

14-1

# DOH Vendor System: Contractor Directory

## Objectives

- Locate an Existing Contractor
- Enter New Contractor Information
- Process Pre-Qualifications
- Process Civil Rights Certifications
- Generate Reports
- Perform Queries
- Generate Labels

## Overview

The DOH Vendor System allows authorized users to view and perform all of the processes associated with **Contractor Certifications and Pre-Qualifications**. The system maintains detailed contractor information used in subcontract assignments, contract bidding, and estimates processing. All HiCAMS/DOH Vendor users have inquiry access to view contractor information.

## Locate an Existing Contractor

**Step 1:** Select **Functions**→**Contractor Directory**→**Review Contractors** menu. The **Contractor Selection** window displays:

The screenshot shows the 'Contractor Selection' window with the following fields and controls:

- Filter** section:
  - Firm Name: [Text Input]
  - Highway Contractor Type: [Dropdown: Prequalified Contractor, Subcontractor]
  - Other Type: [Dropdown: (All)]
  - Pre-Qualification Number: [Text Input]
  - Vendor ID: [Text Input]
  - DS Vendor Number: [Text Input]
  - Division Maintenance Contractor: [Dropdown: (All)]
- Buttons: Retrieve, Reset, OK, Cancel
- Table Header:
 

Firm	Highway Contractor Type	Other Type	Address	City	State	Zip	Vendor ID	Vendor Number	Certifica
[Empty Table Body]									

**Step 2:** Enter the *Firm Name* to search.

**Note:** Vendor will search for existing Firm Names that match exactly as the name was entered. To search for Firm Names that contain the words you have entered, use a wild card (\*) search. The system defaults an asterisk as the first character to aid in this type of search. For example, to find all instances of Mangum Construction, enter "mangum" in the Firm Name field. You may also use the other filters to further refine your search. The following is an example of the results of a wild card search using "\*mangum".

**Contractor Selection**

Filter

Firm Name:  

Highway Contractor Type:  

Other Type:  

Pre-Qualification Number:

Vendor ID:

Division Maintenance Contractor:

Firm	Highway Contractor Type	Other Type	Address	City	State	Zip	Vendor ID	Certification
C C MANGUM - BOWERS	History	None	01070027	RALEIGH	NC		136	
C. C. MANGUM CONTRAC	Prequalified Contrac	None	POST OFFICE BOX 3176E	RALEIGH	NC	27622	10243	
C. C. MANGUM CONTRAC	Prequalified Contrac	None	6105 CHAPEL HILL ROAD	RALEIGH	NC	27607	10243	
C. C. MANGUM, INC.	History	None	POST OFFICE BOX 3176E	RALEIGH	NC	27622	3651	
C. C. MANGUM, INC.	History	None	3141 JOHN HUMPHRIES V.	RALEIGH	NC	27622	3651	
C. C. MANGUM COMPANY,	Prequalified Contrac	None	6105 CHAPEL HILL ROAD	RALEIGH	NC	27607	10244	
C.C.MANGUM - CROWDER	History	None	01070052	RALEIGH	NC		148	
C.C.MANGUM - SANFORD	History	None	01070152	RALEIGH	NC		149	
JIMMIE MANGUM TRUCKIN	Subcontractor	None	814 OLD APEX ROAD	CARY	NC	27511	12839	
MANGUM EQUIPMENT COI	Subcontractor	None	P.O. BOX 31768	RALEIGH	NC	27622	3588	
MANGUM EQUIPMENT COI	Subcontractor	None	3141 JOHN HUMPHRIES V.	RALEIGH	NC	27622	3588	
TOMMY MANGUM TRUCKII	Subcontractor	None	1025 BAHAMA ROAD	BAHAMA	NC	27503	1567	

**Tip:** The wild card search produced ALL Firm Names containing "Mangum". To search for only those firms that begin with the name "Mangum", remove the asterisk (wildcard) and type "mangum".

**Step 3:** You may further narrow your search by selecting a *Contractor Type*. There are two lists to select from:

- ◆ The *Highway Contractor Type* list is available (depending upon security rights) to add/update Subcontractor Prequalified Contractor information and certification information, (i.e. Other Services, Professional Services, Supply).
- ◆ The *Other Type* list is available (also depending upon security rights) to add/update firms who provides other types of services.

**Note:** You may select multiple contractor/Other Types by clicking the list icon and holding down the CTRL key and selecting the items with the mouse.

