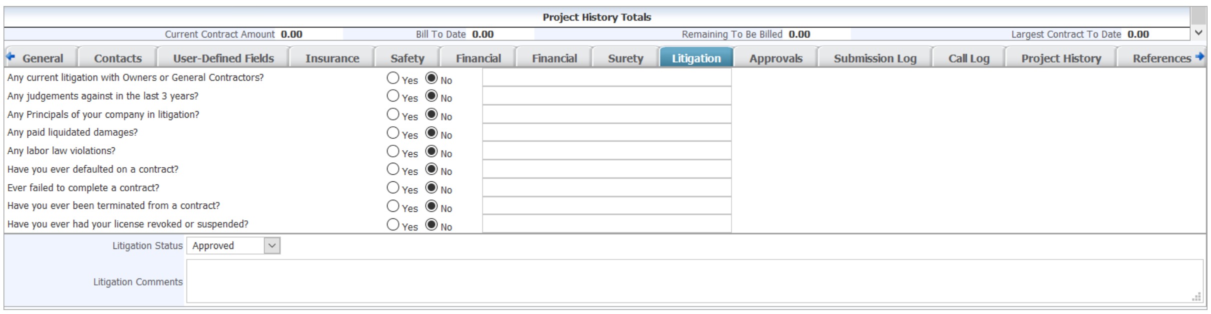
This allows for the recording of the applicant’s primary bank information, including the contact at the bank and their title and contact information.

Surety – Tab



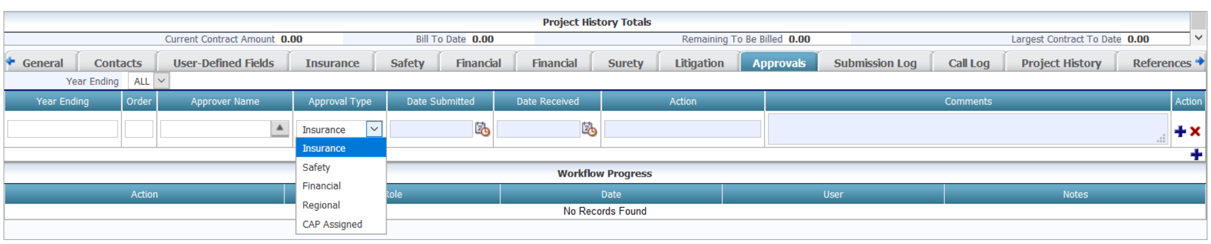
The Surety tab allows for the entry of bond information for the applicant.

Litigation – Tab



The Litigation tab allows entry of any litigation data for the applicant as well as specification of approved, not approved, or need more info options for the applicant.

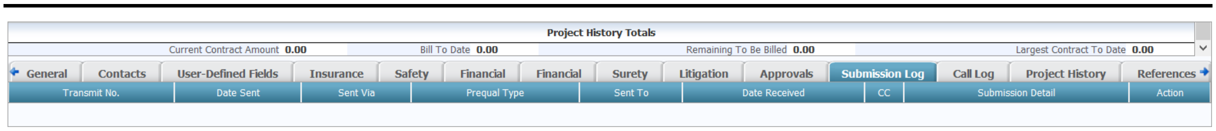
Approvals – Tab



The Approvals tab allows for the maintenance of the approvals the vendor has received regarding various items, such as insurance, safety, financial, regional, or CAP assigned including the year and who has made the approval.

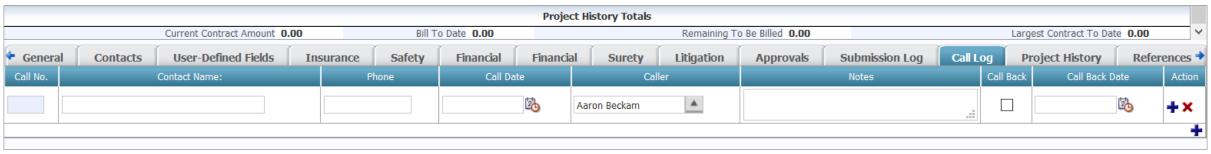
NOTE: The Date, Action, and Comments fields are display only and will be populated only when approvals are done via a workflow.

Submission Log – Tab



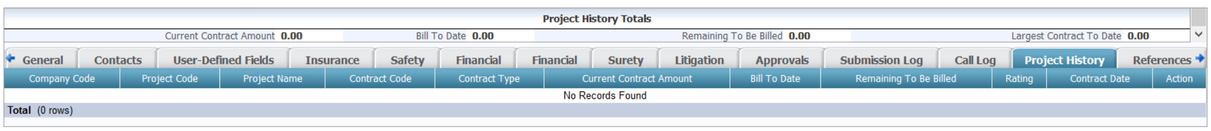
The Submissions Log tab is a display only type of log, showing information regarding reports that have been generated from the Applicant/Subcontractor Prequalification screen, as well as information from any prequalification process workflows.

Call Log – Tab



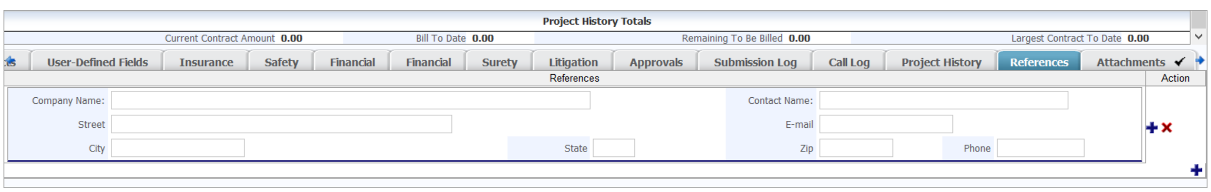
The Call Log tab allows the entry of any calls made related to the applicant. Optionally, a call back date can also be added as a manual reminder to call them back.

Project History – Tab



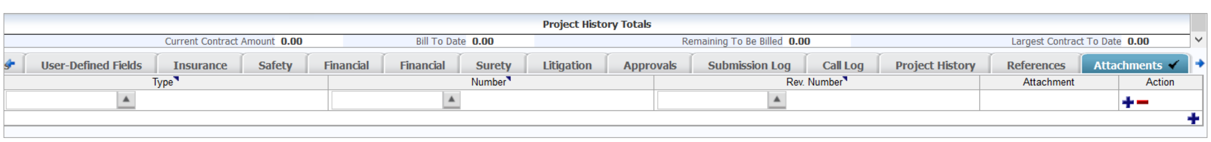
The Project History tab displays all the project information for the subcontractor vendor (applicable only when the applicant becomes a subcontractor).

References – Tab

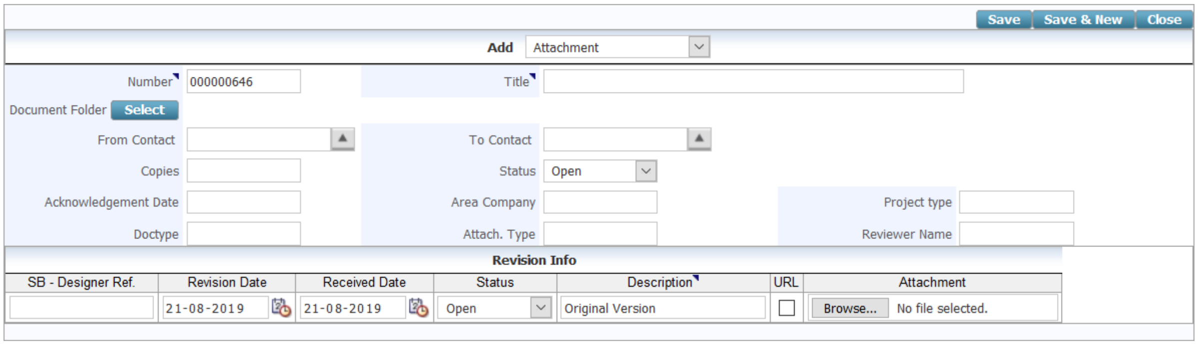


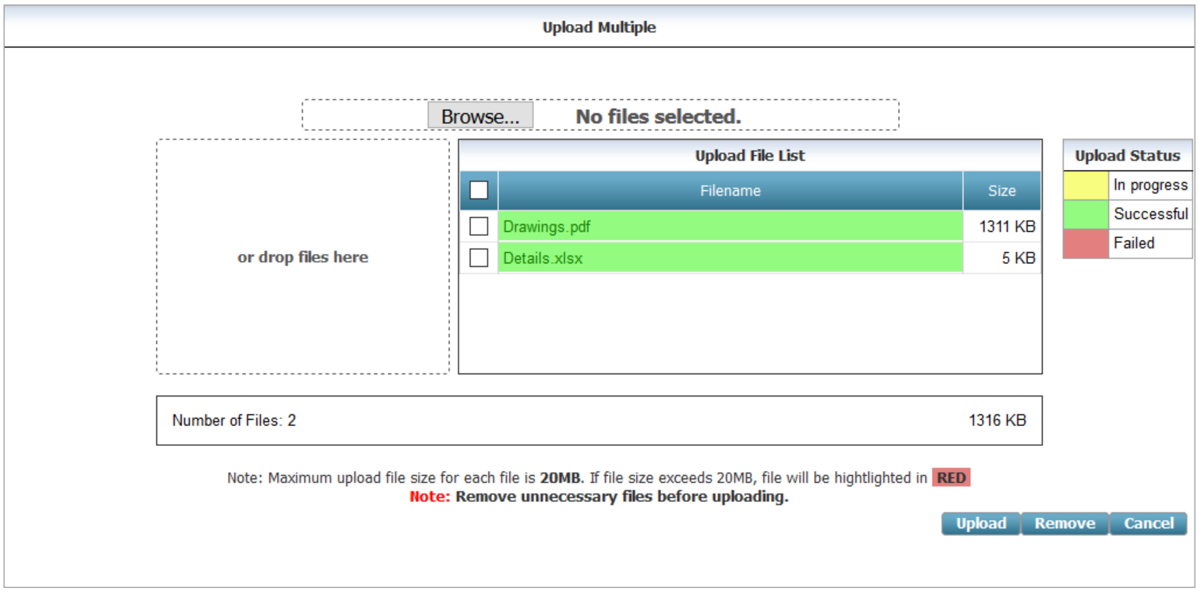
One or more references can be entered using the References tab.

Attachments – Tab



Existing attachments from any project can be selected for the applicant. Additionally, new documents can be added using the [**Upload New**] button in the title bar when in the Add Attachments section.





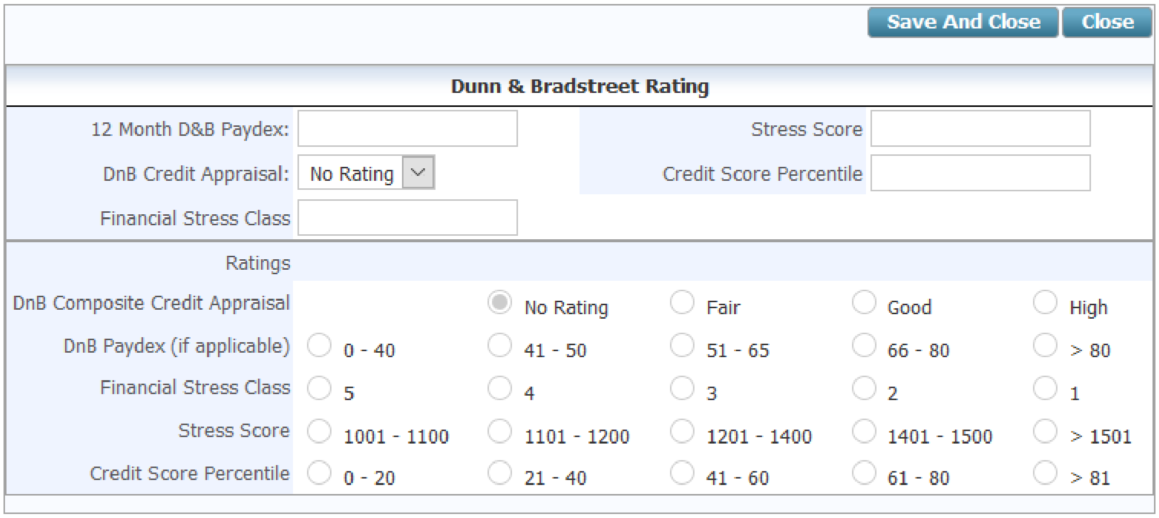
New documents may also be added using the [**Upload Multiple**] button in the title bar when on the Add Attachments section. This allows users to upload multiple documents at once.

Additional Information Options

The following buttons are available on the top of the screen to perform the following specific actions

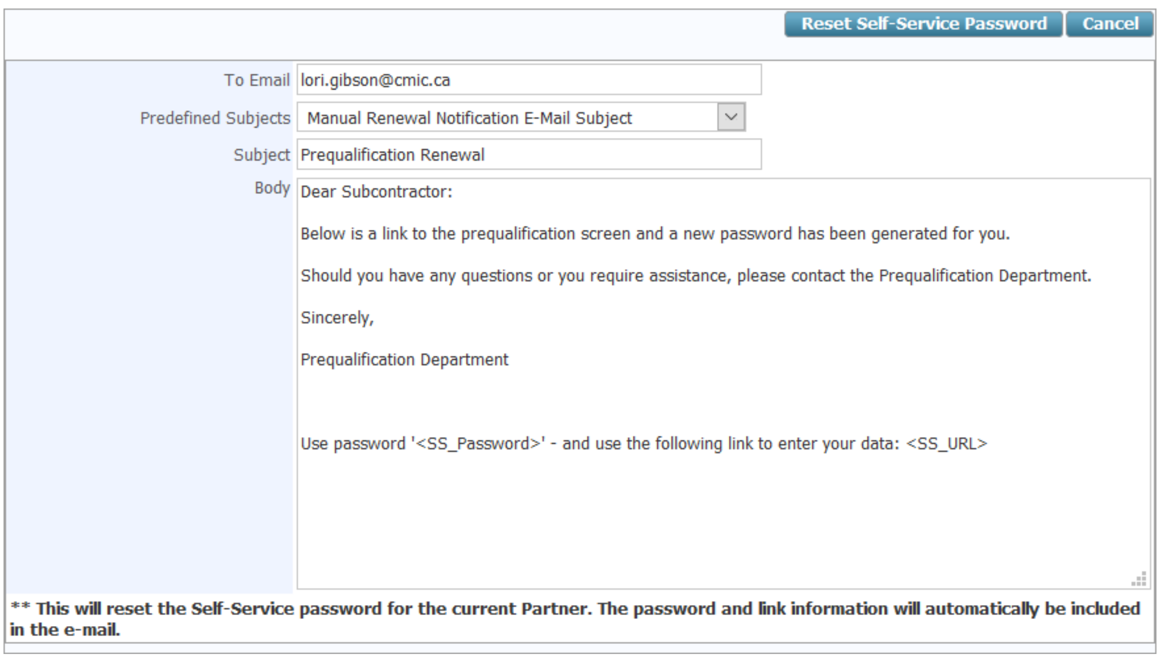
[**DnB Rating**] – Button

The Dunn & Bradstreet rating information, if available, may be entered/edited related to an applicant.



[**Reset Self-Service Password**] – Button

If an applicant is permitted to use the self service functionality to enter/update their information, this pop-up window may be used to set/reset the password and notify the applicant via an email. This is useful to reset the password for an applicant that may have forgotten/lost their existing password.

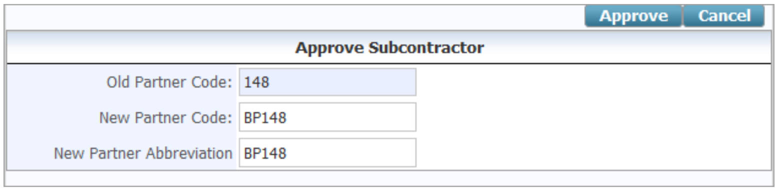


[**Print Report**] – Button

This is a standard CMiC Print Reports pop-up window which allows the user to select and print the available reports.

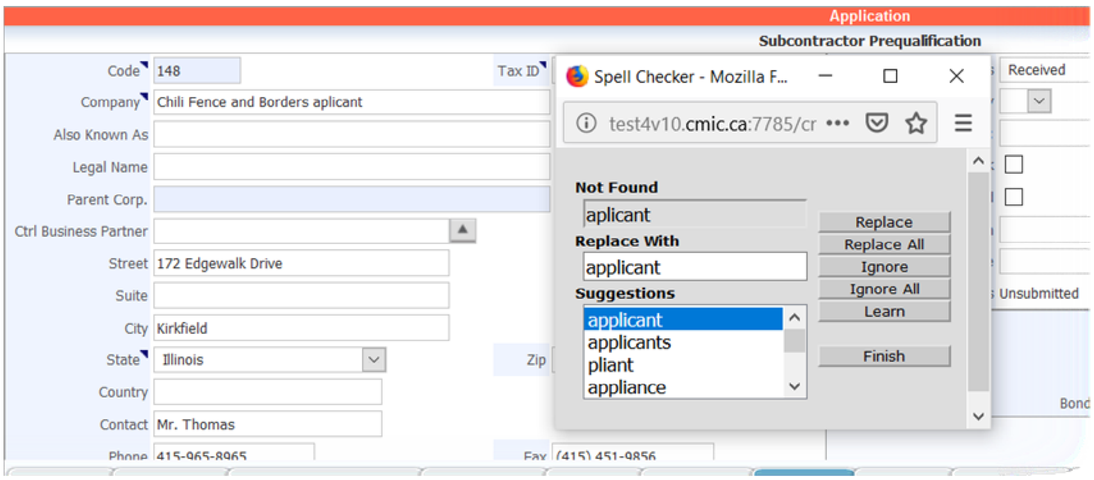
[**Approve Subcontractor**] – Button

When an applicant is pre-qualified to be a business partner, use this approve screen to enter the business partner code and abbreviation and approve. Once approved, from this time forward, the applicant will only be available under the Subcontractor Log. The applicant is now recognized as a business partner in CMiC.



[**Check Spelling**] – Button

The standard check spelling functionality is available for use, as required.

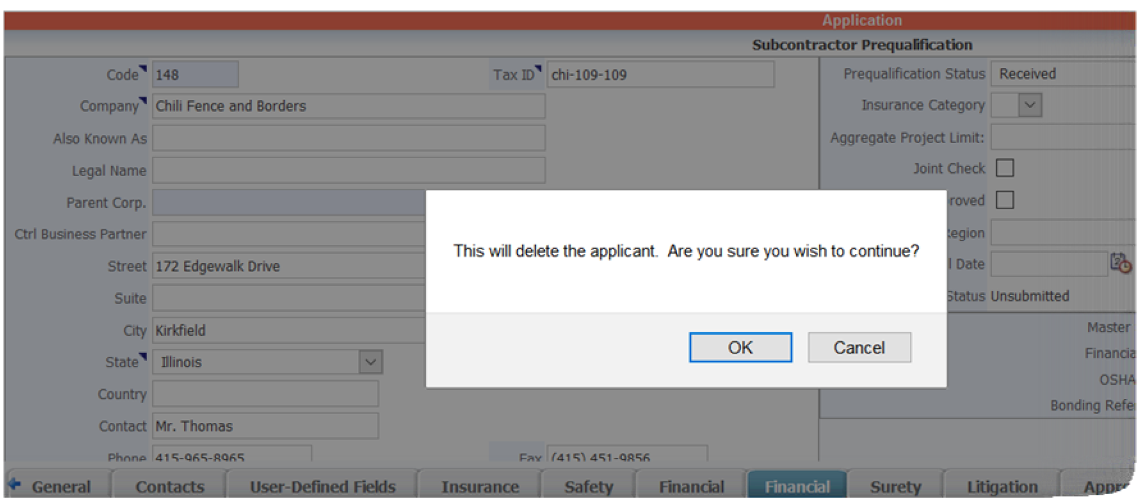


[**Add**] – Button

This button allows the user to start entering a new applicant into the Subcontractor Prequalification module.

[**Delete Applicant**] – Button

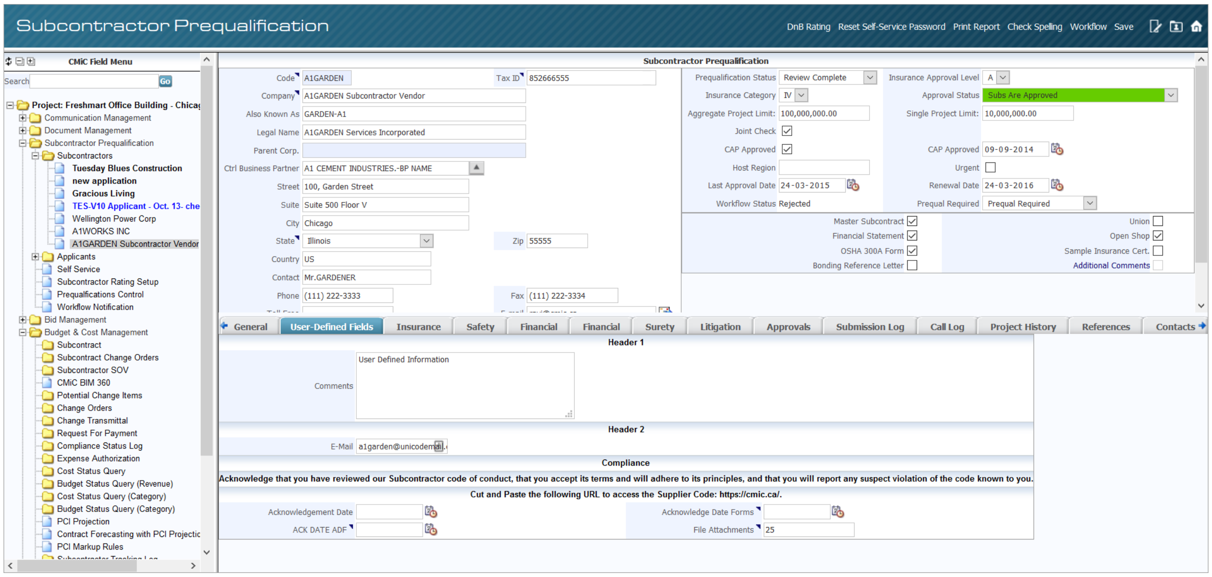
An applicant may be deleted, and the user will be required to confirm before deleting from the system.



