



**FACILITIES MANAGEMENT DEPARTMENT
PRIME CONTRACTOR PREQUALIFICATION
APPLICATION**

Contractor Prequalification Process

The prequalification process allows Duke University to obtain the most accurate and complete information on prospective bidders and to identify firms qualified to perform particular tasks. The Facilities Management Department invites prime contractors to apply in an effort to increase and maximize the contractor base and improve both competition and diversity. Completion of this process is required of all prime contractors solicited by Duke in the following service categories:

- New Construction
- Renovation
- Construction Management
- Asbestos Abatement

Once prequalified, contractors will be placed on Duke's Approved Bidders List. This does not guarantee solicitation or award of any particular project. In order to remain prequalified, firms are required to complete a new application every five (5) years.

Questions regarding this application, or about participation in the bidder prequalification process should be addressed to:

Michael Dausch, PE
Director, Office of Project Management
Duke University
Facilities Management Department
114 S. Buchanan Blvd., Campus Box 90144
Durham, NC 27708
Phone: 919-660-4221
Email: michael.dausch@duke.edu

Instructions on Completing the Prequalification Application

Firms who desire to participate in Duke University's contracts program are required to complete a Prequalification Application, supply the supporting documents, and return the completed original signed package to:

Ms. Diane Bilbo, Sourcing Analyst
Duke University
Facilities Management Department
114 South Buchanan Blvd., Campus Box 90144
Durham, NC 27708
diane.bilbo@duke.edu

Once the completed application with all accompanying documents is submitted, it will be reviewed by the University's Prequalification Review Committee and a decision rendered on the prequalification status of the applicant. The Review Committee may approve the applicant, reject the applicant, or table the vote and ask for additional information from the applicant. If approved, the contractor will be considered prequalified for five (5) years from the date you are notified. At the end of the five years, the firm will have to complete and submit a new application to continue in the University's contracting program. If not approved, the contractor may resubmit with revised experience and qualifications after one year from the date of the previous application.

The category and per project capacity rating assigned by the University are based upon a number of factors; including: experience and qualifications, stability, references, local market presence, licenses or certifications, single and aggregate bonding capacity, financial capability, self-performing capability, number of local employees, safety record, and size and complexity of your largest successfully completed local projects. If at any time during the prequalification period a firm successfully completes any project or projects at least equal in value to the size of the largest successfully completed project submitted with the application, the firm is invited to request an increase in its per project capacity rating. To request an increase in a capacity rating, a written request must be submitted to any of the individuals named in the application instructions. The request must be accompanied by a newly completed Page 9 (Experience on Completed or Ongoing Projects), which is included in this application.

Once prequalified, firms are placed on the University's Solicitation List for potential work at the determined capacity level. Prequalification is a condition of bid submission, but not a guarantee of solicitation or future work.

The application should be completed on behalf of the applicant firm by an officer who is knowledgeable about past and current operations, policies and practices of the firm. A response must be provided to each question. If a particular question does not apply, the response must state "not applicable" or "N/A". Answers may be expanded upon by attaching additional pages. Use 8 ½" x 11"

paper and mark each additional page with the firm's name and identification of the particular question to which an answer is being given

The information to be provided and the requirements necessary to meet the standards for prequalification are for prequalification purposes only. Additional or different standards are required for each job or for contract award by the University. Those standards and requirements are set forth in each Invitation for Bid. Prequalification in no way ensures the award of contract work and the University reserves the right to limit solicitation to select highly-qualified bidders.

Duke University is a member of Vizient, a group purchasing organization (GPO). Duke's intent is to gain best cost value on materials, goods, services and equipment utilizing Vizient vendor contracts, related documents and agreements. Duke will require that all competitive bidding, purchase and procurement made by the Contractor and subcontractors use, to the fullest extent possible, Vizient's contracted products, goods and services where applicable. Vizient will make a current contract list of available Vizient' suppliers as required.

For the purposes of the application, the terms "company", "firm", "bidder", "proposer", "applicant", and "contractor" are used interchangeably and have the same meaning.

Supporting Documents and Information which must Accompany Your Application

The following documents or information must be included with the application:

FINANCIAL

Include a copy of the firm's two (2) most recent annual (audited, if available) financial statements. At a minimum, the financial statements must include the balance sheet, statement of income and retained earnings and footnotes, if applicable.