Additionally, you may also search by *Prequalification Number*, *Vendor ID*, or *Division Maintenance Contractor* (this menu should be used without other filters for best results).

**Step 4:** Once all of your search criteria are entered, click **Retrieve**. The system will list all of the contractors that match your criteria. If the contractor you wish to view or update is listed, highlight the row and click **OK**, or double-click anywhere on the row.

If the contractor you are searching for is not in the list, click the **Reset** button and enter different search criteria to try your search again.

## Enter New Contractor Information

**Tip:** *If you are already in this window with another Contractor's information populating the window, simply click the "New" button to clear the fields and begin entering the new information.*

**Step 1:** To enter *new* Contractor information, simply click the **Cancel** button on the **Contractor Search** window, and begin entering the new *Firm Name* in the **Review Contractors (New)** window:

Once a *Firm Name* has been entered, the application will search the exiting contractor records for firms with similar names. The selection window will pop-up with these firms listed. This is done to help prevent duplicate firms from being entered.

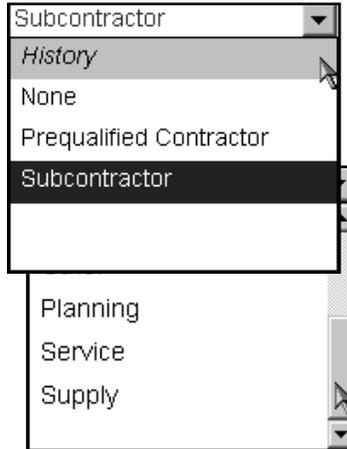
If the new firm you are attempting to create already exists in the list, simply double click on the appropriate row in the selection list. This action will abandon creating a new record and display the existing record.

If you do not find your new contractor in the list, click **Cancel** to finish entering the contractor.

**Step 2:** If you wish to change the default Highway Contractor type, simply select one from the drop down menu:

The **Highway Contractor Type** will have no default values. The **Other Type** will default to *None*.

**Note:** *New contractors cannot be set up with a Contractor Type="History".*



**Step 3:** If applicable, and depending upon your security profile, select an **Other Type**, otherwise, leave as "None":

Begin entering the balance of information related to your new contractor.

**Step 4:** **General Tab:** Enter the Federal ID/SSN, Firm Type, Nature of Business, Division Number, and Firm Established Date information. If applicable, check "Joint Venture" and/or "Known Supplier" checkboxes.

**Step 5:** **Address Tab:** Enter Contact name, Address, City, State, Zip Code, County, Address Type, Phone, Fax, and E-mail information:

**Review Contractors (New)**

Firm Name: New Firm, Inc.

Highway Contractor Type:  Other Type: None

Vendor ID:

General | **Address** | Owner | Work Codes | NAICS Codes | Officer | Certification | History

Contact	Address	Address 2	City	State	Zip
John Q. Contractor	123 Street St.		City	NC	12345

Contact: John Q. Contractor  Address Type: Address of Record

Address: 123 Street St.  Phone: (999) 123-1234 Ext: 123

City: City  Fax: (999) 321-4321

State: NC Zip: 12345 E-mail: emailaddress@email.com

County: Alamance

Country: USA

The Address, City, State, Zip, Address Type fields are required to save the record. All contractors are required to have exactly one "Address of Record". The system will default the contractor's first address to this Address Type.

Additionally, if the Firm Address of Record is located outside of NC, the County field will default to "Out of State". If the Address State is NC, select the applicable county from the list.

**Step 6:** **Owner** tab: Enter the owner information by clicking the Insert icon to display a blank row.

**Note:** *Owner information is optional unless and until one or more certifications are assigned to the contractor.*

**Review Contractors (New)**

Firm Name: New Firm, Inc.

Highway Contractor Type: Subcontractor Other Type: None

Vendor ID:

General | Address | **Owner** | Work Codes | NAICS Codes | Officer | Certification | History

First Name	Middle Initial	Last Name	Social Security	Gender	Ownership Percent	Ethnicity	Other Disadvantaged
Johns	Q	Contractor	123-45-6789	Female	100	Black American	<input checked="" type="checkbox"/>

**Step 7:** **Work Codes** tab: Select the appropriate work codes by checking the Select Code box(es).

**Note:** *You must select at least one work code from this tab if the Highway Contractor Type is Prequalified or Subcontractor:*

**Review Contractors (New)**

Firm Name: New Firm, Inc. New

Highway Contractor Type:   Other Type: None

Vendor ID:

General | Address | Owner | **Work Codes** | NAICS Codes | Officer | Certification | History

Code	Select Code	Workcode Description
000610	<input checked="" type="checkbox"/>	Asphalt Concrete Plant Mix Pavements
000660	<input type="checkbox"/>	Asphalt Surface Treatment
000830	<input type="checkbox"/>	Brick Masonry Construction
000210	<input checked="" type="checkbox"/>	Building Removal and Demolition
000540	<input type="checkbox"/>	Cement Treated Base Course
000200	<input type="checkbox"/>	Clearing and Grubbing
000854	<input checked="" type="checkbox"/>	Concrete Barrier
000846	<input type="checkbox"/>	Concrete Curb and Gutter, etc.
000710	<input type="checkbox"/>	Concrete Pavement
000420	<input type="checkbox"/>	Concrete Structures (Bridges and Box Culverts)
000801	<input type="checkbox"/>	Construction Surveying
000866	<input type="checkbox"/>	Fence
000862	<input type="checkbox"/>	Guardrail
000055	<input type="checkbox"/>	Hauling, Asphalt
000050	<input type="checkbox"/>	Hauling, General
000825	<input type="checkbox"/>	Incidental Concrete Construction

**Step 8:** **NAICS Codes** tab: If the firm being added has been indicated as an “Other Type”, select the appropriate work codes from this list by checking the appropriate records.

**Note:** *You must select at least one NAICS code from this tab if the Other Type is anything other than NONE.*

**Review Contractors (New)**

Firm Name: New Firm, Inc. New

Highway Contractor Type:   Other Type: Other Services

Vendor ID:

General | Address | Owner | Work Codes | **NAICS Codes** | Officer | Certification | History

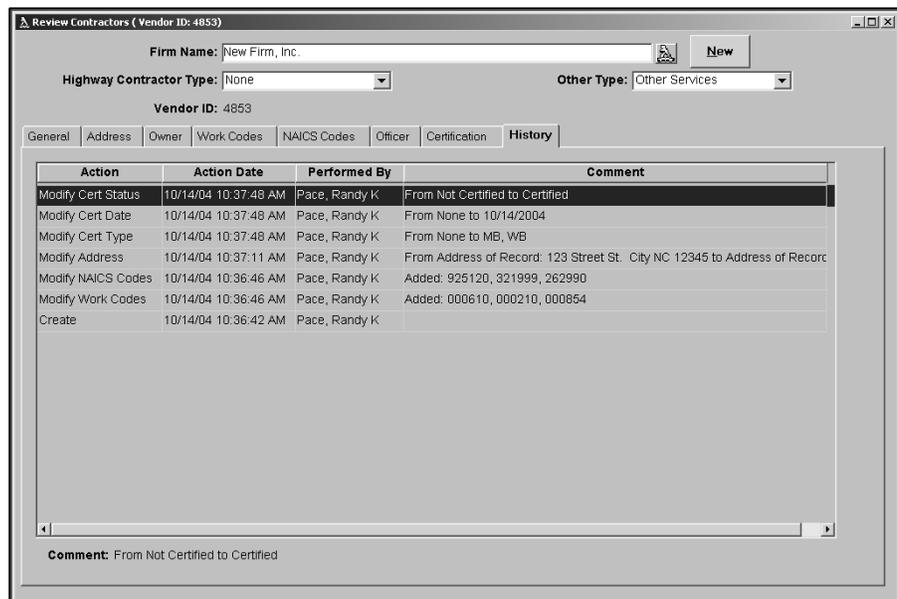
NAICS Code	Select Code	NAICS Code Description
925120	<input checked="" type="checkbox"/>	Administration of Urban Planning and Community and Rural Dev
541611	<input type="checkbox"/>	Administrative Management and General Management Consultin
234990	<input type="checkbox"/>	All Other Heavy Construction
321999	<input checked="" type="checkbox"/>	All Other Miscellaneous Wood Product Manufacturing
541990	<input type="checkbox"/>	All Other Professional, Scientific, and Technical Services
262990	<input checked="" type="checkbox"/>	All Other Rubber Product Manufacturing
541310	<input type="checkbox"/>	Architectural Services
332722	<input type="checkbox"/>	Bolt, Nut, Screw, Rivet, and Washer Manufacturing
234120	<input type="checkbox"/>	Bridge and Tunnel Construction
421390	<input type="checkbox"/>	Building materials, fiberglass (except insulation, roofing,
561430	<input type="checkbox"/>	Business Service Centers
233320	<input type="checkbox"/>	Commercial and Institutional Building Construction
541512	<input type="checkbox"/>	Computer Systems Design Services
235710	<input type="checkbox"/>	Concrete Contractors
541511	<input type="checkbox"/>	Custom Computer Programming Services
335150	<input type="checkbox"/>	Cutting Tool and Machine Tool Accessory Manufacturing