[**Save**] – Button

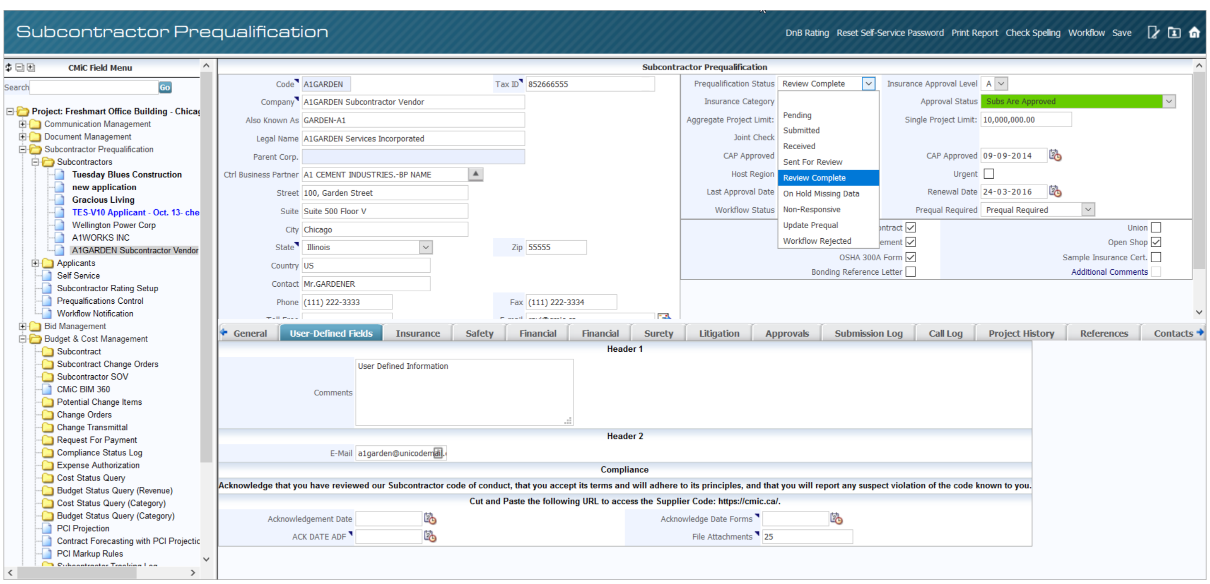
The standard commit function processes when a new entry is made or updates are performed for an existing applicant.

Subcontractor Prequalification – Screen

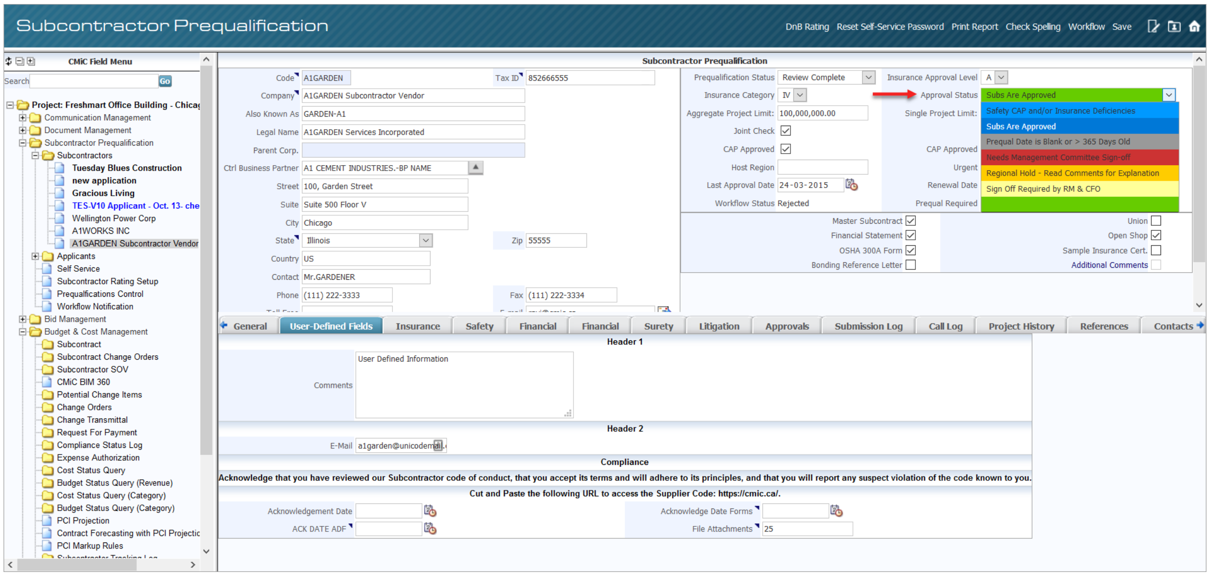


Selecting a partner from the Subcontractors Log opens the detail in the main context window. The information in this main context window is divided into an upper section with header information and lower section of detailed information, broken up into tabs. These sections are scrollable to display more detail.

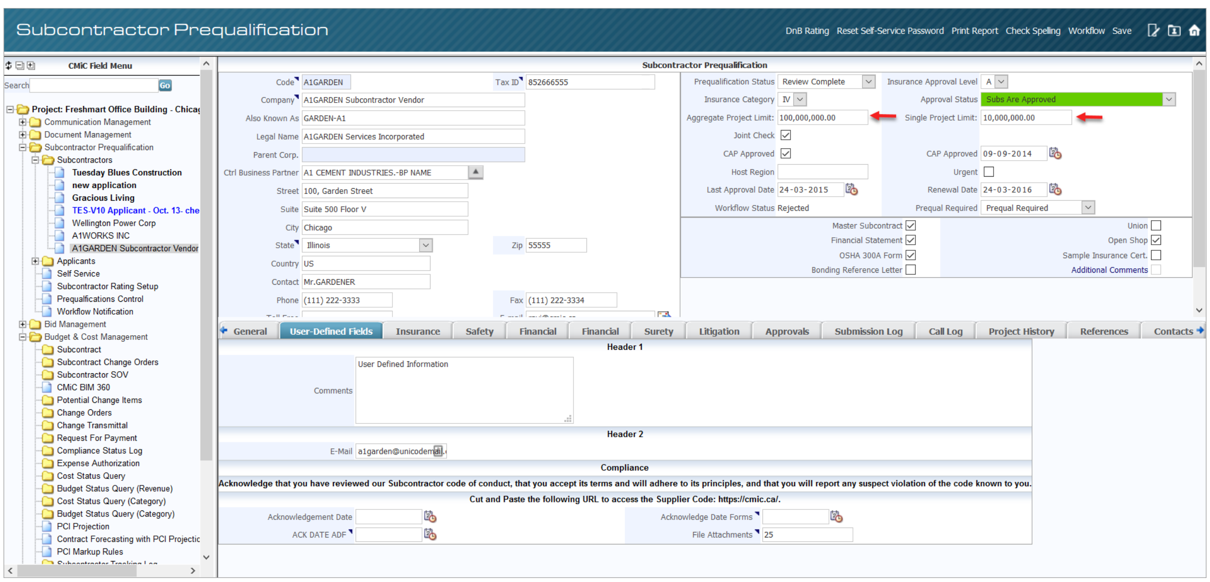
The subcontractor and contact information, such as address, phone, fax, and email, etc. are displayed on the left side of the upper section. On the right, information, such as status, project limit amounts, and approval/renewal dates are displayed.



The prequalification status may be selected from the drop-down list for a specific subcontractor. This prequalification status may be used to run workflows, as well as reports and queries.

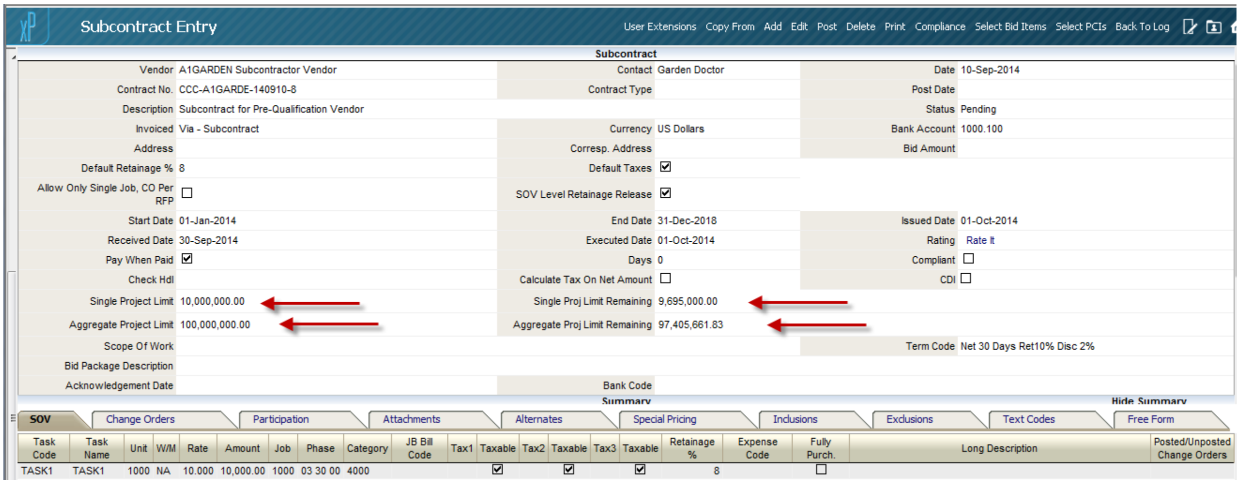


Subcontractors may be categorized by assigning an appropriate approval status. These approval statuses are color-coded for easy identification or a quick review. Also, users may use these color-coded statuses for their own ranking system.

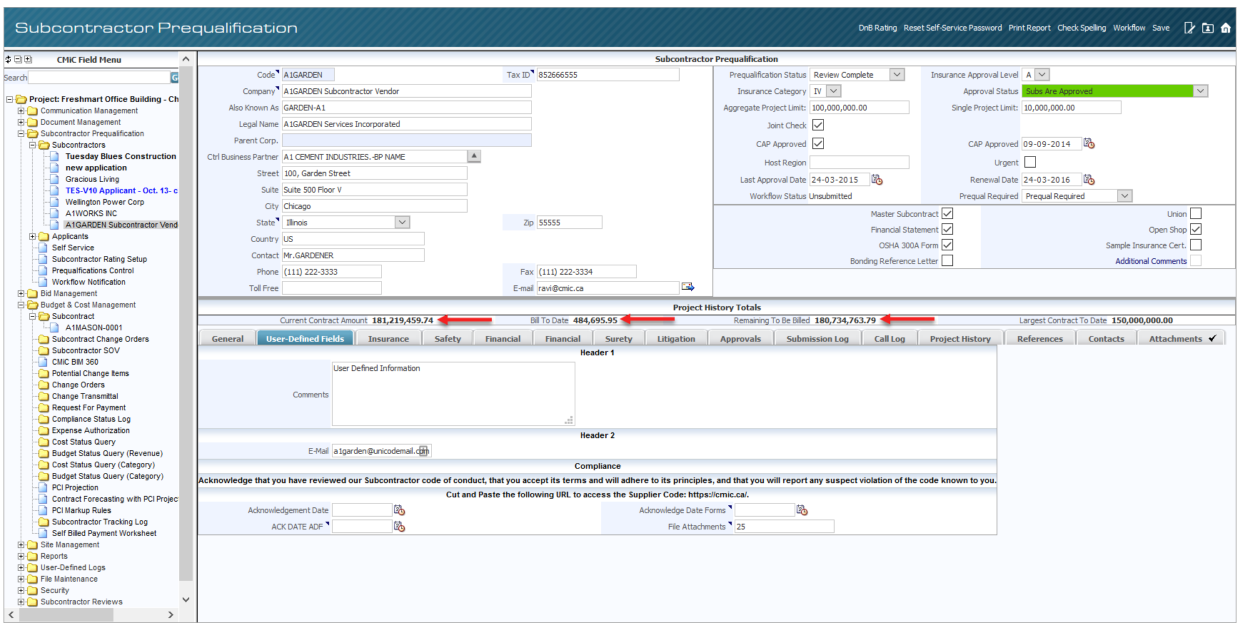


This main screen may be used to set aggregate and single project limits for a subcontractor.

Single project limit may be maintained to set the highest estimated cost of a single project that an applicant is capable of undertaking at any given point of time, whereas aggregate project limit may be used to set the highest estimated cost of all the projects that the applicant is capable of undertaking concurrently.



The limits which are maintained in subcontractor prequalification are reflected in the Subcontract Entry screen. The remaining amounts for both limits are also displayed for reference.



Project History Totals are displayed at the bottom of the upper section. This presents an overall view on the subcontractor's current contract, billed to date, and remaining to be billed amounts.

NOTE: The largest contract to-date is also reported.

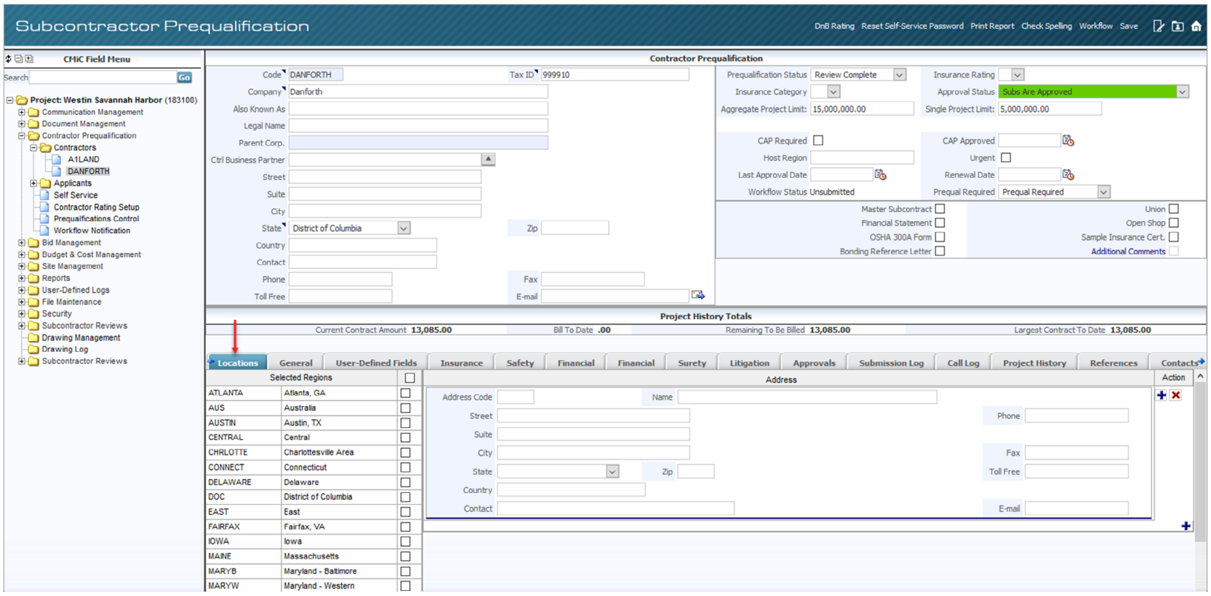
Joint Check – Checkbox

The 'Joint Check' checkbox is used to assign a compliance code to the subcontracts for the purpose of enforcing join-check and holding the payments.

The subcontract application company control has a Compliance Code field for this purpose. Users may enter or select a valid compliance code (non-date sensitive) defined for the joint-check compliance.

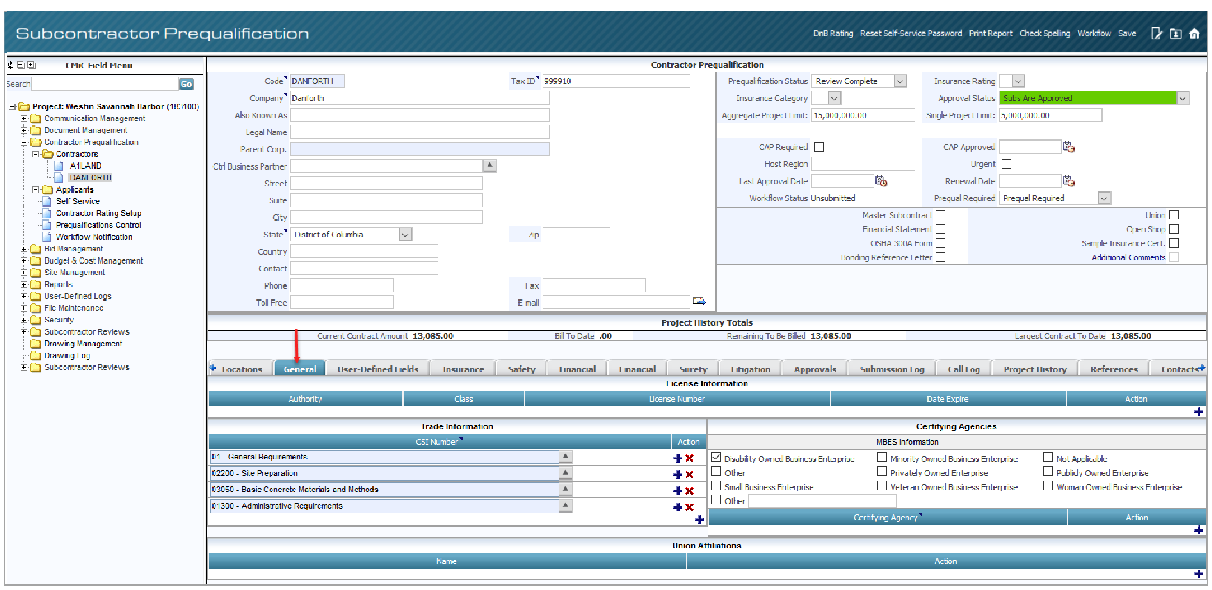
The 'Joint-Check' checkbox has a default value of unchecked for all subcontractors. When the 'Joint-Check' box is checked and the Prequalification Required field is also set to a value of "Prequal Required", then upon saving, all the subcontractors and open vouchers for the vendor will be inserted/updated with the compliance code and set as non-compliant. Any new subcontracts created for the vendor, will also be assigned with the joint-check compliance code. When either one or both fields are set with the value of unchecked or “Not Applicable”, then upon saving, the compliance code will be deleted from all subcontracts and open vouchers for the same vendor.

Locations – Tab



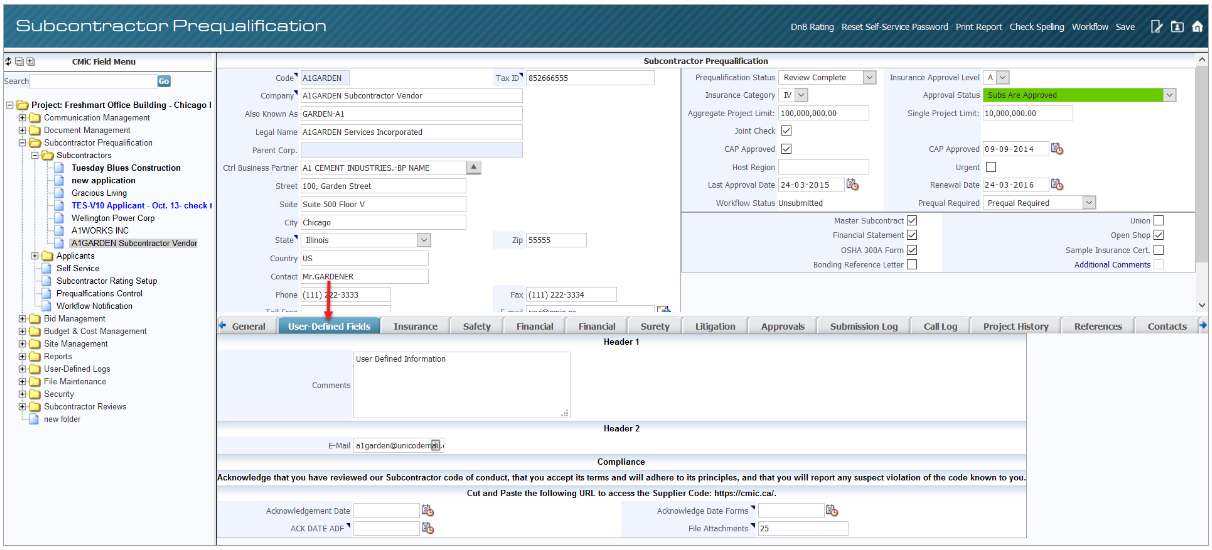
The Locations tab on the lower section allows selecting the regions of operation for the subcontractor. On the right, address codes and contact information for each location may be maintained.

