

Form SOQ-5: Environmental Index Rating

<p><u>Contact Information</u></p> <p>Date:</p> <p>Name Of Firm:</p> <p>Contact Person:</p> <p>Address:</p> <p>Telephone: Fax:</p> <p>Email Address:</p>	<p style="text-align: center;">Official Use Only</p> <hr/> <p style="text-align: center;">Environmental Index Rating</p> <div style="text-align: center; border: 1px solid black; width: 100px; height: 20px; margin: 0 auto;"></div> <p>Part 1 Score </p> <p>Part 2 Score </p> <p>Part 3 Score </p>
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The Environmental Index Rating requirements include provisions for the evaluation of a Proposer's environmental record and shall reflect the environmental performance of each member of a joint venture, limited liability company, or partnership. An environmental index of A+ to D (130 to 60) is considered satisfactory. An environmental index of D (69 to 60) will be considered marginal and/or may result in an environmental audit or inspection by the North Carolina Turnpike Authority. Any environmental index of U (<59) is considered unsatisfactory and will prohibit pre-qualification or approval of a new proposer, joint venture, limited liability company or partnership and/or renewal of an existing firm. These companies will not be approved for pre-qualification or subcontractor approval until they can provide adequate evidence that environmental deficiencies have been corrected.

Environmental Index Rating

Total Environmental Index Score	Index
> = 120	A+
100 - 119	A
80 - 99	B
70 - 79	C
60 - 69	D
< = 59	U (Unsatisfactory)

When any existing pre-qualified prime contractor's or an approved subcontractor's environmental index becomes unsatisfactory, that firm will be subject to preclusion from working on any NCTA projects. Once an environmental index rating becomes unsatisfactory, the firm will be required to show cause in writing as to why the company should not be removed from the NCTA's list of pre-qualified and/or approved bidder or subcontractor's lists. After the NCTA reviews the contractor's environmental records and show cause response, the contractor will be subject to: (1) Removal from the list of pre-qualified bidders and/or approved subcontractors, (2) placement on probation for up to two years, (3) an in-depth evaluation of the firm's environmental practices, (4) receipt of a written warning to correct the deficiency, (5) or any combination of the previous.

The action taken will depend on the severity and nature of the environmental violations. Any removal from the list of pre-qualified bidders and or approved subcontractors will be for a minimum of 30 days. To be reinstated, the contractor must satisfactorily demonstrate that all environmental deficiencies have been corrected. Any company that is repeatedly removed from the list of pre-qualified bidders and/or approved subcontractors due to environmental deficiencies may be subject to long-term disqualification.

The environmental index rating procedures have been designed to minimize any impact on the rating related to the size of the company.

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Environmental Index Rating: _____ Pre-qualification Expires: _____

Approved By: _____ Date: _____

Part 1: Contractor's Environmental Philosophy Profile

Listed below are questions to be used to determine the Proposer's overall environmental philosophy profile. The Proposer shall include answers for each member of a joint venture, limited liability company, or partnership and, if not included in the above, any major subcontractor(s) which will be performing grading/earthwork operations. Separate SOQ-5 forms may be utilized for each participating member; however, the results will combined into a single score for the Proposing entity.

Please provide the answer that best describes the present business approach and attitude towards environmental protection. Any additional responses maybe attached as needed. Although questions are subjective, answers that are judged to provide a positive environmental profile will provide up to an additional 10 points for those sections to be added to the overall index.

1. Does your company or firm currently have a written environmental stewardship policy in force?

Yes No

If so, attach a copy of your Policy.

2. Does your company or firm have a designated environmental officer/engineer?

Yes No

Name and years of service as an environmental officer/engineer

Name:

Years of Service:

3. Does your company or firm perform independent audits for compliance with environmental permits?

Yes No

If so, describe or attach a description of this procedure including the frequency.

4. Does your company or firm perform independent audits for compliance with erosion and sedimentation regulations?

Yes No

If so, please describe or attach a description of this procedure, including the frequency.

5. Does your company or firm provide environmental training to your employees?
 Yes No

If so, please describe or attach a description of the type and frequency of this training.

6. How does your company or firm rectify a written violation by a regulatory agency? This should include reaction to any Notices of Violations, Cease and Desist orders, or Immediate Corrective Action notices. Please provide specific details.

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Part 1 Score:

2: Contractors Environmental Operating Profile

Listed below are questions to be used to determine the Proposer's environmental operating profile and shall include historical information for each member of a joint venture, limited liability company, or partnership. Please provide the answers that best describe present business operating practices regarding environmental protection. Any additional responses may be attached as needed. The NCTA will complete all scoring.

1. Has your company or firm been involved with a project that has received any Notice of Violations or stop work orders on any public or private work from any environmental or government agency over the past five years? Air quality violations related to industrial plant operations should be listed separately from any violations specific to sediment and erosion control. If so please, describe or attach a description of each incident. (Score = 15 points)

Yes No

Score
<input type="text"/>

2. Has your company or firm been involved with a project that has been issued an Immediate Corrective Action notice from the North Carolina Department of Transportation over the past five years? If so, please describe or attach a description of each incident. (Score = Total 10 points: 0-3 = 10 pts, 4-6 = 5pts, >6 = 0 pts)

Yes No

Score
<input type="text"/>

3. Has your company or firm paid fines or penalties to settle any environmental violation? If so, please describe or attach a description of each incident. (Score = 20 points)

Yes No

Score
<input type="text"/>

4. Has your company or firm ever caused or contributed to an environmental incident that required another contractor or other government entity not directly under your control to mobilize to the project in order to correct the incident? If so, please describe or attach a description of each incident. (Score = 20 points)

Yes No

Score
<input type="text"/>

5. Has your company or firm or any individual currently employed ever been convicted or pled guilty in court or paid fines for breaking any environmental regulations and/or laws over the past five years? If so, please describe or attach a description of each incident. (Score = 40 points)

Yes No

Score
<input type="text"/>

6. Has your company or firm ever been forced to remove an employee from a project due to that employee's failure to follow environmental guidelines over the past five years? If so please, describe or attach a description of each incident.

(Score = 15 points)

Yes No

Score <input style="width: 50px; height: 20px;" type="text"/>
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Official Use Only	Part 2 Total Score <input style="width: 50px; height: 20px;" type="text"/>
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Part 3: Certificates and Environmental Awards

Please list all current employees that have environmental certifications and the type and date of certification. List also the environmental training that employees have received beyond the training provided by your company. List all environmental awards that have been received by your company for its environmental efforts on projects. Describe or attach information. (Score = Up to 10 points may be awarded)

Official Use Only	Part 3 Total Score <input style="width: 50px; height: 20px;" type="text"/>
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Part 4: Certification

I hereby certify that the information provided in this document is true and accurate to the best of my knowledge. Submission of false information will result in an unsatisfactory rating.

Name (print or type)

Title

Signature

Date