**Step 9:** **Officer** tab: Enter names of company officers. Click the Insert icon on the toolbar to create a blank row. Select the Title by clicking in the field to display the list. Enter the remaining information. At least one officer name and title must be entered to save a record where the Highway

Contractor type and/or Other Type is anything other than NONE:



**Step 10: History Tab:** This window displays all changes to each contractor record. The following example illustrates entries resulting from changes to the contractor’s Address of Record and WorkCode information. Note the comment section in the bottom of the window. The full text of the comment associated with the highlighted history record will display in this area:



## Process Prequalifications

### Authorized Users:

The staff members who have the ability to create and update Pre-qualification information are members of the following security group(s):

- ◆ Contractual Services - Prequal.

When entering a new contractor, the *Contractor Type* will default to blank and must be selected by the user. If the *Contractor Type* selected is "Prequalified Contractor" the Pre-Qualification section of the General tab will become editable. The prequalification *Status* will automatically be set to "**Prequalified**", and the *Expiration Date* will be set to the last day of the current month plus two years.

Pre-Qualification

Number:  Status: Prequalified Expiration: 10/31/2006

When entering a new contractor and *Contractor Type* selected is "Sub Contractor", the prequalification *Status* will automatically be set to "**Not Previously Prequalified**".

Renewed

Not Previously Pre-Qualified

Prequalified

Reinstated

Removed

Renewed

To process a Renewal, the contractor must currently be in the "Prequalified" status. When the *Status* is changed to "**Renewed**", the *Expiration Date* will be reset to the last day of the current month plus two years.

When processing a Re-Instatement (*Status* used when *Expiration Date* has passed and the contractor was previously in a Prequalified Status), updating *Status* to **Reinstated** will reset the *Expiration Date*, and reset the *Contractor Type* to "Prequalified Contractor".

To remove a Contractor from Prequalified status, click the *Status* drop down menu and select "**Removed**". Comments should be entered to provide reasons for the removal, but they are not required.

**Note:** *When the status is changed to Remove, the Expiration date will be updated to the current date, and will be protected.*

Additionally, if a Contractor Type is changed from *Prequalified Contractor* to *Subcontractor* or *History*, the status

will be set to Removed and the Expiration Date will be updated to the current date, and will be protected.

## Process Certifications

### Authorized Users:

The staff members who have the ability to create and update Certification information are members of the following security group(s):

- ◆ Contractual Services - UCP

### Certifying a New Contractor

Certifications are assigned to contractors using the **Certification** tab:

**Review Contractors (Vendor ID: 4853)**

Firm Name:

Highway Contractor Type:  Other Type:

Vendor ID: 4853

General | Address | Owner | Work Codes | NAICS Codes | Officer | **Certification** | History

**Certification**

DBE  MB  WB  SBE

Firm Gender: Female  
Firm Ethnicity: Black American  
Other Disadvantaged: Yes

Certified:    First Renewal: 10/14/2005  Second Renewal: 10/14/2006  Recertified: 10/14/2007

**Certification History:**

Types	Start	End	Action Date	Performed By
MB, WB	10/14/2004	12/31/2075	10/14/2004 10:38:00 AM	Pace, Randy K

**Workflow:**

Action	Effective	Action Date	Performed By	Comment
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**Note:** *Ownership information must be completed in order to assign one or more UCP certifications to a contractor. Ownership information is required to validate whether or not the contractor meets the minimum certification requirements. The ownership percentage of all owners added together must equal 100%. The name, gender, ethnicity and ownership percentage is required to save the record. Ownership percentage, gender, and ethnicity are used by the system to verify the certification types of DBE, MB, and WB.*

When the contractor is given its first certification the **Certified** date will default to the current date. The **First**

**Renewal, Second Renewal** and **Recertified** dates are set based on the Certified date and coincide with the state's 3yr certification cycle. First Renewal date is set to the Certified date + 1 year, Second Renewal is set to Certified date + 2 years, and the Recertified date is set to the Certified date + 3 years.

As each new certification is added, the Certification History is updated to reflect the date ranges that each certification was active.