General – Tab



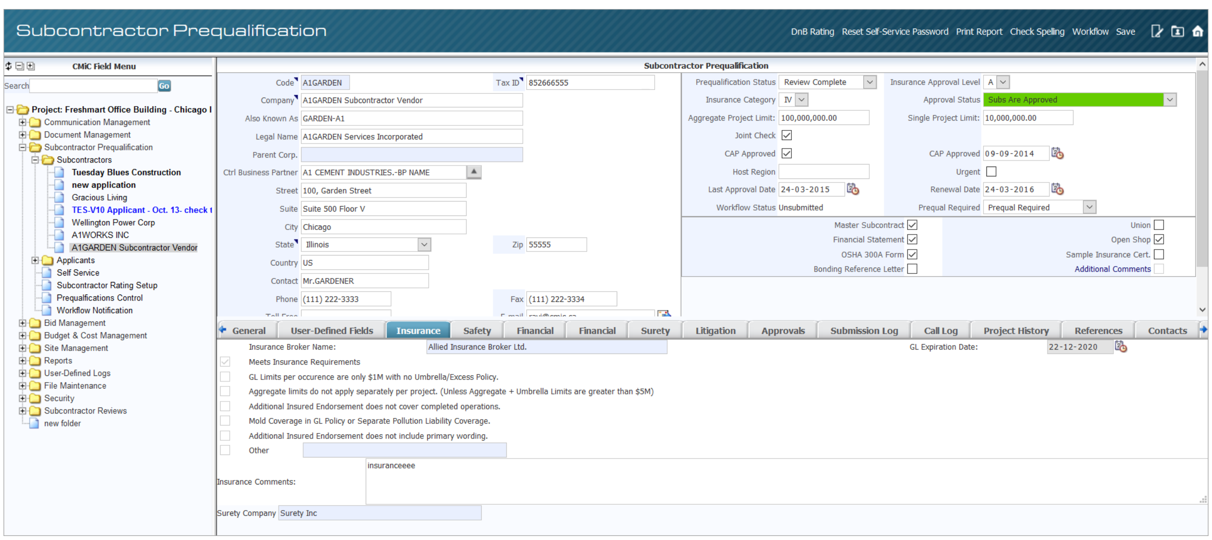
The General tab allows for the maintenance of trade information, such as CSI numbers, certifying agencies, and license information of a subcontractor.

User Defined Fields – Tab



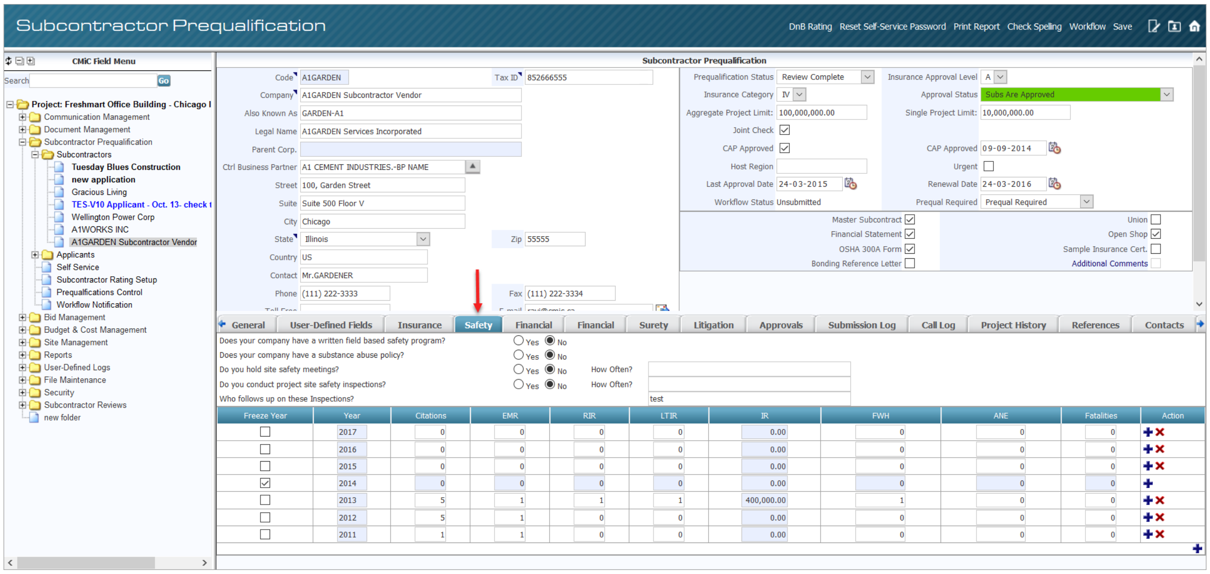
The User Defined Fields tab is used to maintain any additional information that may be required to be entered for the subcontractor.

Insurance – Tab



The Insurance tab is used to manage insurance information of a subcontractor. Users may record the insurance broker's name, GL expiration date, and other insurance related information.

Safety – Tab



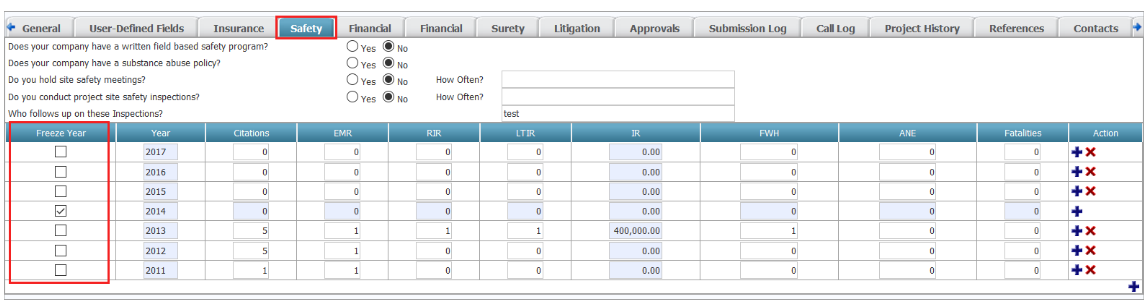
The Safety tab is used to manage safety statistics of a subcontractor. The number of incidents under various categories may be maintained for each year to track the safety history of a subcontractor.

The Incident Rate (IR) field is calculated: (RIR + LTIR) X 200000/FWH

- **RIR** = Recordable Incident Rate
- **LTIR** = Lost Time Incident Rate
- **FWH** = Total Hours Worked by All Employees

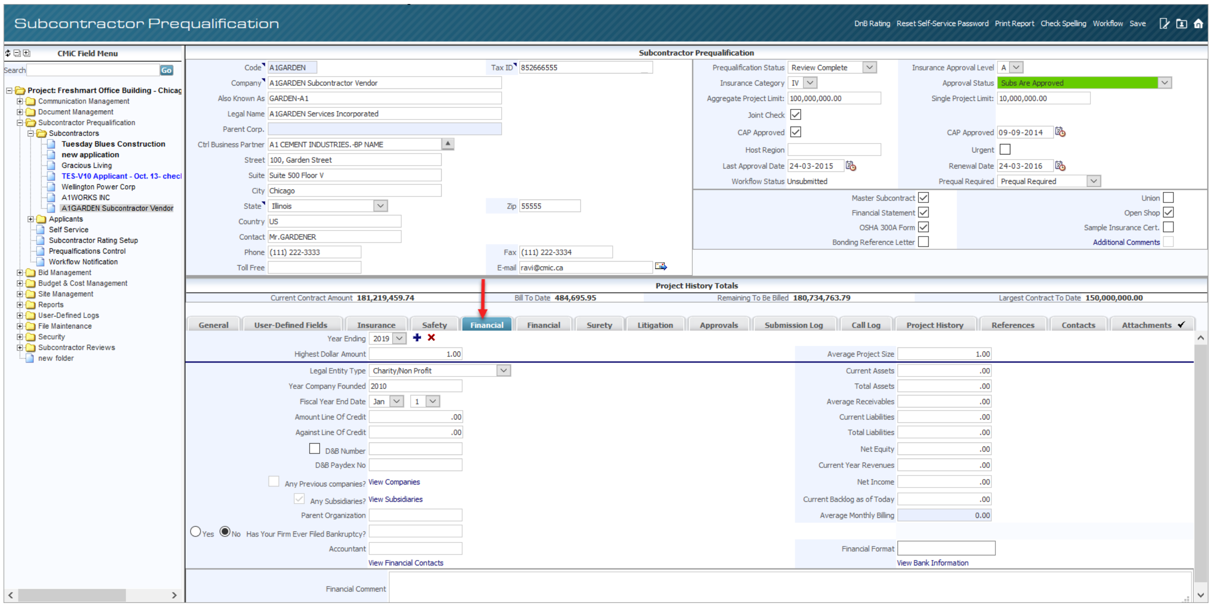
Freeze Year – Checkbox

The Freeze Year checkbox, when checked, causes fields that were previously editable (mostly the amount fields) to not be available for editing for that particular year that is frozen.



The ability to see and update this checkbox is controlled by a prequal (VPQ) collaboration privilege: ‘Freeze Year (on Financial and Safety tabs)’, and applies to Self Service and SC Prequalification screens. By default, the privilege is unchecked.

Financial – Tab

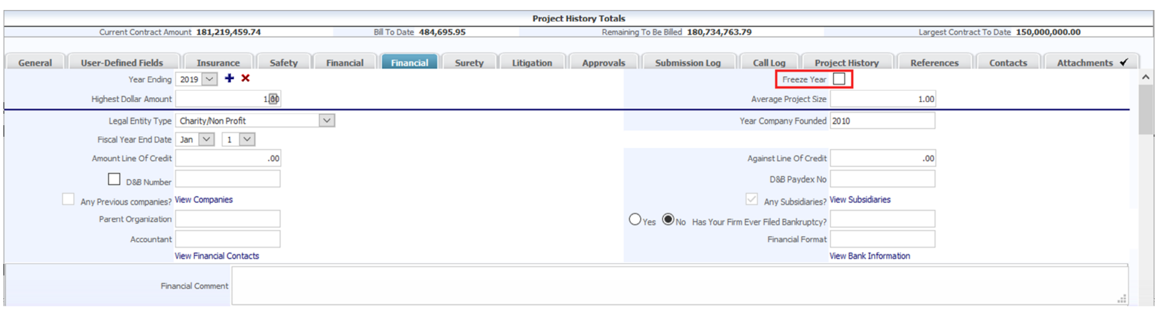


The Financials tab is used to manage the financial information of a subcontractor, and to review the financial stability for prequalification. New financial year information may be created by clicking on the ✚ icon. Users may elect to copy the previous year's information as well.

The View Companies link opens a pop-up window to enter/edit any previous companies or subsidiary company information. Also, users may view financial contacts and banking information by opening the pop-up window (not shown in the above screen).

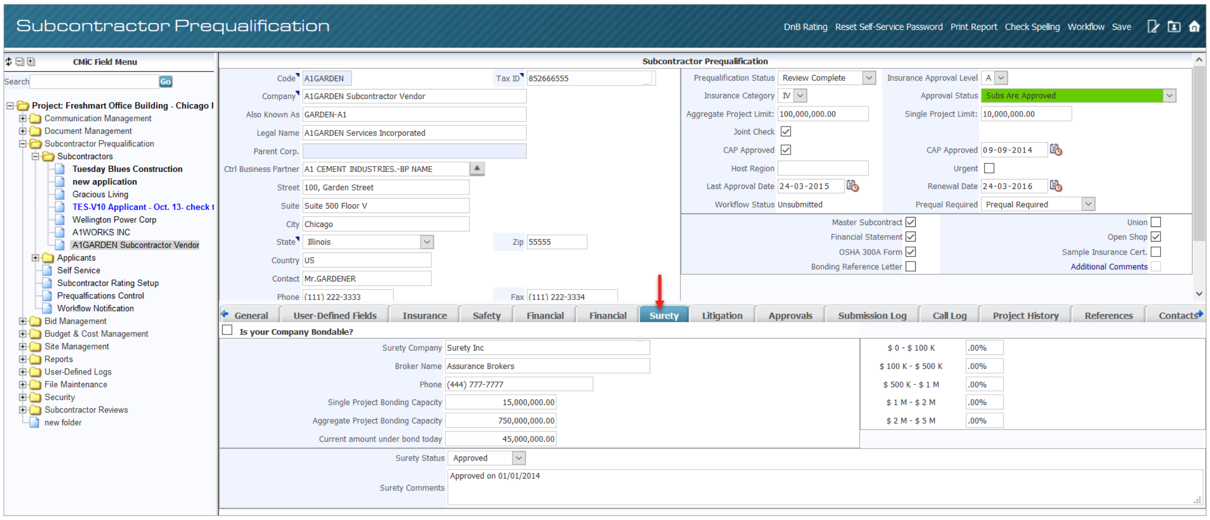
Freeze Year – Checkbox

The 'Freeze Year' checkbox, when checked, causes fields that were previously editable (mostly the amount fields) to not be available for editing for that particular year that is frozen.



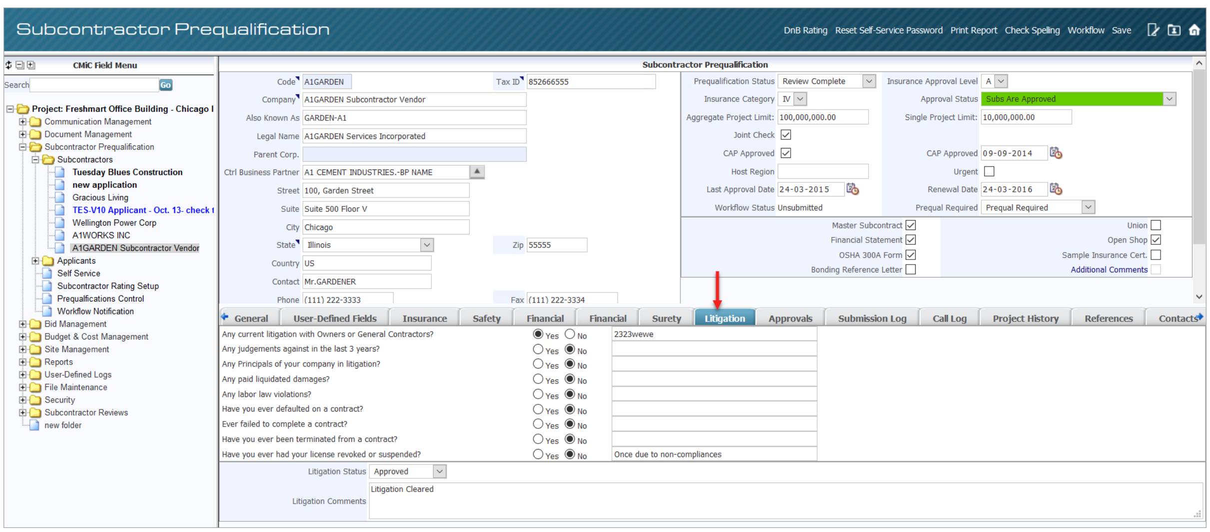
The ability to see and update this checkbox is controlled by a prequal (VPQ) collaboration privilege: 'Freeze Year (on Financial and Safety tabs)', and applies to Self Service and SC Prequalification screens. By default the privilege is unchecked.

Surety – Tab



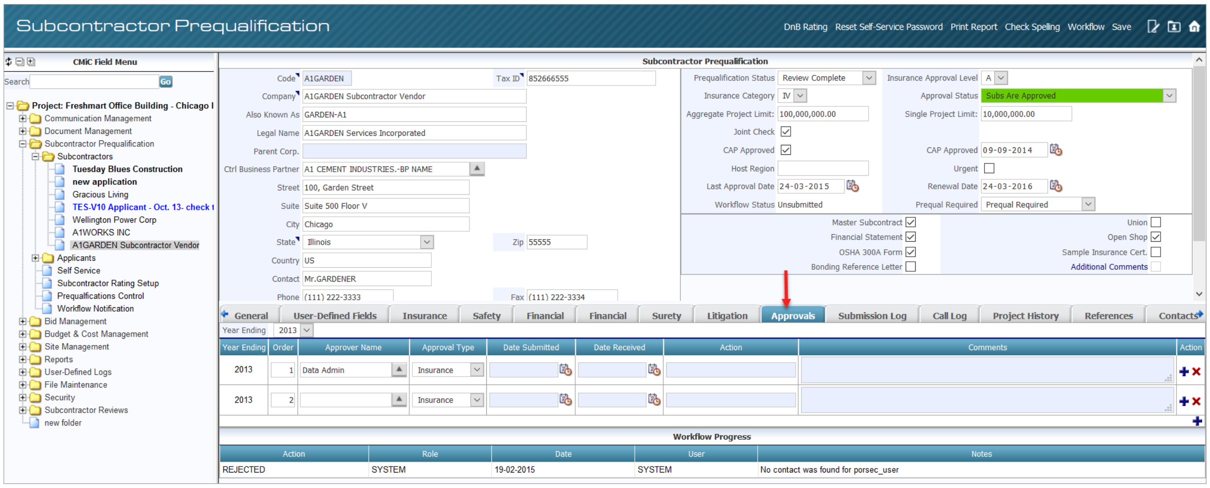
The Surety tab is for maintaining the bonding information of a subcontractor which may be used as protection against subcontractor defaults. Also, the surety status such as approved, unapproved, etc. may be set by selecting from the drop-down list. Additional information on this tab may also be entered in the comments section.

Litigation – Tab



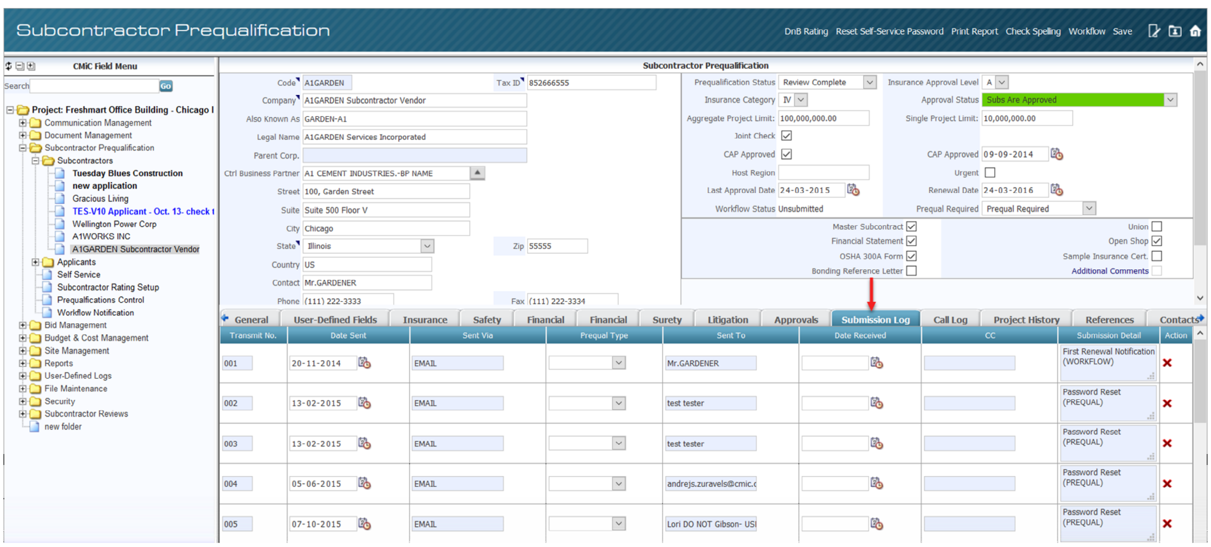
The Litigation tab is used to track past and present litigation against the subcontractor. Litigation status may be updated from the available drop-down list as required and comments may be entered to record any detailed information.

Approvals – Tab



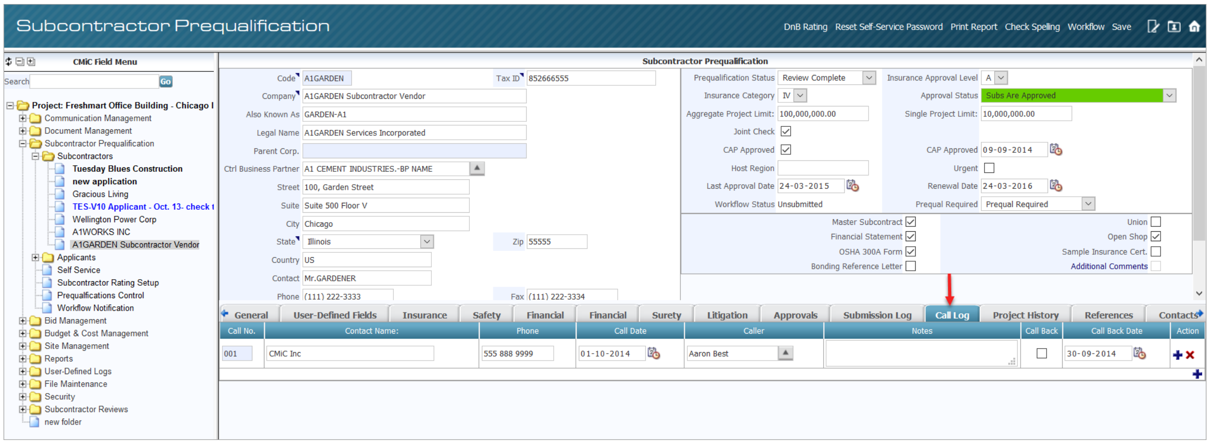
The Approvals tab is used to assign and track one or more approvers by the approval types to facilitate the applicable workflows.

Submissions Log – Tab



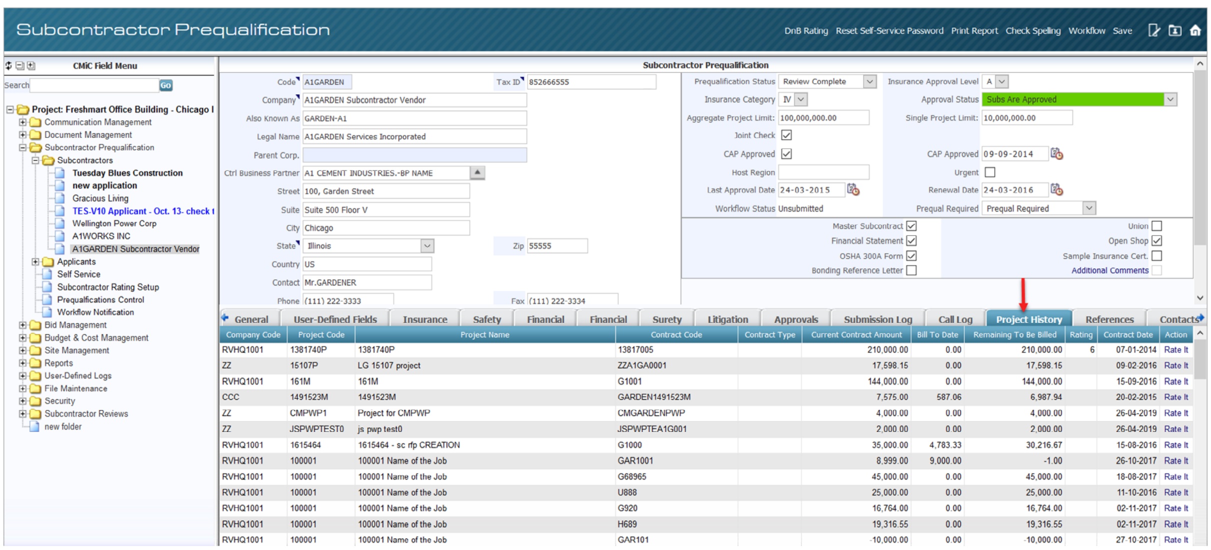
The Submission Log tab is used to keep a log of all transmissions when electronically sent to the subcontractor, such as changed password notifications and workflow notifications.

Call Log – Tab



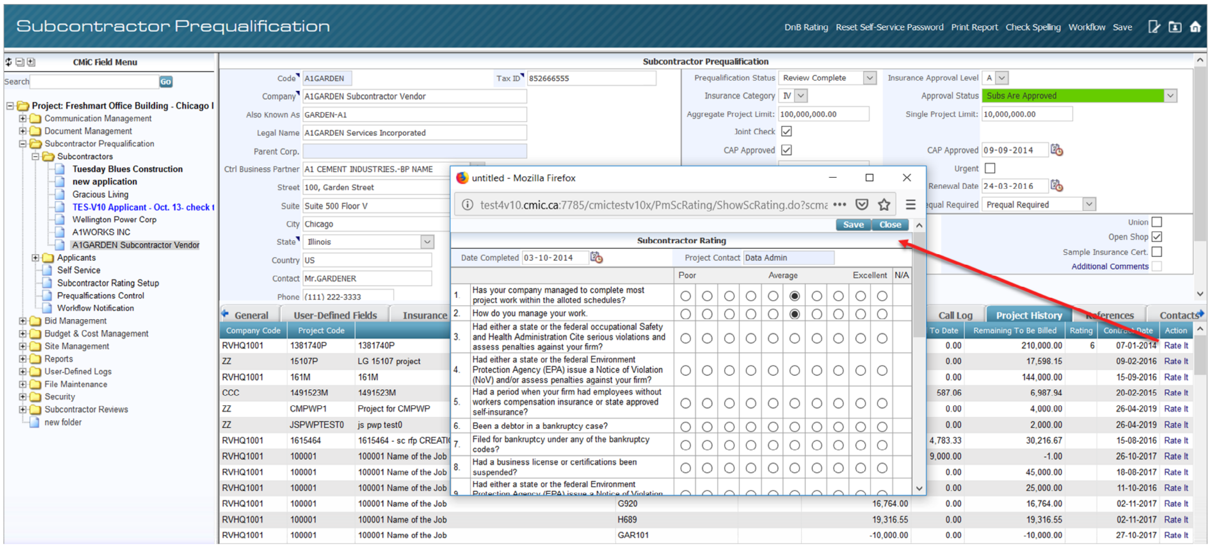
The Call Log tab is used to maintain a log of all communications to and from the subcontractor.

Project History – Tab



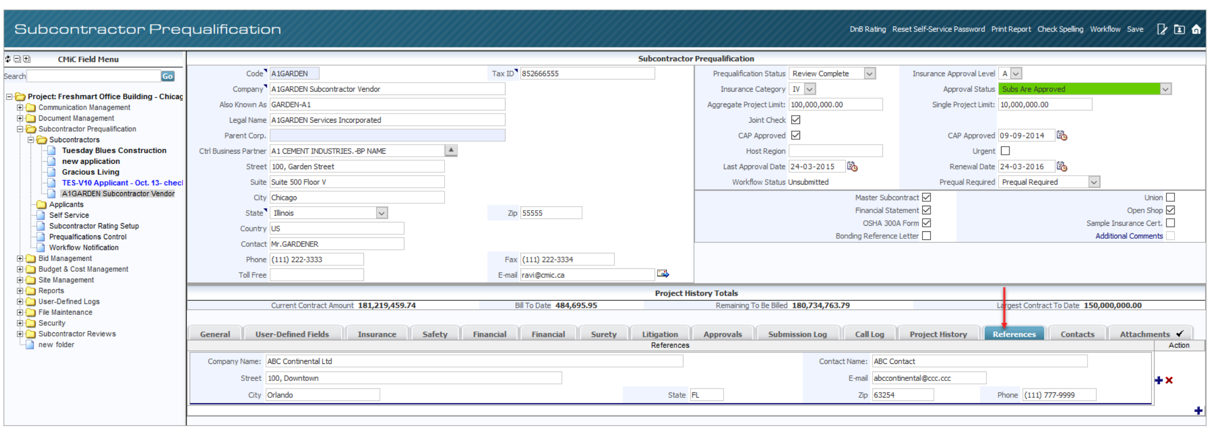
The Project History tab includes company, project, contract code, and the amounts which the subcontractor is associated with. This is useful to view historical contract data in a log with the ability to critique and rate via a predefined questionnaire pop-up window.

Rate It



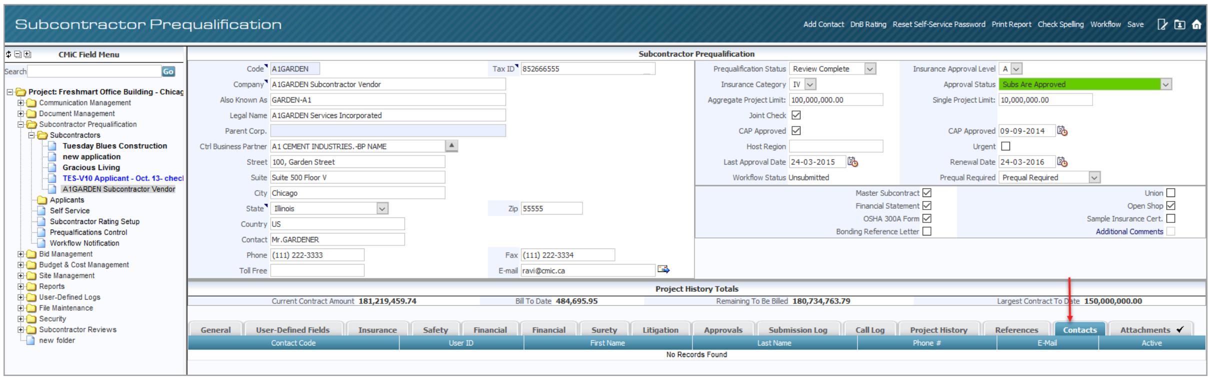
The Rate It pop-up window is used to rate the work performed by the subcontractor, as well as add comments. These ratings are defined using the Subcontractor Rating Setup screen.

References – Tab



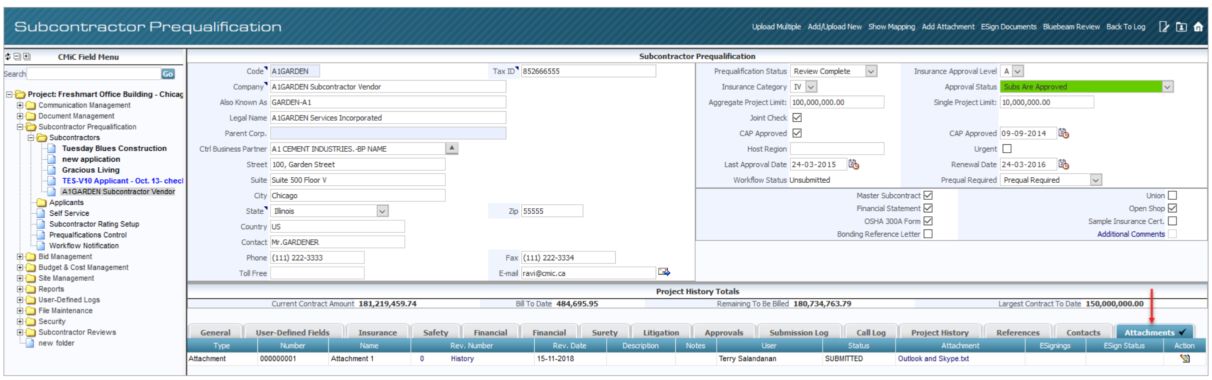
The References tab is used for the entry of all references associated with the subcontractor.

Contacts – Tab



The Contacts tab is used to maintain all relevant subcontractor contacts. Selecting a contact opens the PM JSP Contact Maintenance screen and all relevant information may be entered/edited.

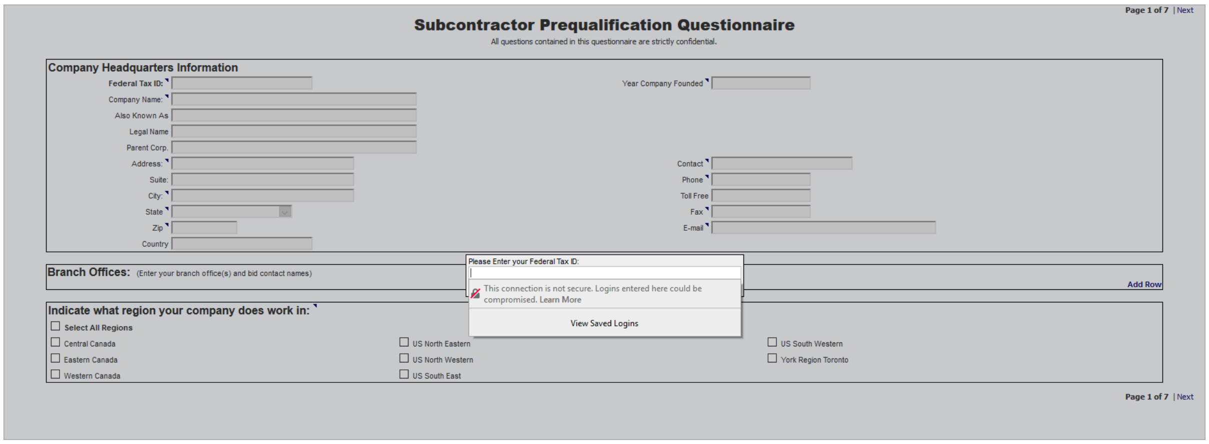
Attachments – Tab



The Attachments tab is for the attaching of applicable subcontractor documentation. Throughout the process of subcontractor prequalification, there will be a good number of documents required from the subcontractor. A subcontractor may attach an unlimited number of documents through the Subcontractor Self-Service screen.

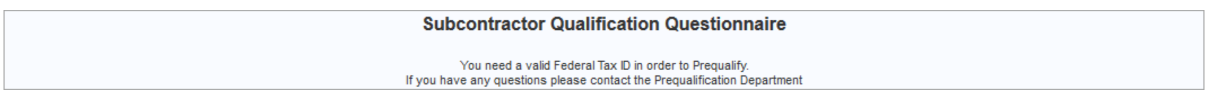
Self Service

Overview – Prequalification Self Service



When logging into the Subcontractor Prequalification Self Service module, they will initially be prompted to enter their federal tax ID.

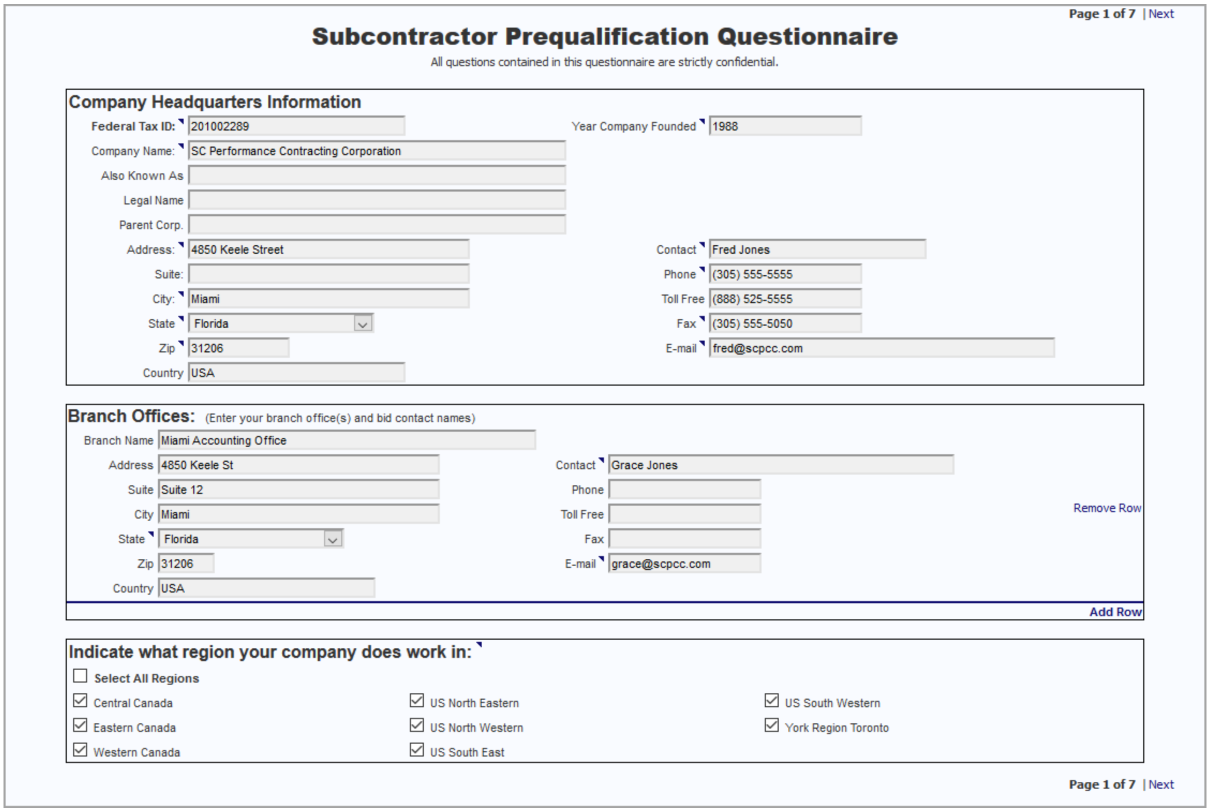
If they do not enter a valid federal tax ID and/or matching password, they will receive the following error message and no option to continue.



If they enter a new federal tax ID, they will then be prompted to enter a password (twice to validate entry) and then be able to continue with filling in the prequalification questionnaire.

Subcontractor Prequalification Questionnaire

Company Name and Locations


Page 1 of 7 | Next

Subcontractor Prequalification Questionnaire

All questions contained in this questionnaire are strictly confidential.

Company Headquarters Information

Federal Tax ID:	201002289	Year Company Founded	1988
Company Name:	SC Performance Contracting Corporation		
Also Known As			
Legal Name			
Parent Corp.			
Address:	4850 Keele Street	Contact	Fred Jones
Suite:		Phone	(305) 555-5555
City:	Miami	Toll Free	(888) 525-5555
State	Florida	Fax	(305) 555-5050
Zip	31206	E-mail	fred@scpcc.com
Country	USA		

Branch Offices: (Enter your branch office(s) and bid contact names)

Branch Name	Miami Accounting Office		
Address	4850 Keele St	Contact	Grace Jones
Suite	Suite 12	Phone	
City	Miami	Toll Free	
State	Florida	Fax	
Zip	31206	E-mail	grace@scpcc.com
Country	USA		

Remove Row

Add Row

Indicate what region your company does work in:

- [ ] Select All Regions
- [x] Central Canada
- [x] Eastern Canada
- [x] Western Canada
- [x] US North Eastern
- [x] US North Western
- [x] US South East
- [x] US South Western
- [x] York Region Toronto

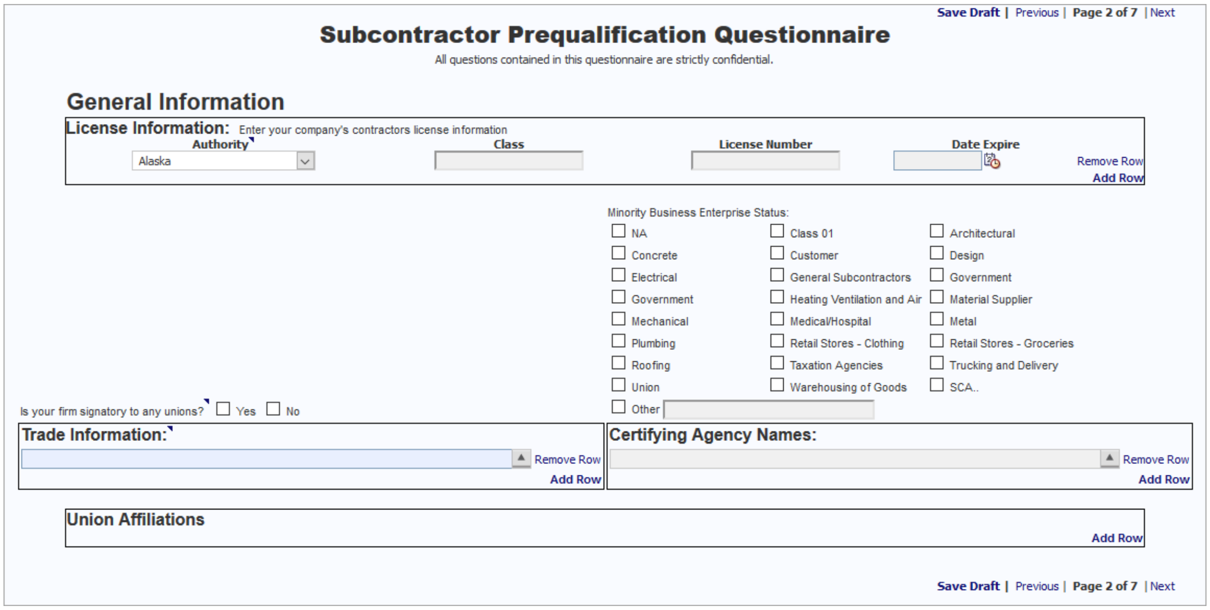
Page 1 of 7 | Next

Self Service – Page 1 – Office and Company General Information

The first page of the questionnaire requires an applicant to maintain information such as company, contact, branch, and region of work. The mandatory fields are marked with a triangle icon (◥) and must be entered by the applicant. New rows may be added if required to maintain more than one branch office. Click [**Next**] to go to the next page when all the mandatory information has been entered.

Once all mandatory fields have been entered, applicants may use [**Save Draft**] on the top right corner of the page to save their work, should they prefer to return at a later time to complete their application.

License, Trade, and Business Status


Save Draft | Previous | Page 2 of 7 | Next

Subcontractor Prequalification Questionnaire

All questions contained in this questionnaire are strictly confidential.

General Information

License Information: Enter your company's contractors license information

Authority	Class	License Number	Date Expire	
Alaska				Remove Row Add Row

Minority Business Enterprise Status:

NA	Class 01	Architectural
Concrete	Customer	Design
Electrical	General Subcontractors	Government
Government	Heating Ventilation and Air	Material Supplier
Mechanical	Medical/Hospital	Metal
Plumbing	Retail Stores - Clothing	Retail Stores - Groceries
Roofing	Taxation Agencies	Trucking and Delivery
Union	Warehousing of Goods	SCA..
Other		

Is your firm signatory to any unions? Yes No

Trade Information: Remove Row Add Row

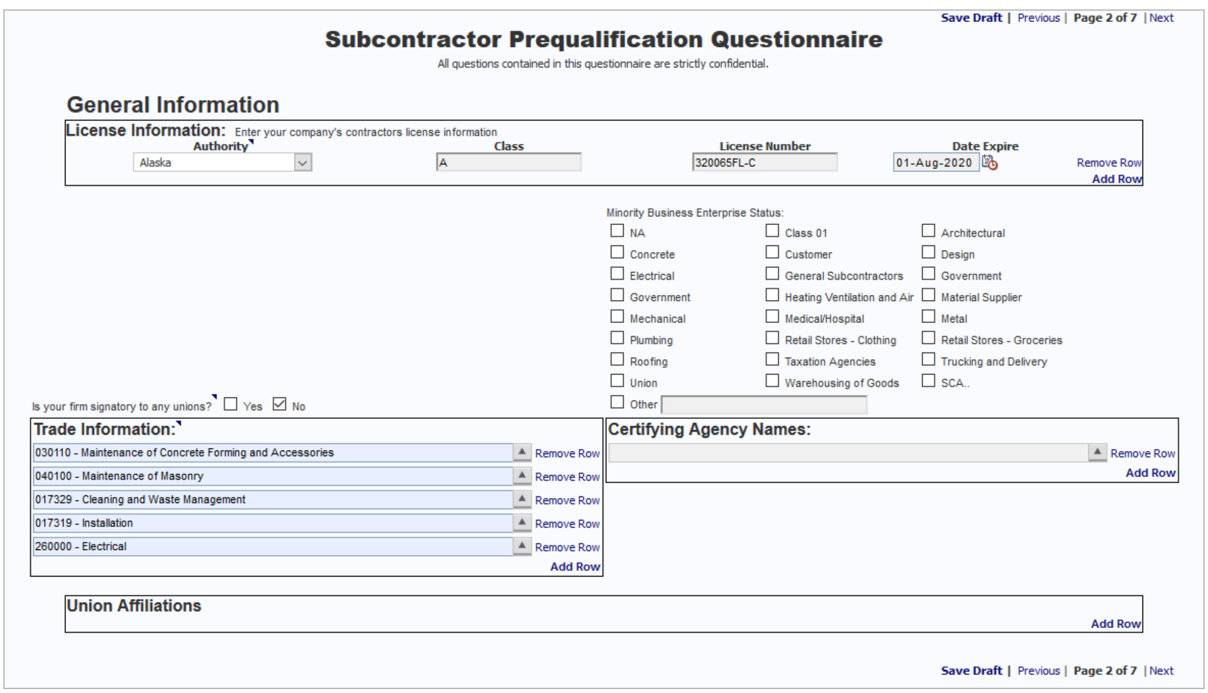
Certifying Agency Names: Remove Row Add Row

Union Affiliations Add Row

Save Draft | Previous | Page 2 of 7 | Next

Self Service – Page 2 – General Information including Licenses, Trades, and MBES Status

The second page has a General Information section where the license information of the applicant can be entered. This page requires that at least one trade is selected from the available list. If any minority status is selected, then it is mandatory to select a certifying agency as well from the list.