Certification History:				
Types	Start	End	Action Date	Performed By
DBE, MB, WB, SBE	10/18/2004	12/31/2075	10/18/2004 10:20:00 AM	Pace, Randy K
DBE, MB, WB	05/01/2002	10/17/2004	02/06/2004 03:53:00 PM	Johnson, Terri L

To process the contractor's first renewal, activate the First Renewal checkbox. This action will be recorded on the History tab.

To process the contractor's second renewal, activate the Second Renewal checkbox. This action will be recorded on the History tab.

To recertify the contractor, activate the Recertified checkbox. When this checkbox is activated, the contractor's certified date, First Renewal, Second Renewal, and Recertified dates are updated to reflect the new 3yr certification cycle.

Certified: 05/01/2002	<input checked="" type="checkbox"/> First Renewal: 05/01/2003	<input type="checkbox"/> Second Renewal: 05/01/2004	<input type="checkbox"/> Recertified: 05/01/2005
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## Process Workflow Actions

### Authorized Users:

The staff members who have the ability to insert new workflow actions are members of the following security group(s):

- ◆ Contractual Services - UCP

The staff members who have the ability to insert new workflow actions and update existing workflow actions are members of the following security group(s):

- ◆ Contractual Services - UCP members who have update rights to the "Workflow Maintenance" security tag.

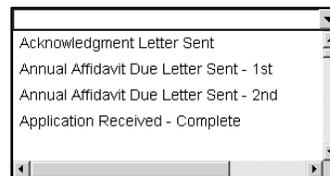
## Maintaining Workflow

Workflow actions are inserted on the Certifications tab and are used to track the internal steps taken during the processing of certification applications, as well as interaction between the contractor and the Contractual Services unit.

Workflow:						
Action	Effective	Action Date	Performed By	Comment		
Certification Approved	10/18/2004	10/18/2004 10:32:00 AM	Pace, Randy K			
Site visit scheduled	09/24/2004	10/18/2004 10:32:00 AM	Pace, Randy K			
Appointment Confirmation Mailed	09/22/2004	10/18/2004 10:32:00 AM	Pace, Randy K			
Application Received - Complete	09/18/2004	10/18/2004 10:32:00 AM	Pace, Randy K			

To add a new workflow item, click the insert icon on the toolbar.

Click the Action dropdown menu to select an item from the list of standard workflow actions.



The **Effective Date** will default to the current date, but may be changed to a date in the past.

Enter comments associated with the action as necessary.

## Generate Standard Reports

- Step 1:** Select **Inquiries**→**Standard Reports**. The **Vendor Select A Report** window displays:

**Step 2:** Select the report by clicking the report name. In this example we have selected the **DBE Certification Renewal** report.

**Step 3:** Click the **Generate** button to process a report using the available filters. In the following example, the Date Range field was used to generate a report on all Certifications whose First or Second renewal is due between 10/18/2004 and 12/31/2004 :

North Carolina Department of Transportation		
First/Second Renewal Due 10/18/2004 thru 12/31/2004 for Highway Contractors and Other Types		
<b>Division</b> 7	<b>Subcontractor</b> A & M TRUCKING COMPANY, INC. POST OFFICE BOX 13844 GREENSBORO NC 27405 (336)621-1017 DONNA L. BUSICK	<b>Certification</b> DBE, WB <b>First Renewal:</b> 11/01/2003 <b>Second Renewal:</b> 11/01/2004 <b>Recertification:</b> 11/01/2005
<b>Division</b> 5	<b>Subcontractor</b> ANTHONY'S TRUCKING 1033 ROUNDTABLE COURT KNIGHTDALE NC 27545 (919)266-6768 ANTHONY BROOKS	<b>Certification</b> DBE, MB <b>First Renewal:</b> 12/01/2003 <b>Second Renewal:</b> 12/01/2004 <b>Recertification:</b> 12/01/2005
<b>Division</b>	<b>Name</b> AVIATION ALLIANCE, INC. PO BOX 799 COLLEYVILLE TX 76034 (817)498-0368 SHIRLEY A. ROBERTS	<b>Certification</b> DBE, WB <b>First Renewal:</b> 12/12/2003 <b>Second Renewal:</b> 12/12/2004 <b>Recertification:</b> 12/12/2005
<b>Division</b> 9	<b>Subcontractor</b> B & M PIPE CONTRACTORS, INC. 292 LOG HOUSE ROAD	<b>Certification</b> DBE, MB <b>First Renewal:</b> 11/01/2003

The **Print Preview** window contains several controls available to view the report: Zoom, Page navigation buttons (lower right), and scroll bars.