Save Draft | Previous | Page 2 of 7 | Next

Subcontractor Prequalification Questionnaire

All questions contained in this questionnaire are strictly confidential.

General Information

License Information: Enter your company's contractors license information

Authority	Class	License Number	Date Expire	
Alaska	A	320065FL-C	01-Aug-2020	Remove Row Add Row

Minority Business Enterprise Status:

NA	Class 01	Architectural
Concrete	Customer	Design
Electrical	General Subcontractors	Government
Government	Heating Ventilation and Air	Material Supplier
Mechanical	Medical/Hospital	Metal
Plumbing	Retail Stores - Clothing	Retail Stores - Groceries
Roofing	Taxation Agencies	Trucking and Delivery
Union	Warehousing of Goods	SCA..
Other		

Is your firm signatory to any unions? Yes No ☑

Trade Information:

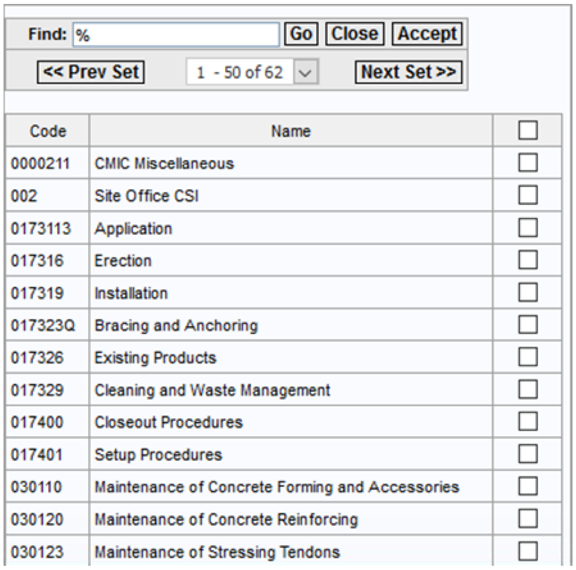
030110 - Maintenance of Concrete Forming and Accessories	Remove Row
040100 - Maintenance of Masonry	Remove Row
017329 - Cleaning and Waste Management	Remove Row
017319 - Installation	Remove Row
260000 - Electrical	Remove Row
	Add Row

Certifying Agency Names: Remove Row Add Row

Union Affiliations Add Row

Save Draft | Previous | Page 2 of 7 | Next

Self Service – Page 2 Trade Information Sample



Find: % Go Close Accept

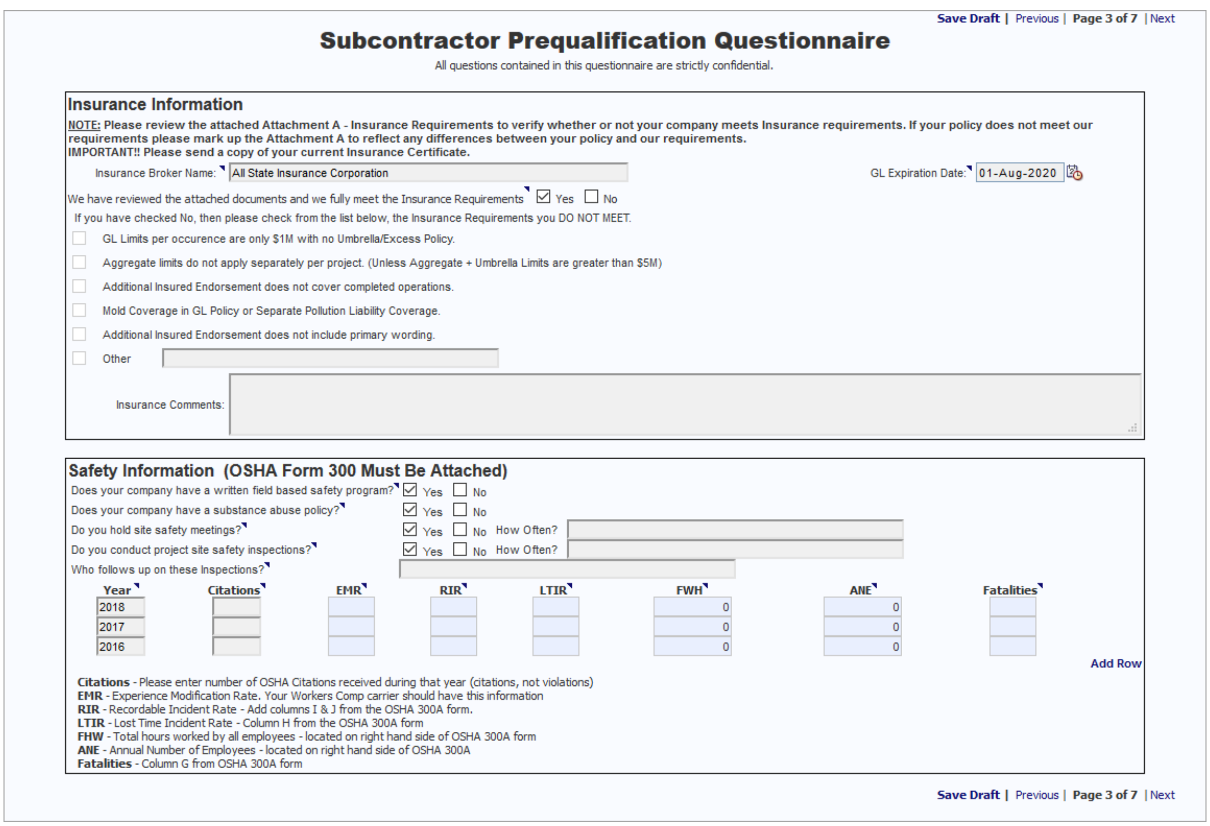
<< Prev Set 1 - 50 of 62 Next Set >>

Code	Name	
0000211	CMIC Miscellaneous	
002	Site Office CSI	
0173113	Application	
017316	Erection	
017319	Installation	
017323Q	Bracing and Anchoring	
017326	Existing Products	
017329	Cleaning and Waste Management	
017400	Closeout Procedures	
017401	Setup Procedures	
030110	Maintenance of Concrete Forming and Accessories	
030120	Maintenance of Concrete Reinforcing	
030123	Maintenance of Stressing Tendons	

Trade Information pop-up window

The Trade Information pop-up window is populated from the system. Applicants are required to select all those that apply to their companies. The system requires that a minimum of one trade is selected by the applicant.

Insurance and Safety Information



Save Draft | Previous | Page 3 of 7 | Next

Subcontractor Prequalification Questionnaire

All questions contained in this questionnaire are strictly confidential.

Insurance Information

NOTE: Please review the attached Attachment A - Insurance Requirements to verify whether or not your company meets Insurance requirements. If your policy does not meet our requirements please mark up the Attachment A to reflect any differences between your policy and our requirements.
IMPORTANT!! Please send a copy of your current Insurance Certificate.

Insurance Broker Name: All State Insurance Corporation

GL Expiration Date: 01-Aug-2020

We have reviewed the attached documents and we fully meet the Insurance Requirements Yes No

If you have checked No, then please check from the list below, the Insurance Requirements you DO NOT MEET.

- GL Limits per occurence are only $1M with no Umbrella/Excess Policy.
- Aggregate limits do not apply separately per project. (Unless Aggregate + Umbrella Limits are greater than $5M)
- Additional Insured Endorsement does not cover completed operations.
- Mold Coverage in GL Policy or Separate Pollution Liability Coverage.
- Additional Insured Endorsement does not include primary wording.
- Other

Insurance Comments:

Safety Information (OSHA Form 300 Must Be Attached)

Does your company have a written field based safety program? Yes No

Does your company have a substance abuse policy? Yes No

Do you hold site safety meetings? Yes No How Often?

Do you conduct project site safety inspections? Yes No How Often?

Who follows up on these Inspections?

Year	Citations	EMR	RIR	LTIR	FWH	ANE	Fatalities
2018					0	0	
2017					0	0	
2016					0	0	

Add Row

Citations - Please enter number of OSHA Citations received during that year (citations, not violations)
EMR - Experience Modification Rate. Your Workers Comp carrier should have this information
RIR - Recordable Incident Rate - Add columns I & J from the OSHA 300A form.
LTIR - Lost Time Incident Rate - Column H from the OSHA 300A form
FWH - Total hours worked by all employees - located on right hand side of OSHA 300A form
ANE - Annual Number of Employees - located on right hand side of OSHA 300A
Fatalities - Column G from OSHA 300A form

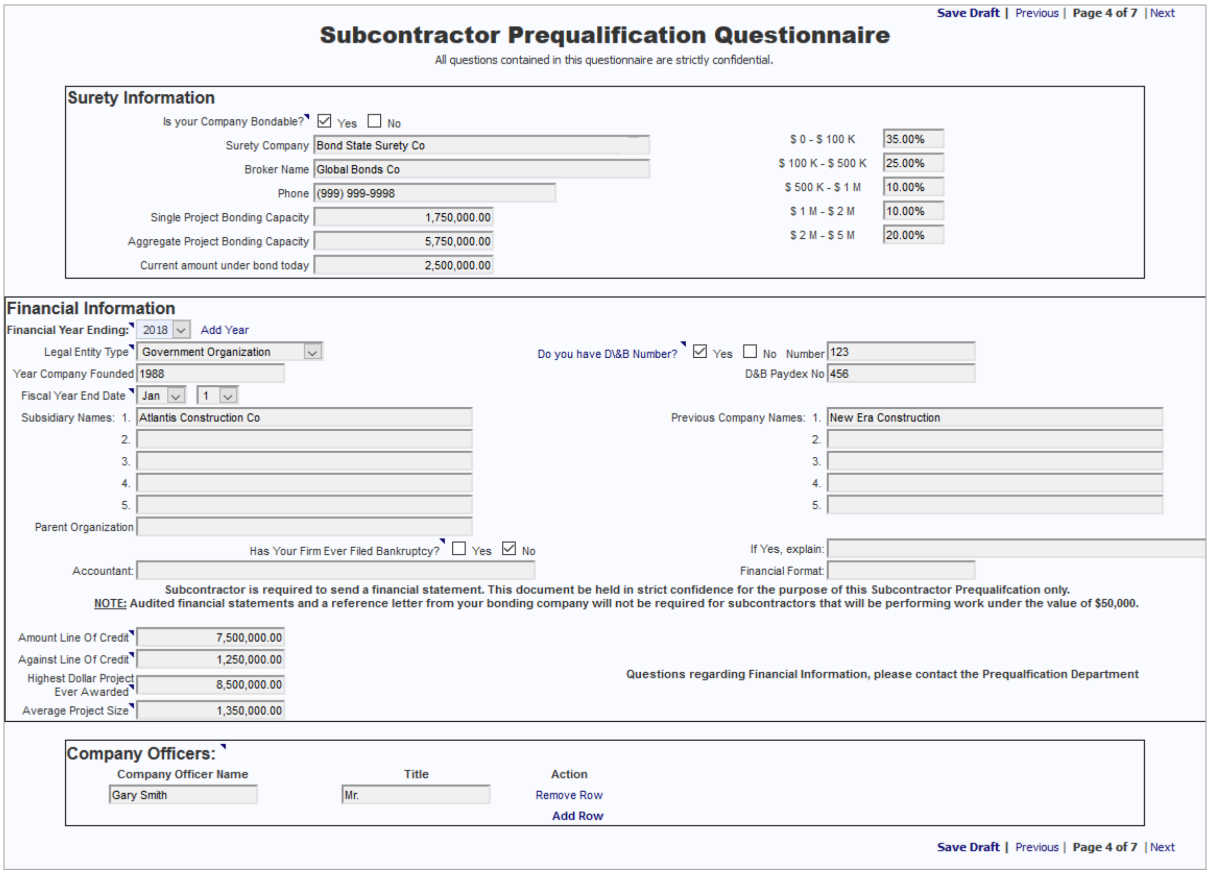
Save Draft | Previous | Page 3 of 7 | Next

Self Service – Page 3

The insurance and safety information can be entered using page 3. The Insurance Broker Name, Expiration Date, and the ‘Agreement of Fulfillment of the Insurance Requirements’ checkbox are mandatory. If selecting “No”, then there are additional fields which become editable and applicants may check the appropriate boxes.

The lower section presents the safety information questionnaire, where all of the fields are mandatory. The legend at the bottom provides a detailed description of the abbreviated column headers such as EMR, ANE, etc.

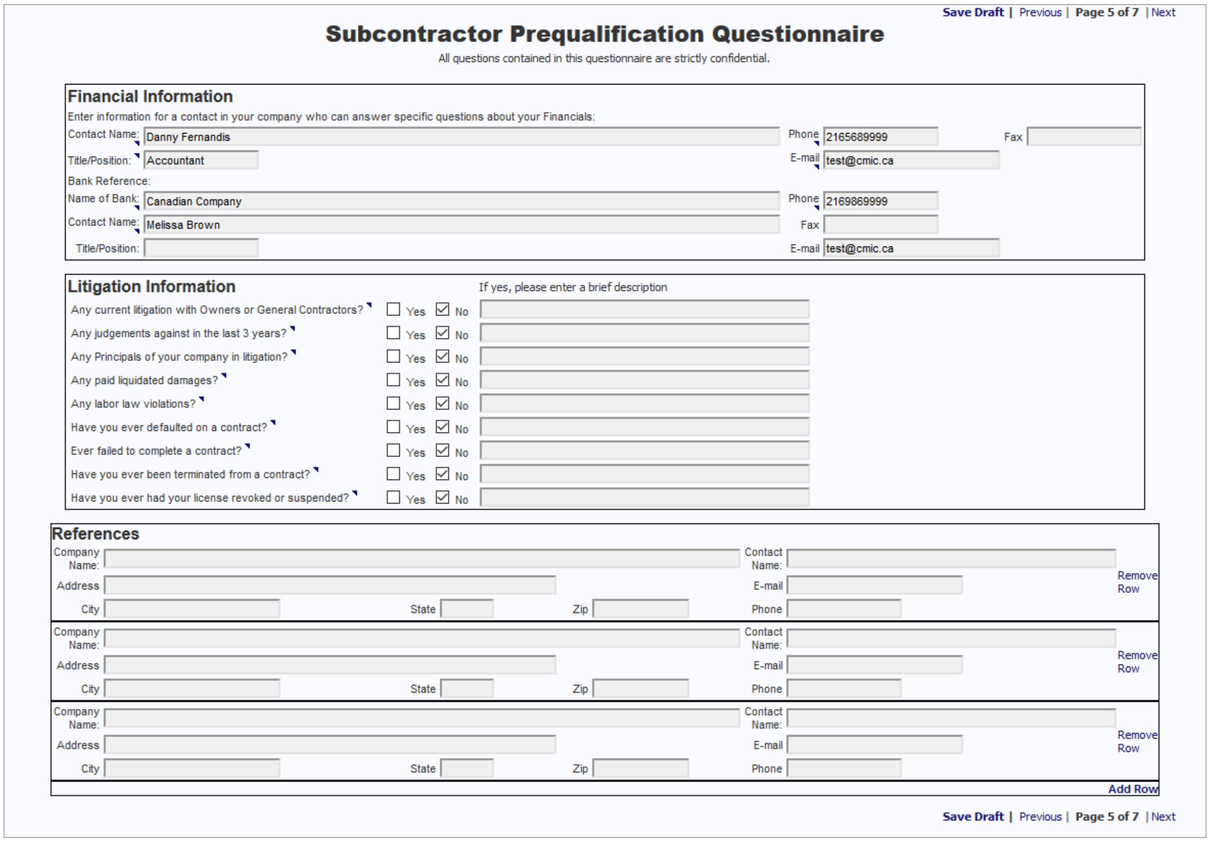
Surety and Financial Information



Self Service Page 4 – Surety, Financial Information and Company Officers

The Surety and Financial Information page allows subcontractors to enter vital financial details of their companies. The Surety Information section maintains the single and aggregate project limits allowed for the company. The Financial Information section allows storing the D&B number if applicable. The appropriate legal entity type may be selected from the list. Mandatory requirements such as the D&B number, amounts of credit, etc. are marked with a triangle icon (◥). Applicants must enter those values before proceeding to the next page.

Financial Contacts, Litigation Information, and References



Save Draft | Previous | Page 5 of 7 | Next

Subcontractor Prequalification Questionnaire

All questions contained in this questionnaire are strictly confidential.

Financial Information

Enter information for a contact in your company who can answer specific questions about your Financials:

Contact Name: Danny Fernandis — Phone: 2165689999 — Fax:

Title/Position: Accountant — E-mail: test@cmic.ca

Bank Reference:

Name of Bank: Canadian Company — Phone: 2169869999

Contact Name: Melissa Brown — Fax:

Title/Position: — E-mail: test@cmic.ca

Litigation Information

If yes, please enter a brief description

Any current litigation with Owners or General Contractors?	☐ Yes	☑ No	
Any judgements against in the last 3 years?	☐ Yes	☑ No	
Any Principals of your company in litigation?	☐ Yes	☑ No	
Any paid liquidated damages?	☐ Yes	☑ No	
Any labor law violations?	☐ Yes	☑ No	
Have you ever defaulted on a contract?	☐ Yes	☑ No	
Ever failed to complete a contract?	☐ Yes	☑ No	
Have you ever been terminated from a contract?	☐ Yes	☑ No	
Have you ever had your license revoked or suspended?	☐ Yes	☑ No	

References

Company Name: — Contact Name:
Address: — E-mail: — Remove Row
City: — State: — Zip: — Phone:

Company Name: — Contact Name:
Address: — E-mail: — Remove Row
City: — State: — Zip: — Phone:

Company Name: — Contact Name:
Address: — E-mail: — Remove Row
City: — State: — Zip: — Phone:

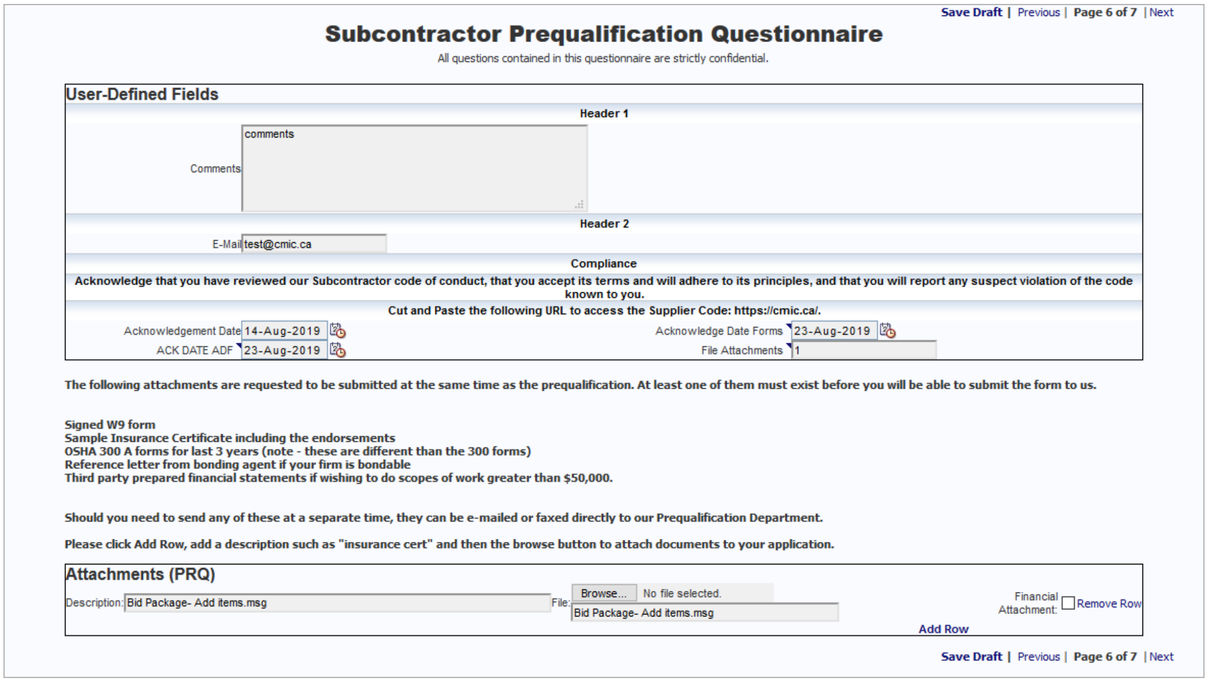
Add Row

Save Draft | Previous | Page 5 of 7 | Next

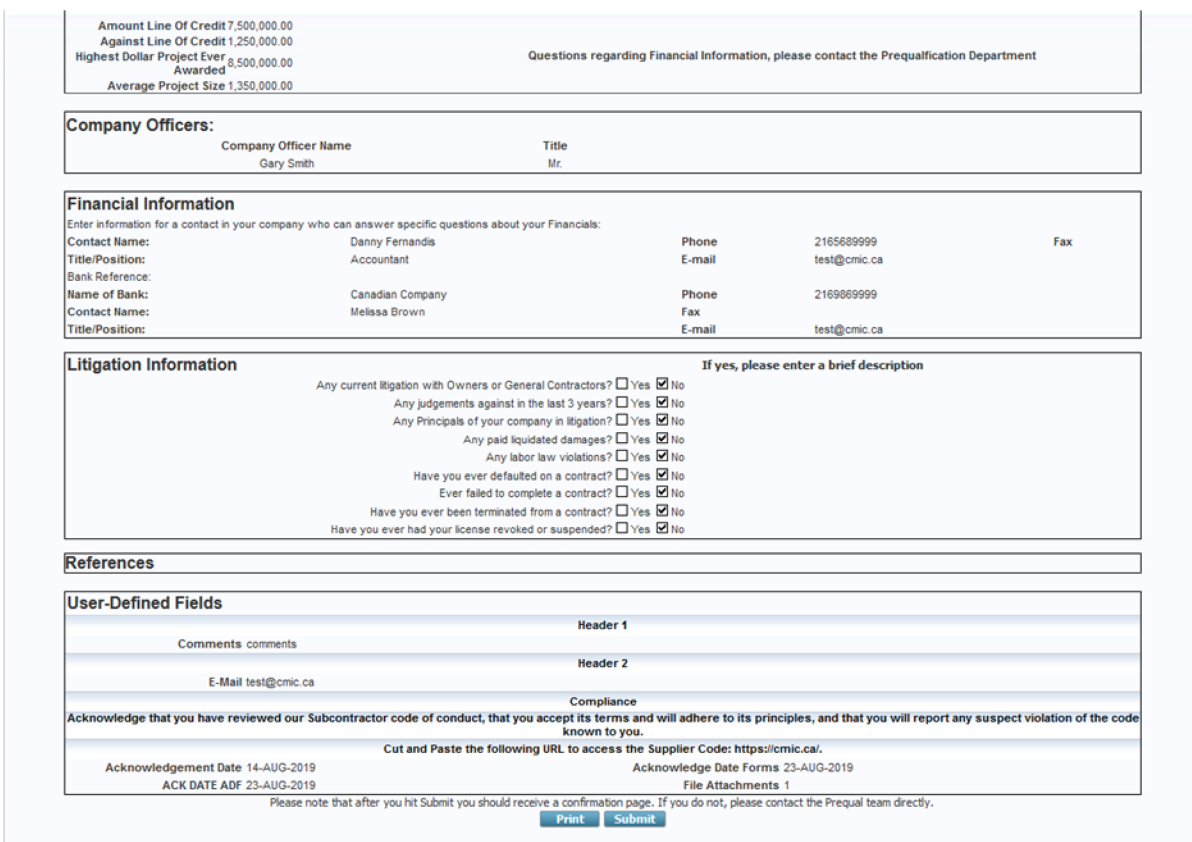
Self Service Page 5 – Financial Contacts, Litigation Information, and References

Subcontractors are required to provide their contact information for the finance department and the banking references. The middle block requires litigation information of the subcontractor, if any. All questions are mandatory in this section. References may be entered in the last section as required.

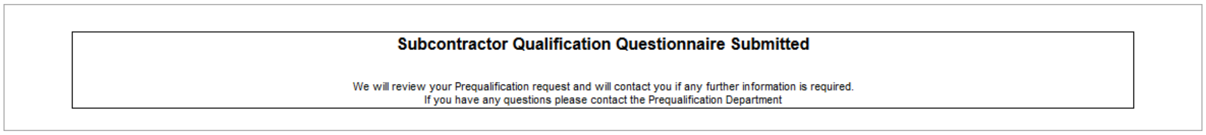
Attachments and Submission



Self Service Page 6 – Attachment options



Self-Service Page 7 - Submission



Self Service – Submission confirmation

The subcontractor applicant is now available to internal users for amendments, review, and approval via workflow.

Prequalification Setup

Key Integration Points

CMiC Workflow

- Streamline the approval and renewal process.
- Define approvers in the prequalification front end by type.

Business Partner Maintenance

- Manage partner attributes in either screen.

Subcontract Entry

- Assign the contract rating.
- Review aggregate and single project limits.
- Receive hard or soft warnings when exceeding limits.

Assign Bidders

- Use prequalification data to aid in the bidder selection process on the invitation to bid and bid packages.

Prequalification Control & Maintenance Options

Prequalification Control

- Define instructions and error messages.
- Define instructions and messages included within Workflow notifications.
- Select warnings vs. hard stops on single and project limit overages in Subcontractor Prequalification.

Log Builder

- Vendor Prequalification – Applicants
- Vendor Prequalification – Partners

Role Maintenance

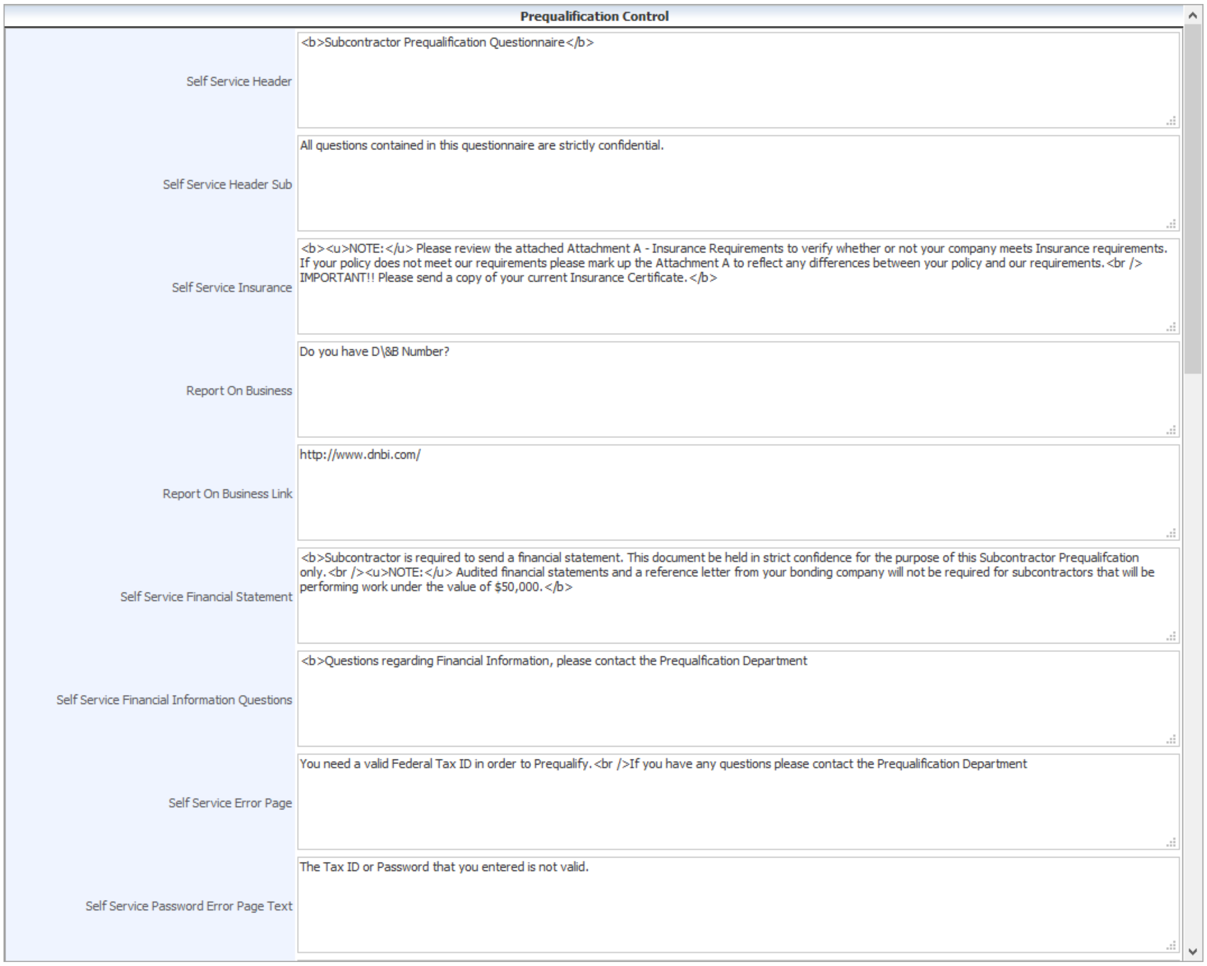
- Assign Programs
- Assign Menu Items
- Assign Privileges
- Assign Field Security

Prompt Maintenance

• Update verbiage on headers, columns, tabs, and buttons.

• Assign at user and/or project level.

Prequalification Control

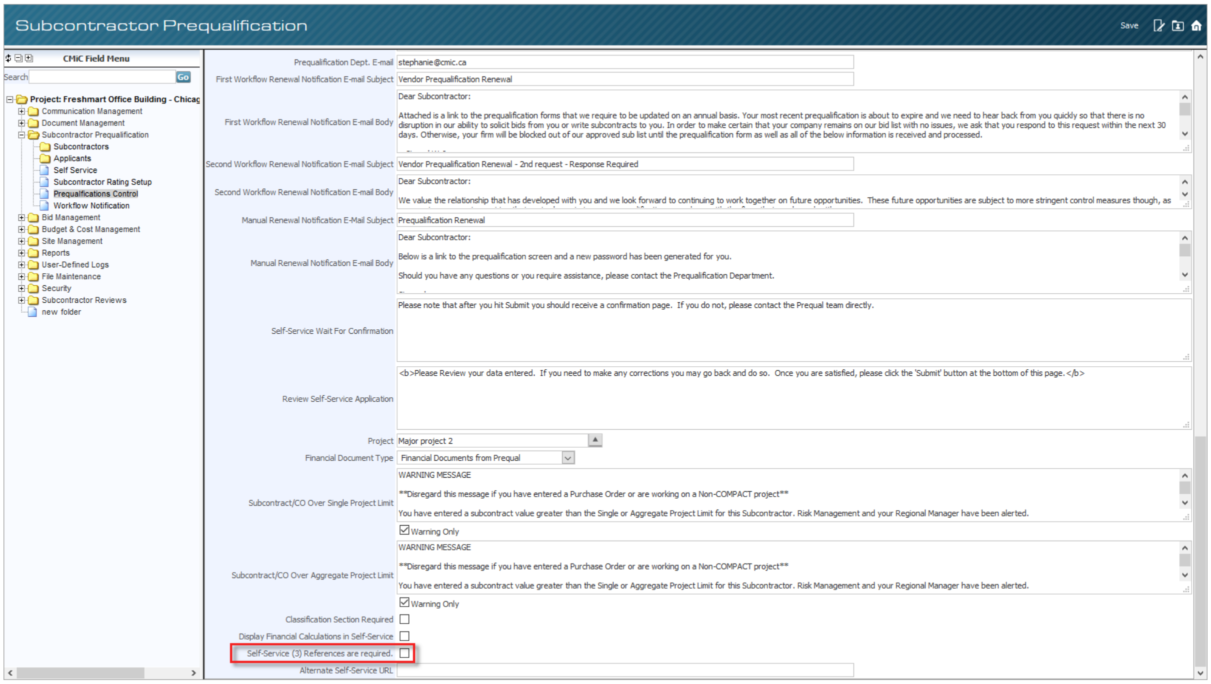


The Prequalification Control screen sets up the text seen in many of the Prequalification screens available. Default text is populated in the fields. However, all text as shown above is editable to suit individual needs.

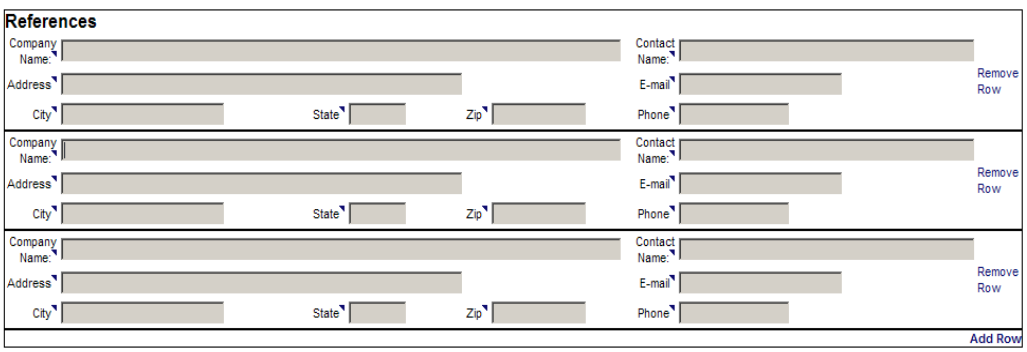
The text entered in these fields supports basic HTML formatting, such as <b> for bold, <u> for underline, etc.

Generally, there should be text in each and every field on the maintenance screen. If unsure what text is appropriate, paste in a copy of the description for the field, as that allows for tracking back to this screen when the text appears while using the application.

Control Flag to Make References Mandatory in Self Service



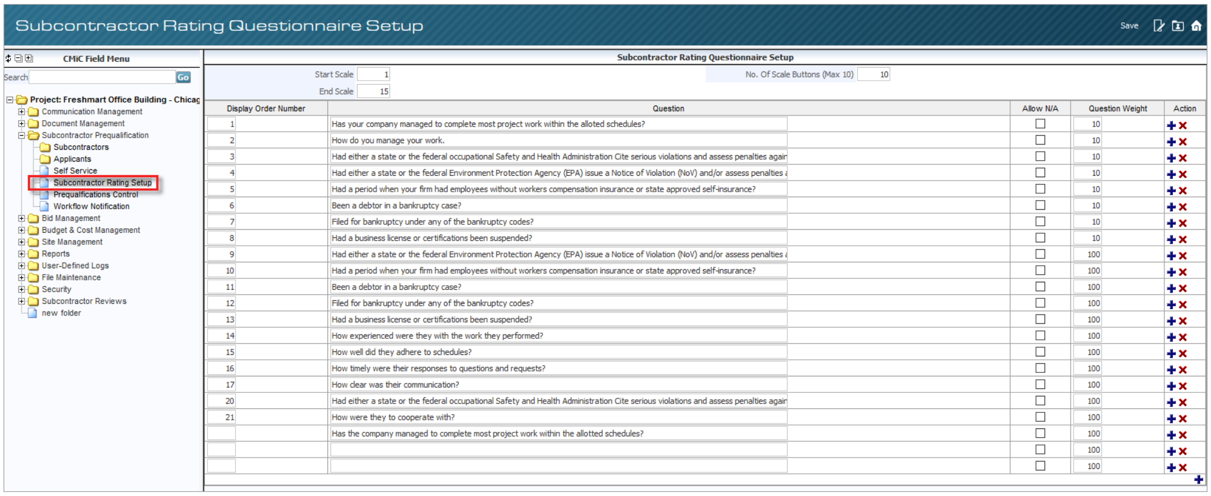
The ‘Self-Service (3) References Are Required’ checkbox in the Subcontractor Prequalification Control screen is used to indicate whether references in Self-Service are mandatory or not. When the box is checked, all the fields in the first three sections of the References section of Self-Service are mandatory. Any additional references are not mandatory.



Alternate Self Service URL

This field can be used to provide an alternate URL for external users, so that they do not have access to the client's internal server.

Subcontractor Rating Setup

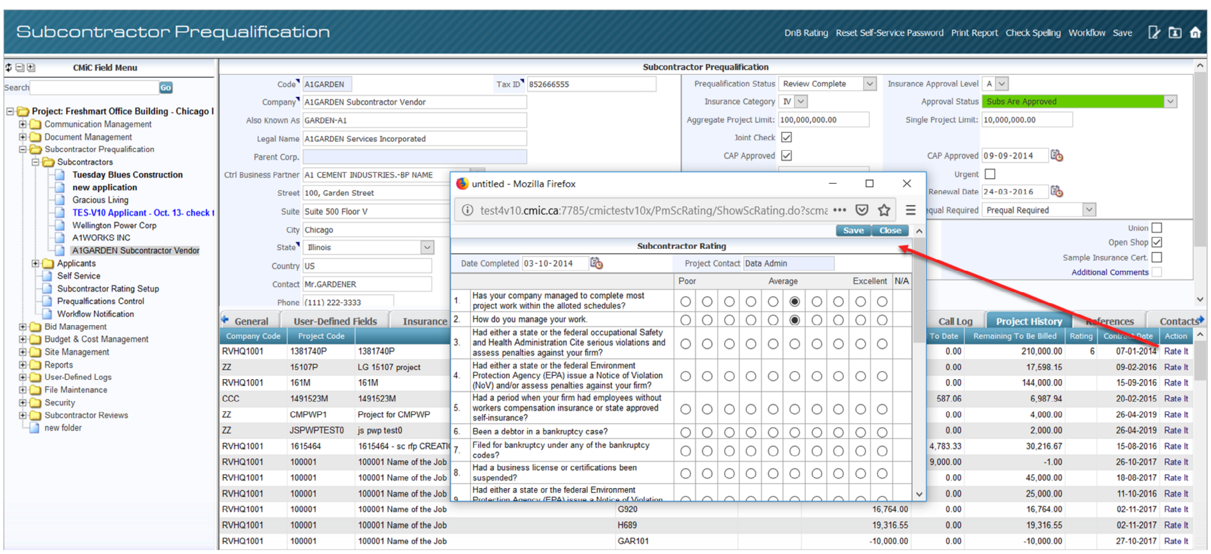


Subcontract Rating Questionnaire Setup

The Subcontractor Rating Setup screen is provided to allow customized rating questions to be used for rating subcontractor performance on contracts they have worked on.

NOTE: If the mobile application is not being used, use the Subcontractor Rating Setup menu on the CMiC Field Treeview, shown in the red box above.

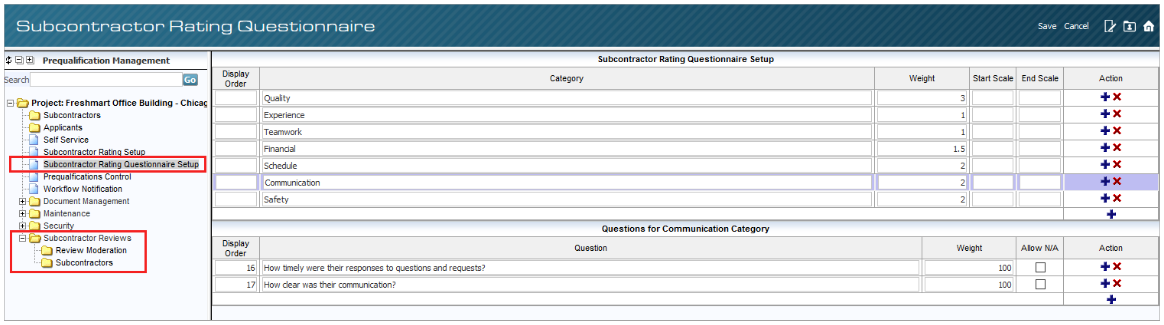
Questions are designed with a scale factor such as 1 to 5. If the question should be allowed to be unanswered, the ‘Allow N/A’ flag must be checked on the question. When entering questions, both the Display Order Number and the Question Weight fields must be specified. To add additional questions, click the Add icon (✚) and to delete any question, use the Delete icon (✖).



Sample Rating Questionnaire for a contract (History tab of the Subcontract Prequalification screen)

Subcontractor Ratings – Mobile Integration

Overview – Setup & Administration



Subcontractor Ratings Mobile functionality in Subcontractor Prequalification JSP module

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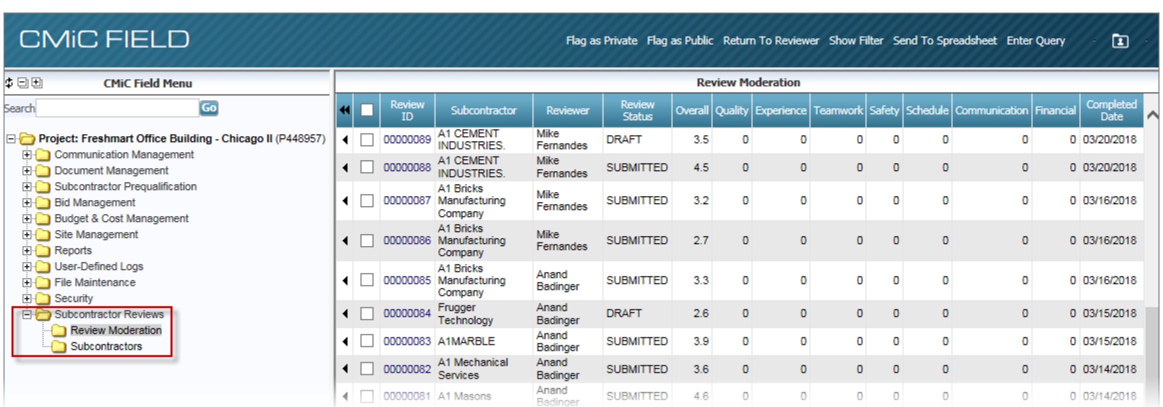
NOTE: If the mobile application is being used, use the Subcontractor Rating Questionnaire Setup menu on the Prequalification Management Treeview, shown in the red box above.

This section provides details about setting up the user-defined rating categories and questions (e.g. quality, experience, communication, etc.) for Subcontractor Ratings (Mobile) in the Subcontractor Prequalification JSP module, shown above, and about monitoring reviews.