**Step 4:** To print the report, click the **Print** icon on the toolbar.

The following is a list of **Vendor Standard Reports**:

### **1 DBE Certification Renewal Report:**

This report displays contractors based on selection of Certification Renewal and Recertification Date filters. The user can specify a range of from and to dates, or select from *Past Renewal* or *Upcoming Renewal* filters. The reports will display the *Address of Record* as default, but different address types can be selected from a drop-down list. The default displays all contractors and certification types that have not been removed from certification.

### **2 DBE Directory:**

This report will list all contractors that have one or more UCP Certifications. The report defaults to display the Address of Record, all Certification Types, and all Contractor/Other types. The defaults can be modified to display different address types, contractor types, and certification types.

### **3 Highway Contractors Report:**

This report will provide the ability to list contractors based on a Contractor Type filter. Selections are presented for ALL, Pre-Qualified, and Subcontractors. The default selection is ALL which will display all Pre-qualified and Subcontractor records. The displayed title of the report will change depending on which Contractor Type option is selected. The report also provides a Firm Name filter which will enable users to display only records matching what is entered (for example, with the Contractor Type filter set to ALL, entering the letter "A" in this field will return all pre-qualified and subcontractor firm names beginning with "A"). Users also have the option of checking a "Contains" box, which tells the system to look for firm names containing the words or letters

entered. The Firm Name filter works in conjunction with the Contractor Type selected.

#### **4 Other Types Report:**

This report will provide the ability to list contractors based on a Contractor Type filter. Selections are presented for ALL, Other Services, Professional Services and Supply. The default selection is ALL that will display contractors that do not qualify as Highway Contractors. The displayed title of the report will change depending on which Contractor Type option is selected. The report also provides a Firm Name filter which will enable users to display only records matching what is entered (for example, with the Contractor Type filter set to ALL, entering the letter "A" in this field will return all pre-qualified and Other type firm names beginning with "A"). Users also have the option of checking a "Contains" box, which tells the system to look for firm names containing the words or letters entered. The Firm Name filter works in conjunction with the Contractor Type selected.

#### **5 Prequalified Contractors Report:**

This report will display a list of contractors that are currently prequalified, determined by checking that the Pre-qualification Expiration Date is greater than the current date. The report provides an Address Type filter, the default for which is set to Address of Record, but which can be changed to display branch offices, billing addresses, etc. The report also provides a Firm Name filter that will enable users to display only records matching what is entered, as well as the "contains" option described above.

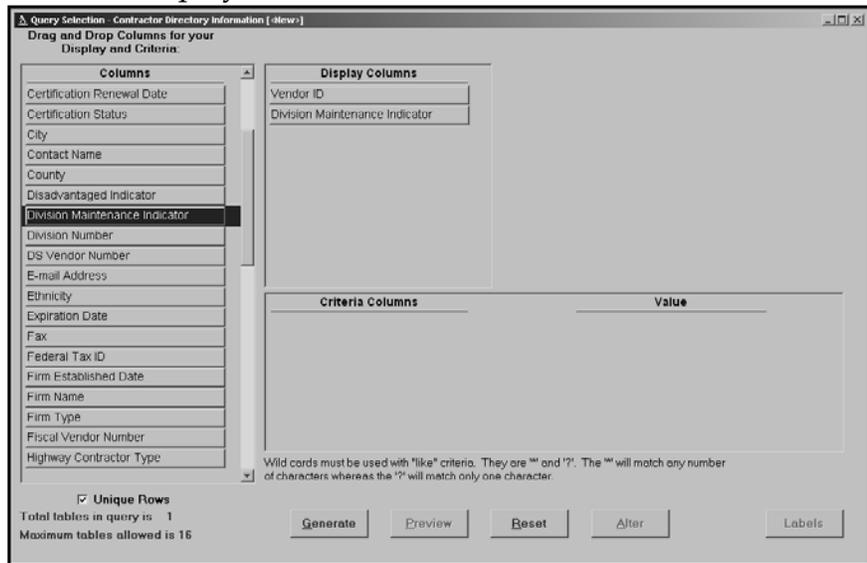
#### **6 Prequalified Contractors Expiration Report:**

This report will display contractors based on the Pre-qualification Expiration Date filter criteria selected. The user can specify a range of from and to dates, or select an All Expired or All Unexpired filter. The report displays the Address of Record as default, and different address types can be selected from a drop-down list. The report also provides a Firm Name filter that will enable users to display

only records matching what is entered, as well as the “contains” option described above.