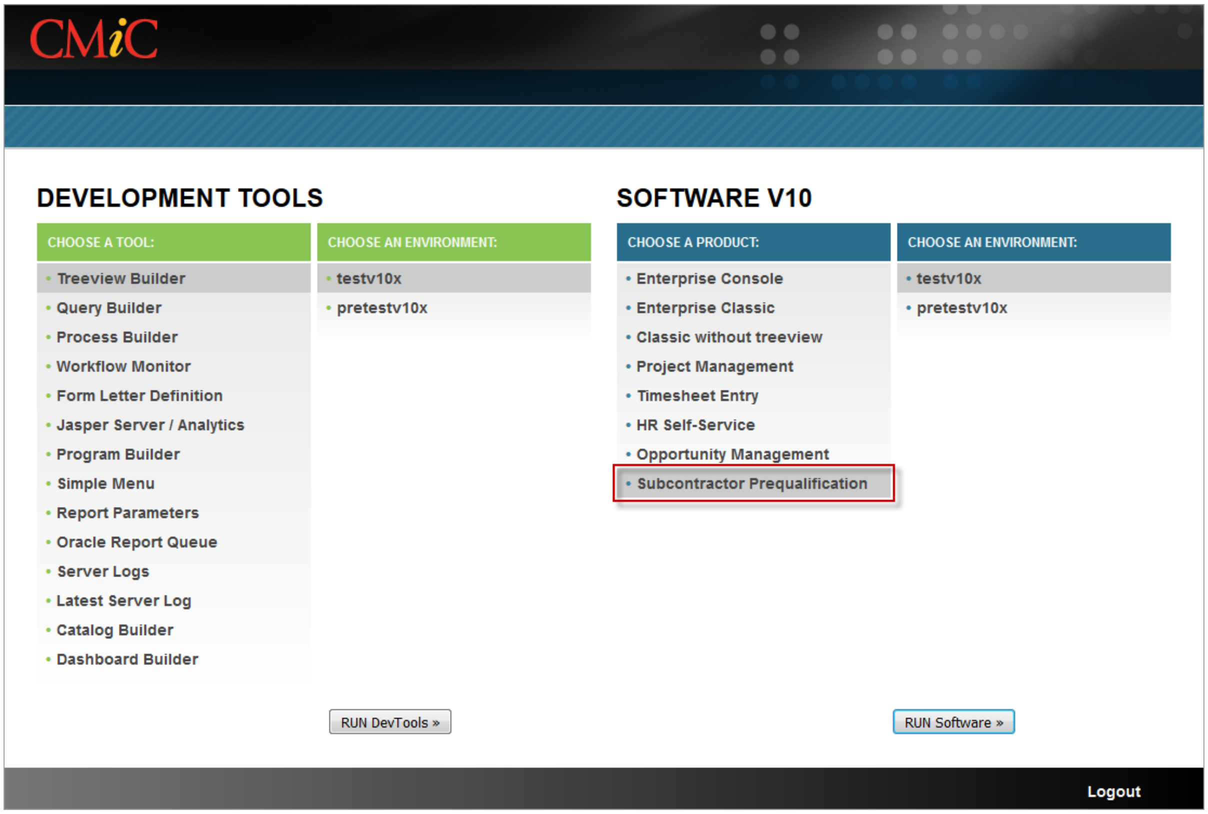
Assumptions:

- Category items will be fixed and defined by the client. These will not be changed once defined.
- Category weights should all be the same.
- Questions are fixed and defined by clients and will not be changed or altered in any way once defined.
- The scale starts at 0 and ends at 5.
- The ratings are not required for each question, therefore if the rating is null it should be skipped and does not impact the calculation.

NOTE: The Subcontractor Reviews functionality for monitoring reviews is also available in CMiC Field (JSP):

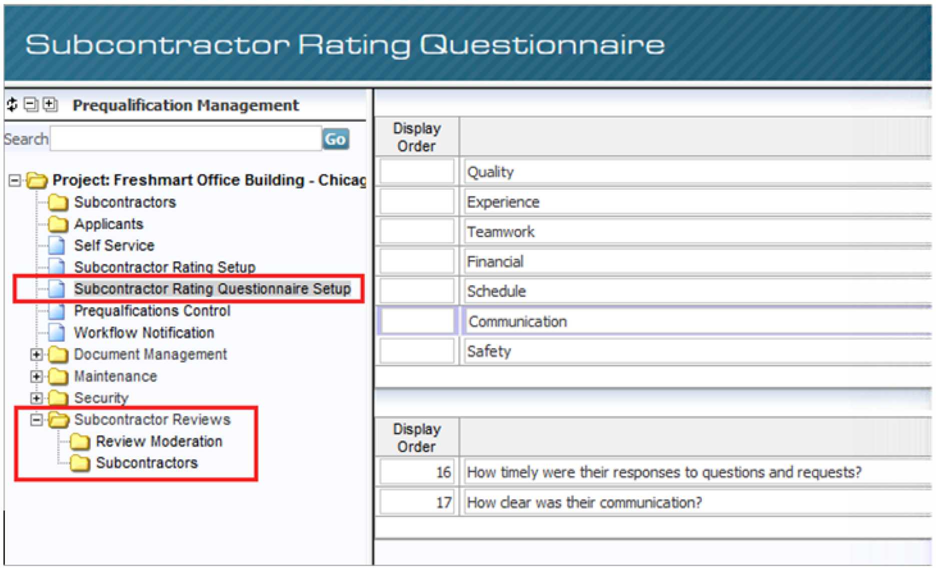


Subcontractor Prequalification – JSP

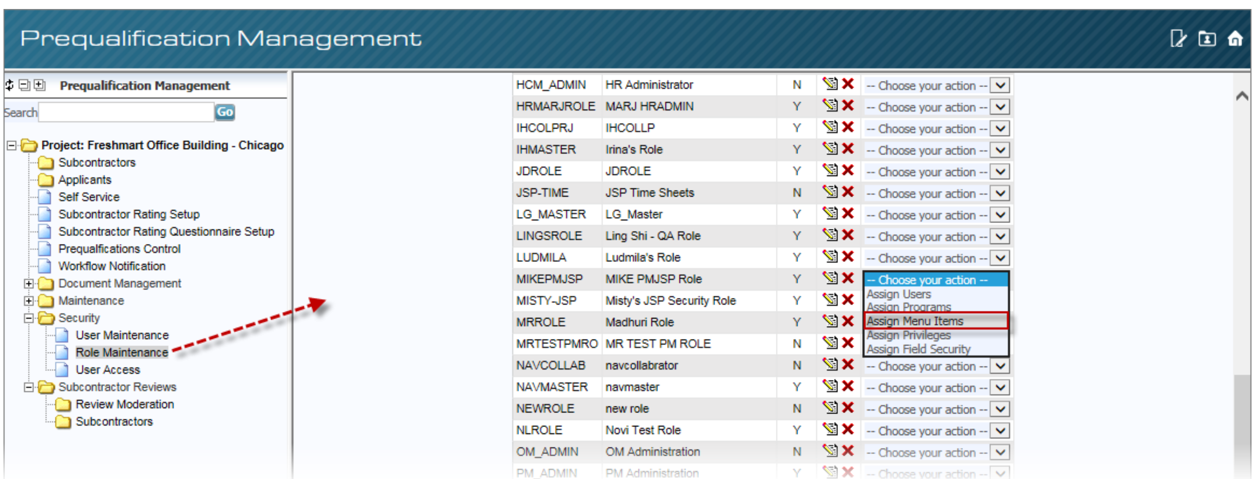


The Subcontractor Prequalification JSP module can be launched using the CMiC Launch Page, as shown in the above sample of a CMiC Launch Page.

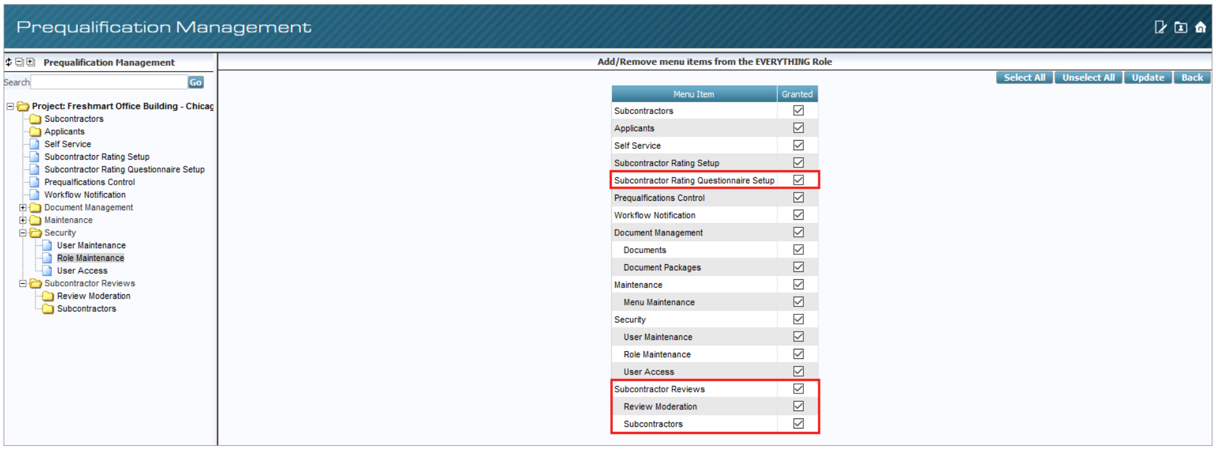
Security Setup for Subcontractor Ratings Mobile



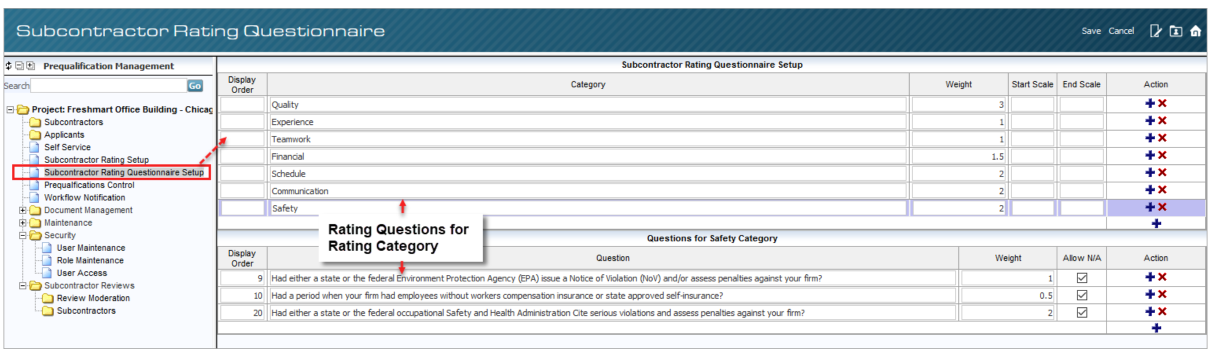
To grant a user access to the Subcontractor Rating Questionnaire Setup, Review Moderation, and Subcontractors screens (links framed above), use the Role Maintenance screen's Assign Menu Items option, shown below, to grant their JSP security role access to these screens:



Framed in the screenshot below are the menu items for the Subcontractor Ratings Mobile screens:



Subcontractor Rating Questionnaire Setup



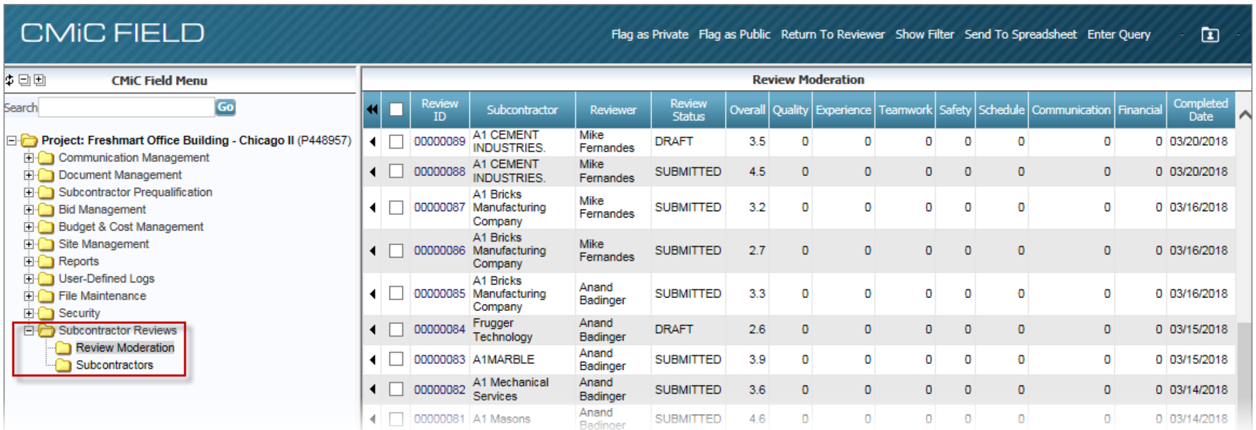
This screen is used to set up the rating categories, and where applicable, to set up rating questions for categories.

NOTE: By default, ratings are <u>not</u> required for each question. Therefore, if a rating is null, it is skipped and does not impact the calculation.

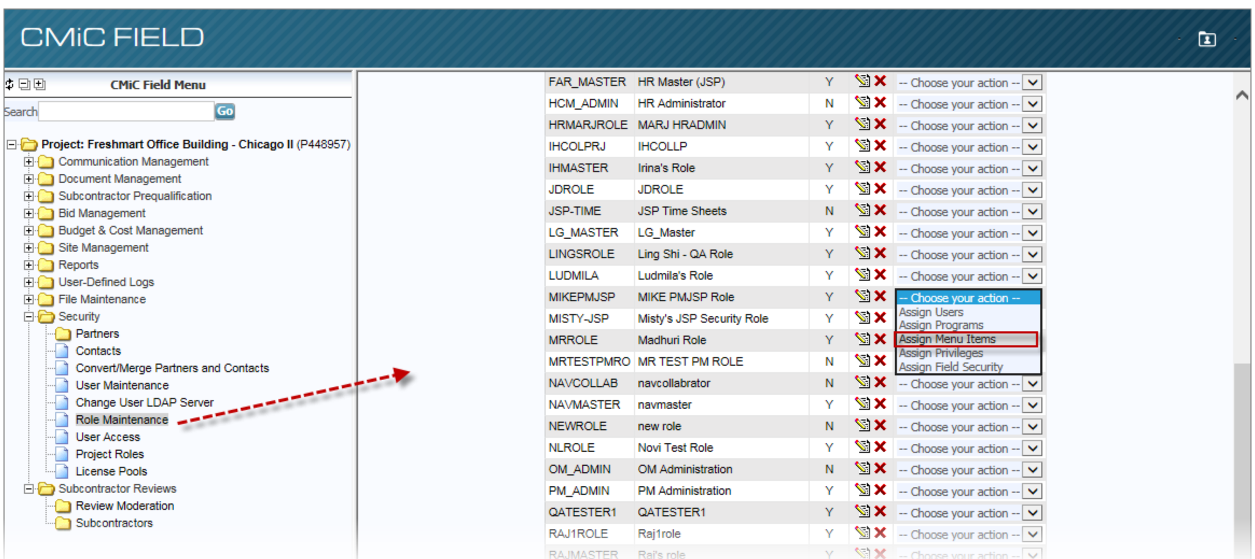
CMiC Field – JSP

This section contains details about the Subcontractor Ratings Mobile functionality and setup in the CMiC Field module.

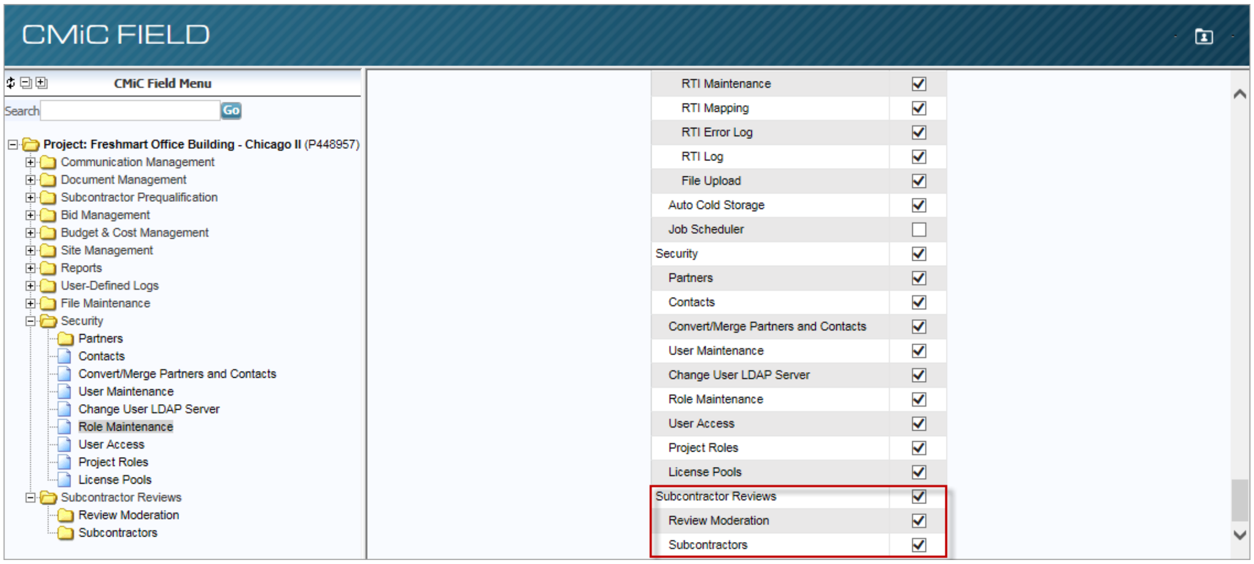
Security Setup for Subcontractor Ratings Mobile – CMiC Field



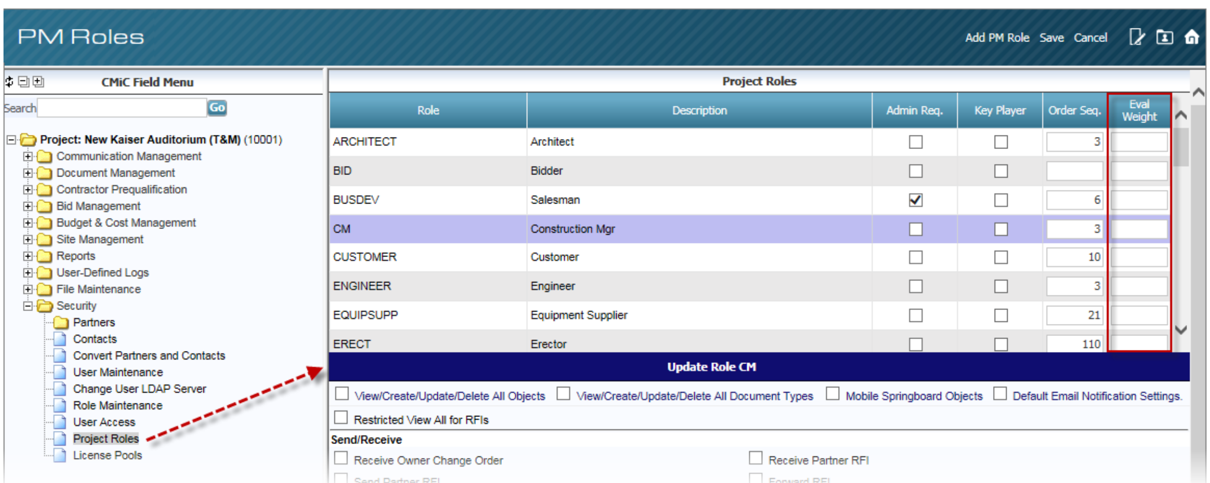
To grant a user access to the Review Moderation and Subcontractors screens (links framed above), use the Role Maintenance screen’s Assign Menu Items option, shown below, to grant their JSP Security Role access to these screens:



Framed in the screenshot below are the menu items for the Subcontractor Ratings Mobile screens in CMiC Field:



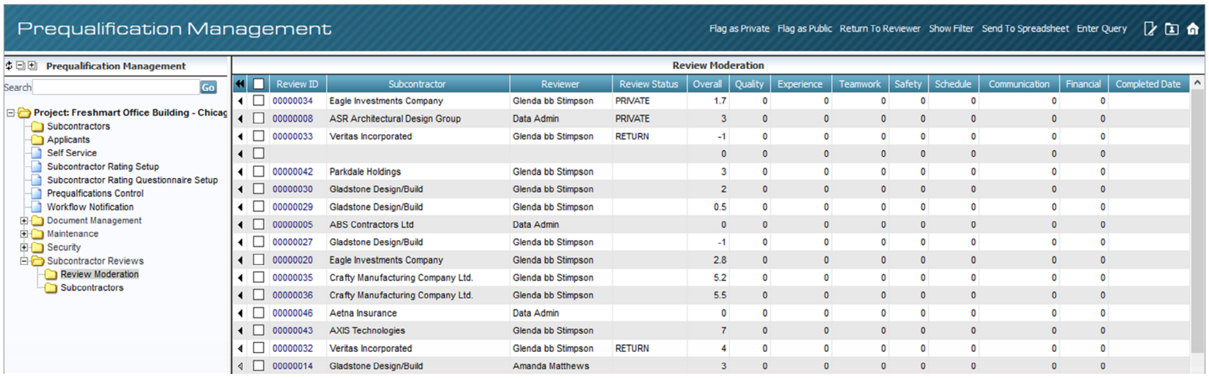
Setup for Reviewer Weight by Project Role – CMiC Field



In calculating a subcontractor’s overall weighted average rating, and weighted average rating per review category, the PM role of the reviewers will impact the calculation if reviewer weights have been set up for PM roles.

To set up reviewer weights for PM roles, use the Project Roles screen in the CMiC Field JSP module. As shown above, the Project Roles screen has the Eval Weight column to set the reviewer weight for each PM role. As an example, a project manager could have a weight of 3, and a site supervisor could have a weight of 1, resulting in the project manager’s ratings impacting weighted averages 3 times as much.