## Perform Queries

**Step 1:** Select **Inquiries**→**Query Tool**→**Contractor Directory**. The **Query Selection - Contractor Directory Information** window displays:



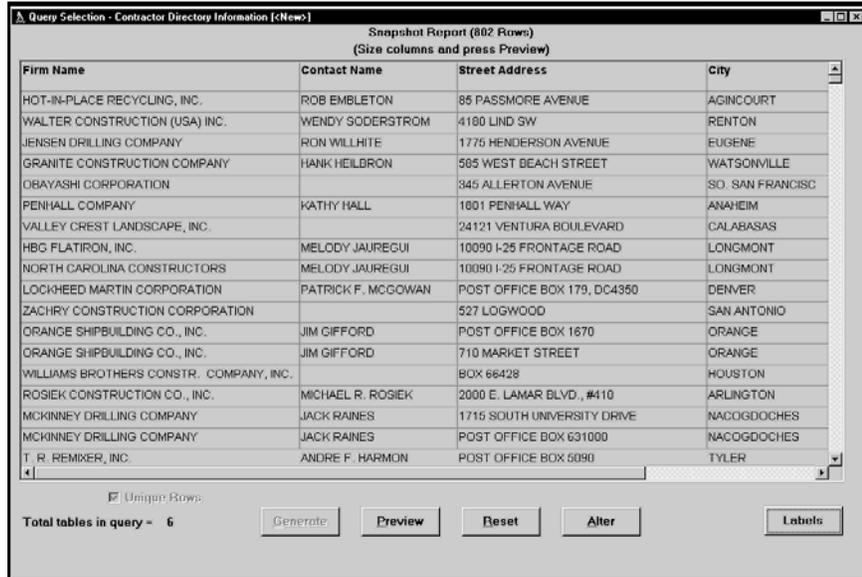
**Step 2:** To define what will be displayed as a result of your query, use the drag and drop method by selecting buttons from the left side under **Columns** and dragging them to the **Display Columns** section.

**Step 3:** To define the Criteria (or filters) that will determine which contractors will be displayed, use the drag and drop method by selecting buttons from the **Columns** section to the **Criteria Columns** section. Each filter requires that you define a *Value*. To set the *Value*, click in the field and select a value from the list that displays.

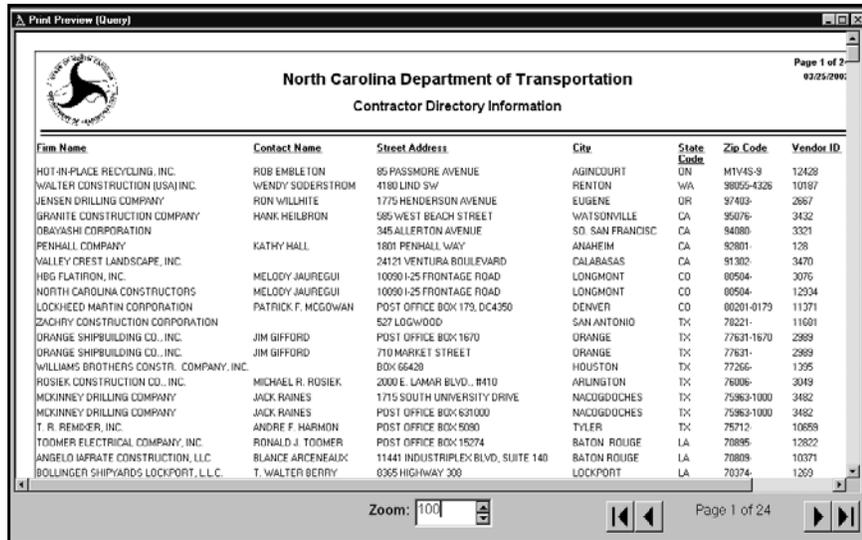
**Step 4:** Once you have completed adding your selection criteria, click **Generate** button. A snapshot of the report will display:

There are several tools available to alter the results shown in the Snapshot Report (shown above).

The Snapshot Report also indicates the number of Vendor tables that have been accessed to generate this information. This information is helpful with more complex queries that may be prohibited by a limitation within the application that allows only 16 tables to be accessed within a single query.