Review Moderation – Screen

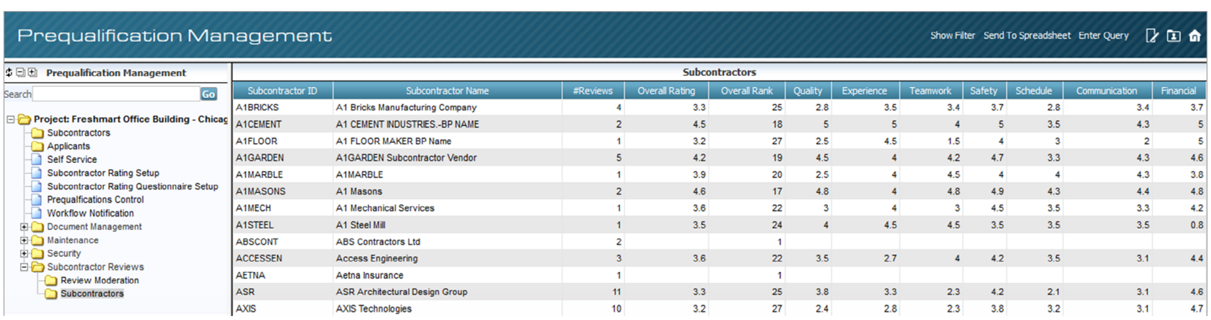


This screen is updated by changes made in the Mobile app.

The features of this screen are:

- A log view of all the reviews in the system. Initially the reviews are taken from the Subcontractor Prequalification – Project History > Rate It link
- On drill-down, it provides a detailed view of the review with the option to “Flag as Private”, “Flag as Public”, and “Return to Reviewer”.
- The “Flag as Private” option makes the review visible only to the moderator.
- The “Return to Reviewer” option allows the reviewer to modify their response and re-submit.

Subcontractors – Screen



This screen shows a log view of subcontractors along with their ratings. It is important to note that zeros will not impact the subcontractor’s score. It too is updated by changes made in the Mobile app.

Overall Rank

The overall rank for subcontractors is based on their overall rating in relation to that of the other subcontractors.

In case of ties, the tied subcontractors get the same rank, and the ranks that would have been used if there were no ties are not used. For instance, if three vendors are tied at rank 4, then all three get rank 4 and there is no rank 5 and 6, and the next subcontractor gets rank 7. Note that this is how the Olympics handles ties. If two teams tie at first:

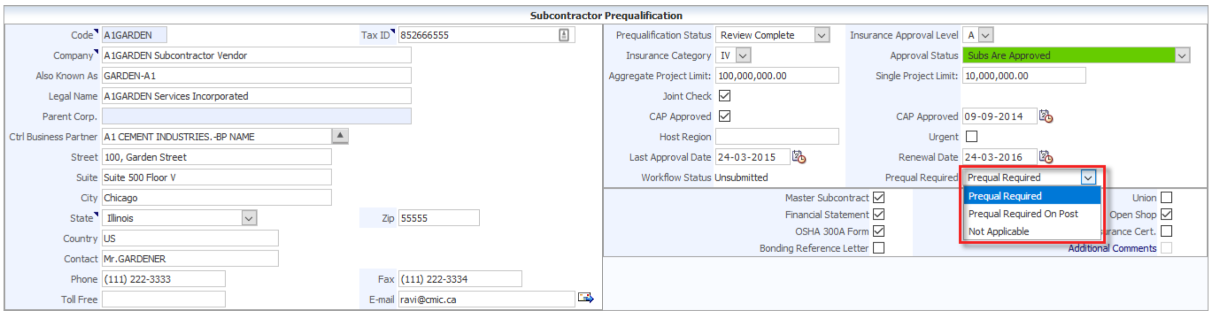
- both get gold

- no one gets silver
- third best gets bronze

NOTE: Inline filtering does not affect overall rank values, so the overall rank values shown for a subset of subcontractors when an inline filter is in use are the values that would be shown for the full set of subcontractors when no filter is used.

Addendum

Prequalification Required Indicator



Subcontractor Prequalification screen

The Prequal Required field has a drop-down box with three options:

• **Prequal Required -** To indicate that prequalification is required as per previous functionality. In this case, if hard stop options are used to highlight that the project or aggregate limits are being exceeded, they will continue to prevent subcontracts and change orders from being written for unqualified vendors.

The security privilege ‘SC Prequal. - Issue Contracts To Non-Qualified Vendors’ will continue to function as it did before with this option.

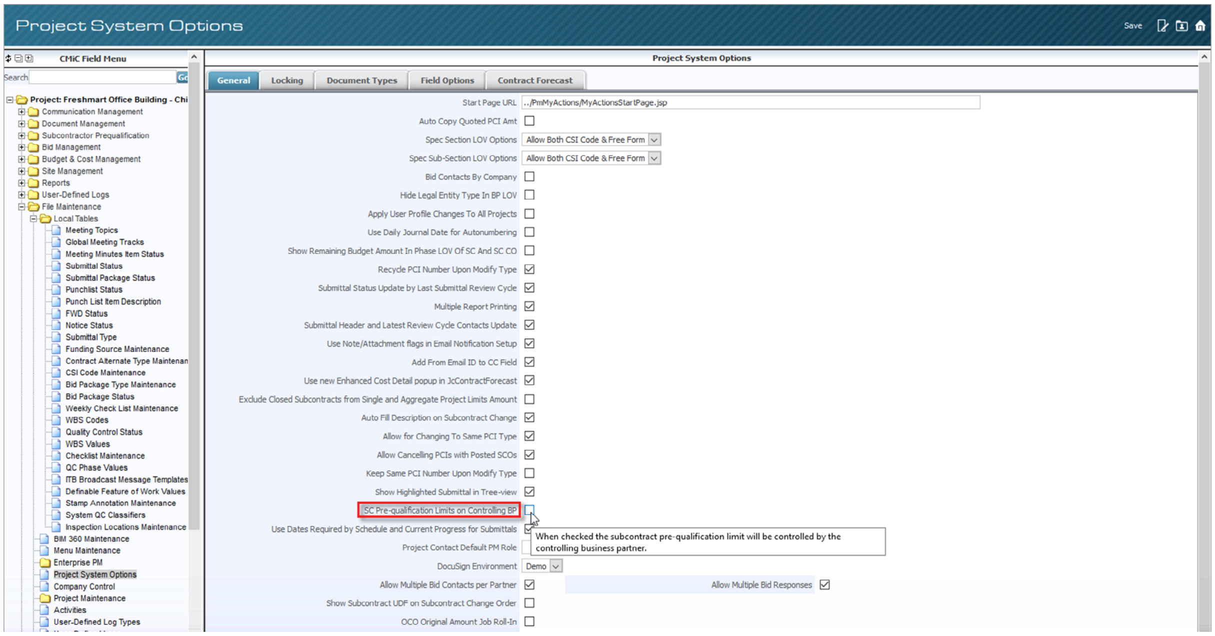
• **Prequal Required on Post**

- This selection will allow subcontracts and subcontract change orders to be written even if the project or aggregate limits are being exceeded, but when it is posting time, they will be re-validated for prequalification. This option allows users to start entering subcontracts/change orders prior to prequalification, with limits that are monitored through hard stops. On saving, the program treats the record as though it was monitored through limit warnings only - warning messages for the limits are displayed. However, if the user tries to post the record, the hard stop messages will be displayed.
- If the security privilege ‘SC Prequal. - Issue Contracts To Non-Qualified Vendors’ is not checked for the user when this option is in use, the subcontract or subcontract change order will still be created but on attempting to post the record, a message will be displayed to the user informing that the vendor requires prequalification.

• **Not Applicable** – means that prequalification is not required, so there are no warnings or stops when entering and saving subcontracts/change orders.

Prequalification Limits at Controlling BP Level

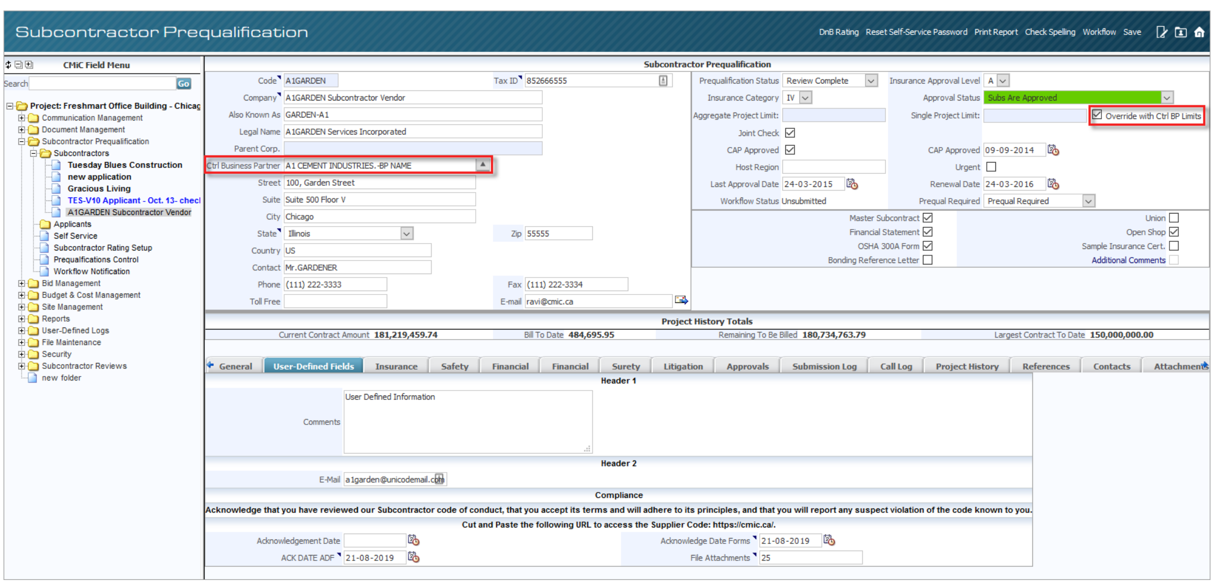
Subcontractor prequalification limits set at the controlling business partner level can be used to apply to the lower level business partners when subcontracts and subcontract change orders are written.



To accomplish this, the Project Management Systems Options checkbox ‘SC Prequalification Limits on Controlling BP’ was introduced.

When unchecked (default setting), the system will use the single project limit and aggregate project limit that is set on the prequalification subcontractor record to validate any subcontracts and subcontract change orders that are written for that subcontractor. This is the standard functionality.

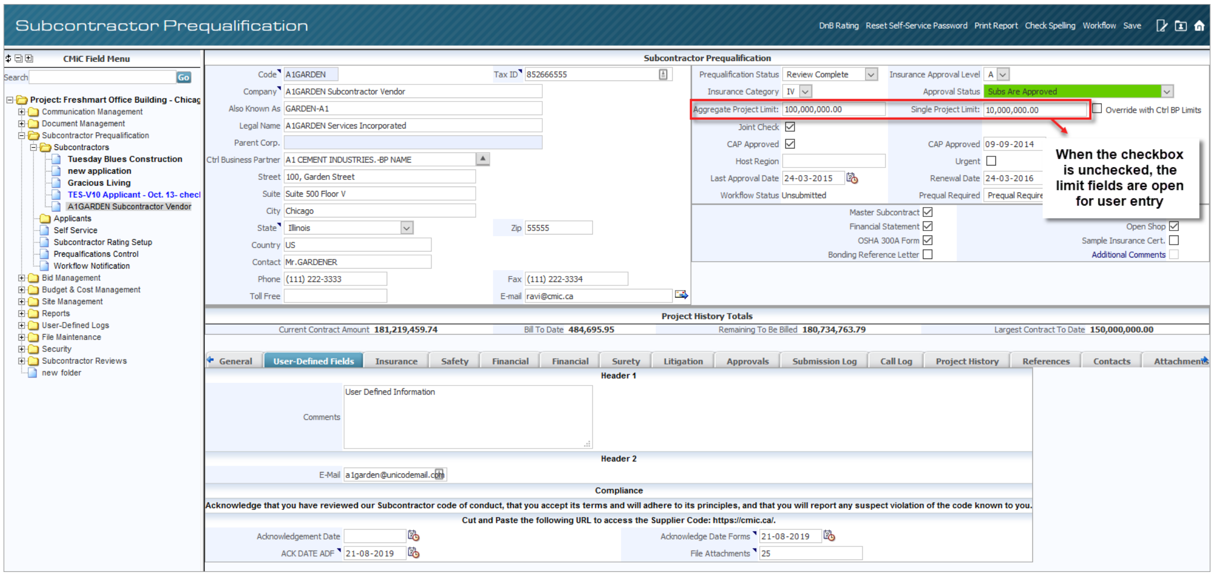
When the PM System Options box is checked, this setting defaults to any new applicant records created in the prequalification Applicants screen, in the checkbox ‘Override with Ctrl BP Limits’, and will be pushed to the Subcontractors screen when approved.



This checkbox becomes visible for applicants and subcontrators alike, only when the PM Systems Option checkbox is checked.

The ‘Override with Ctrl BP Limits’ checkbox will become enabled only for applicant or subcontractor records that have a controlling business partner value under the above condition.

When the box is checked for any business partners below the controlling business partner, the Single Project Limit and Aggregate Project Limit fields are read-only and the prequalification limits on the controlling business partner are used to validate any subcontracts and subcontract change orders written for these lower level business partners.



When the override flag is unchecked for any business partners below the controlling business partner, it supercedes the PM Systems Option checkbox setting of checked. The Single Project Limit and Aggregate Project Limit fields become open for entry (if the record previously had individual limit settings these will show but can be overridden) and the prequalification limits validation for any written subcontract and subcontract change order is made against the individual subcontractor limits, allowing more flexibility under this PM Systems Option setting.

The Ctrl Business Partner field was added to the Prequalification screen as part of this implementation.

Frequently Asked Questions

Common Questions about Subcontract Prequalification

What is the actual process for subs to input their own info? Do they receive a password and login ID? Internally, how do we verify the info that is entered?

Subcontractors would access the Prequalification Self Service screen via a URL posted in an email or website. They would then be prompted for their tax ID. If the tax ID was found in the system, they would be prompted for a password (previously issued by you). If not, it would ask them to create and confirm a new password. Internal users would review and manage via a detailed Subcontractor Prequalification screen.

If information is updated or changed on a business partner, do we receive a notification? It's possible that a sub that was very qualified in 2011 may not be qualified at all in 2014.

How do we manage that process and know what specific info has changed (safety record for example).

Notifications of changes, expiries, and other scenarios can drive workflows or appear on dashboards, queries, and reports.

Can we modify the required information fields to include all basic info we would need to make a decision on the first pass, rather than having to go back and ask them for more information after the fact? If info isn't required to start the profile, we will have a lot of follow-up with many subcontractors we really aren't interested in, just to get them off the Applicant Log.

This configuration would be addressed during the implementation of Subcontractor Prequalification.

Can the subcontractors check their prequalification status – e.g. is there an automated response built in to the program to notify them when reviewed, approved, or rejected, or can they access the status somehow by logging in to their file? Considering (in my opinion) many of the subs applying are not qualified or won't be selected based on other factors, it will be a waste of our and their time to spend a lot of effort with multiple notifications and follow-up.

If a subcontractor has been given access, they can log in and review/update their own information. Workflow can be configured to alert internal and external contacts of any situation with regards to approving or rejecting a qualification.

Is there an automated notification process when a profile has not been updated for a length of time? It would be great if they could be notified that their profile is outdated and if they don't respond, they get flagged or re-classed.

Yes. Workflow can be configured to alert both internal and external contacts on any time interval. It can also send reminders and update statuses automatically.

Can we query by project history, location, and/or prequalification status and if so, can we send the found set a bid invitation?

Using the filtering available in invitation to bid and bid packages, correspondence can be distributed to selected bidders.

Will modifying company information in this module change the information in business partners?

Yes. Numerous items are shared between Business Partners, Vendors, and the Subcontractor Prequalification screens. Updating need only be done from one location.

Are we able to run a report on renewal dates to determine who needs to be sent a request for renewal?

Yes. This can be accomplished by viewing the Prequalification log itself, or by printing from the log via CMiC's Microsoft Integration Pack (MIP) technology.

Dashboard, queries, and reports are also great options.

Is there any component to this module that will track when we request a prequalification from a subcontractor and how long we wait for their response?

Yes. Workflow could be configured to manage this process.

Is the Ranking and Prequalification Status drop-down menus modifiable?

This configuration would be addressed during the implementation of Subcontractor Prequalification.

Can we customize the Trade Information fields?

Yes. The available items are defined as market sectors in Project Management, and can be uniquely assigned to each subcontractor.

Are the certifying agencies customizable?

Yes. The available items are defined as classifications in Project Management, and can be uniquely assigned to each subcontractor.

Do you need a collaborator license to use this?

Subcontractor Prequalification requires a self-service license for subcontractor privileges when applying or maintaining their profile online. Please contact Michael Somer at CMiC for more details (416-736-0123 x266 or michael.somer@cmic.ca).

Does the system send out emails to the current business partner for them to update their files?

Yes. Workflow can be configured to notify business partners of a required update.

Does it create a duplicate record if the business partner already exists?

No.

Does the hard or soft stop capture the committed remaining or the total value?

Yes. Regardless of the hard or soft warning, the subcontract header includes the single project limit remaining, as well as the aggregate project limit remaining.

Can the system be used to send addendums as a follow up to bidding?

Yes. Addendums can be sent out electronically as a follow up to bidding.

Workflow could also be configured to accomplish this.

How is project specific qualifications handled. Some of our projects require specific qualifications unique to that project. For example, qualifications for gaming control board/licensing that may be needed for work on a casino project may not be qualification criteria for other jobs.

This configuration would be addressed during the implementation of Subcontractor Prequalification.

What is the CMiC inter-dependency of the Subcontractor Prequalification module on other CMiC modules like Bid Management and Procurement? If the Bid Management module functions are not used, is the performance of the Subcontractor Prequalification module affected. If so, please identify.

Numerous areas are connected to the Subcontractor Prequalification module such as Business Partner Maintenance, Bid Management when searching for and assigning bidders, as well as Subcontract Management and CMiC Workflow.

Is the collaboration functionality required to use this module? If so, please identify the dependencies and costs associated.

Subcontractor Prequalification requires a Self-Service license for subcontractor privileges when applying or maintaining their profile online. Please contact Michael Somer at CMiC for more details (416-736-0123 x266 or michael.somer@cmic.ca).

Does this module support/offer I/O?

CMiC I/O, like with workflow, would have to be configured for use with Subcontractor Prequalification as per your requirements.

Will the form letter functionality be compatible with this new module?

Yes. CMiC's Microsoft Integration Pack (MIP) is available for use with this module in producing output via Word and Excel. Dashboards, queries, and reports are also great options. This configuration would be addressed during the implementation of Subcontractor Prequalification.

Please identify what standard reports or output is provided with this module.

Reports, queries, dashboard objects, and workflow correspondence can be developed as per your unique requirements. This configuration would be addressed during the implementation of Subcontractor Prequalification.

Does this module support user extensions and user-defined fields?

This configuration would be addressed during the implementation of Subcontractor Prequalification.

Can you send sample reports in PDF format for us to review?

Reports, queries, dashboard objects, and workflow correspondence can be developed as per your unique requirements. This configuration would be addressed during the implementation of Subcontractor Prequalification.

How long will it normally take from time of install to realistically go live?

The length of time between install and go live would depend on configuration, reporting, and the number of users to be trained.

How much training do we need to budget for and would it be onsite?

General configuration and training should take between 5 and 10 days.

Does UDQ play a part in the surveys or is that part of the module?

The questionnaire that was shown to calculate the subcontractor rating is a user-defined function within the Subcontractor Prequalification module.

We use a custom numbering scheme for business partners so we can take advantage of the quick find feature in lookups. How will that work with this module? Do we have control over the business partner coding scheme?

Business partner autonumbering is supported by Subcontractor Prequalification.

Does the system allow for us to send out an email auto response once the prospective subcontractor completes the prequalification form? If so, who will the email responses be returned to and do we control the message being sent?

Workflow can be configured to manage all correspondence with respect to prequalification. You have full control over all the contacts involved during the workflow process. There is an Approvals tab in the Subcontractor Prequalification screen that provides from end control to the workflows.

Does the Federal Tax ID field work for Canadian customers?

Yes. The prompt upon logging in can be adjusted and linked to the registration code on the business partner for validation.

The Subcontractor Prequalification module was presented in detail, but the Bid Management module, which works hand in hand with the prequalification process, was not shown. Is this included with the Subcontractor Prequalification module? If not, is this an extra module and how is it licensed? (By Bid Management, we are referring to bid notices, downloading of bid documents by bidders, tracking of bidders.)

The Subcontractor Prequalification module is tied into the bid management process when searching for and assigning bidders to the invitation to bid and bid packages. Bid management is licensed through CMiC Project Management. Bidders logging into the system to download bid documents is licensed through CMiC Collaboration. Please contact Michael Somer at CMiC for more details on Subcontractor Prequalification and Self-Service licensing (416-736-0123 x266 or michael.somer@cmic.ca).

How much information from the Subcontractor Prequalification module gets transferred into the business partner record once the applicant is approved? If it is not transferred, is it viewable from the business partner record?

Some of the items shared include work territories, address codes, market sectors, MBE designations, and attachments. Shared items can be accessed and updated via the Business Partner Maintenance screen or the Subcontractor Prequalification module. Items not shared can still be configured to view from the Business Partner screen via one of many reporting options.

How much access do subcontractors have to update their own profile in the system? Can they log in to update their address, etc?

Subcontractors and applicants can be provided access to the Subcontractor Prequalification Self-Service screen in order to create or update their profile. Please contact Michael Somer at CMiC for more details on Subcontractor Prequalification and Self-Service licensing (416-736-0123 x266 or michael.somer@cmic.ca).

What reports are included with the Subcontractor Prequalification module? One report we would like to see is a subcontractor rating report – a list of all subcontractors that can be filtered by rating.

Reports, queries, dashboard objects, and workflow correspondence can be developed as per your unique requirements.

Can you track 1st, 2nd, and 3rd tier subcontractors?

Subcontractors are currently all tracked at the same level, but could be configured during an implementation.

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