- ◆ Clicking the **Preview** button would result in a report as in the following example screen at 100% zoom:

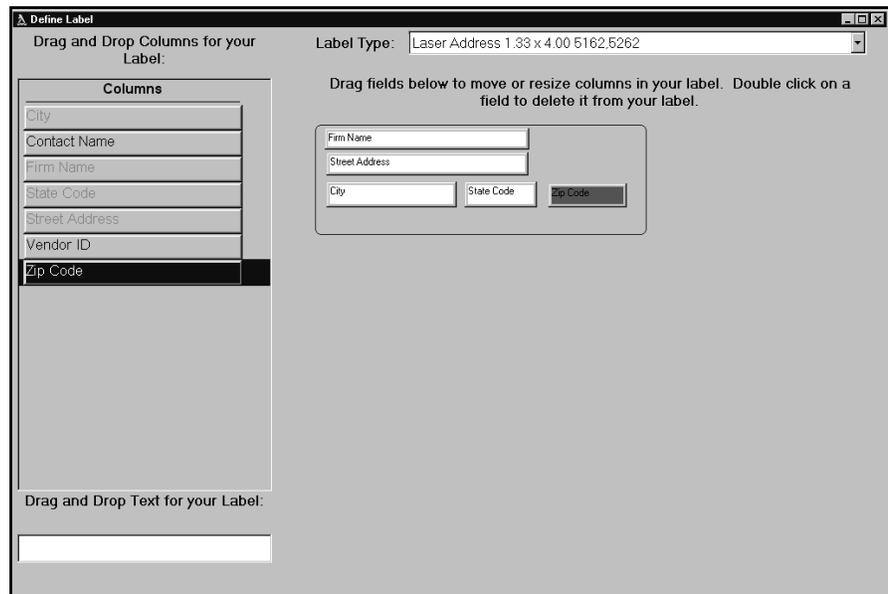


- ◆ The **Reset** button deletes your initial choices so you may begin another query.
- ◆ The **Alter** button return to the Query Selection window to allow changes or additions to your original display and criteria choices (more drag and drop editing).

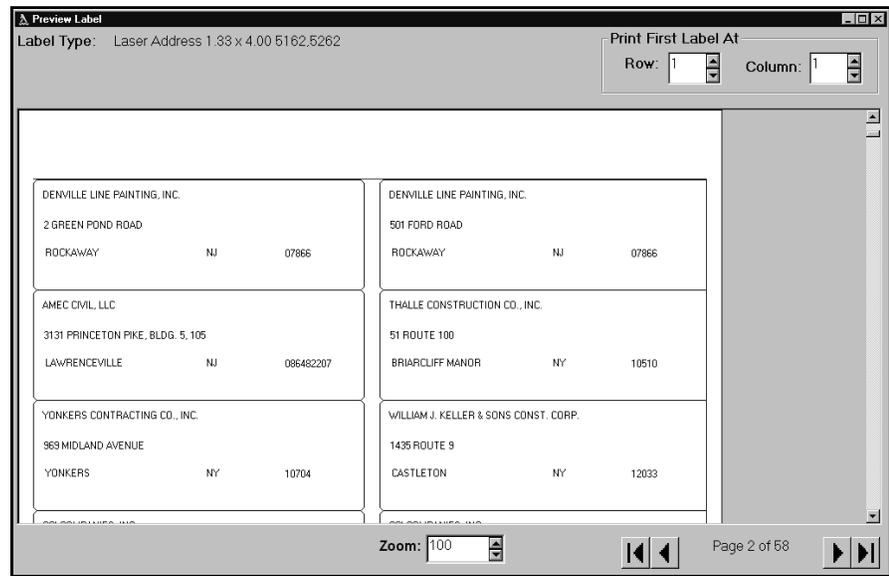
- ◆ The **Label** button provides the ability to generate mailing labels.

## Generate Labels

Mailing Labels of various sizes can be generated from your query results. You determine what information will be printed on the labels by dragging the buttons from the Columns section of the window into the label size to be used:



- ◆ The **Define Label** window uses the drag and drop method to arrange and define the labels with numerous **Label Types**, (varied label sizes) which you choose from in the drop down menu. The Labels are styled and processed based on the Contractor information at the time the Define Label window is accessed.
- ◆ The **Letter** button helps in the generation of bulk letter distribution to several Contractors at once, and becomes available after you have generated a query. The information fields you have selected for display in your query are available for selection to be used as part of your mailing label as shown below in the **Preview Label** window:



Revised 12/7/2012 - renumbered because of addition of Project Closeout module.  
MBNovello