If the applicant has been in business less than five years, the application must include all available statements.

INSURANCE

Applicant must provide proof that the firm is insured at least in limits equal to the University's minimum requirements. A copy of these requirements for construction activities is found in the application. Disciplines other than construction may have additional insurance requirements such as errors and omissions, professional liability and environmental or pollution liability coverage. The limits of insurance specified in this application are minimums and the Duke does not in any way represent that the insurance or the limits of insurance specified in this application are sufficient or adequate to protect the Contractor's interests or liabilities.

LICENSES

Copies of all applicable and current trade licenses issued to the applicant firm which legally allow the firm to perform the work it does.

PREVIOUS WORK HISTORY

The application contains a form titled "Experience on Completed or Ongoing Projects". Please use this form to detail the work that the firm has performed within the last three (3) years. A minimum of three (3) projects, preferably completed, should be provided. Use one page per project and reproduce copies of the form as necessary. Remember to identify the firm as a prime contractor, subcontractor or joint venture partner.

OSHA VIOLATIONS

If at any time within the past five (5) years the applicant firm received an OSHA serious violation, the firm must provide copy(s) of the *Citation and Notification of Penalty*, signed *Settlement Agreement* and narrative which details the specific issue(s) cited, remedial action required and taken by the firm, amount of fine initially imposed and ultimate resolution.

RESUMES AND ORGANIZATIONAL CHART

The applicant must include current resumes for each Principal and Key individual identified in Question 8a. The application must also include a copy of the firm's current Organizational Chart.

DUNS (Data Universal Numbering System) NUMBER

The DUNS Number is a distinctive nine-digit identification number assigned to the firm by Dun & Bradstreet Information Services. If the applicant does not have a DUNS number, it should contact Dun & Bradstreet directly to obtain one. A DUNS number will be provided to the firm within seven to ten business days. For information on obtaining a DUNS number, the firm, if located in the United States, should call Dun & Bradstreet at 1-800-333-0505.

Prequalification Application

PLEASE PRINT OR TYPE ALL INFORMATION

1. NAME OF APPLICANT FIRM _____

Tax ID No. _____ or SS No. _____

DUNS No. (See Instructions) _____

D/B/A Name (if any) _____

Applicant's Address _____

City _____ State _____ Zip _____

Mailing Address (if different) _____

City _____ State _____ Zip _____

Telephone No. (____) _____ FAX No. (____) _____

Corporate Website _____

Contact Person/Title _____

E-mail Address _____

2. BUSINESS ORGANIZATION OF APPLICANT

Date the applicant firm was formed _____

Type of Organization:

☐ Corporation

State in which incorporated _____ Year _____

☐ Partnership

☐ General

☐ Limited

State and County where partnership filed _____

☐ Sole Proprietorship

Owner _____

☐ Not-for-Profit

☐ Joint Venture

3. MINORITY BUSINESS STATUS

a. Is the applicant firm certified as a Minority Business Enterprise (MBE) or Women Business Enterprise (WBE)?

☐ Yes ☐ No (If "Yes", attach Certification Letter)

b. Within the past five (5) years has the applicant firm had an MBE or WBE certification revoked or denied?

☐ Yes ☐ No

4. APPLICANT'S INSURANCE INFORMATION

Duke University requires that evidence of insurance coverage be in effect during the term of any contract awarded by the University to the contractor. BINDERS ARE NOT ACCEPTABLE. Minimum Coverages Required by the University are:

- Workers' Compensation – Employer's Liability coverage shall not be less than \$500,000 for each accident, \$500,000 for bodily injury/disease for each employee, and \$500,000 in the aggregate.
- Commercial General Liability – Minimum combined limit of \$1,000,000 for both bodily injury and property damage liability coverage, per occurrence and in the aggregate for each annual policy period. Coverage shall be extended to include blanket contractual liability coverage, owners' and contractors' protective liability, products and completed operations coverage, personal injury liability hazards and incidental medical malpractice coverage.
- Comprehensive Automobile Liability – coverage for all owned, non-owned or hired motor vehicles with limits of \$1,000,000 per accident for the bodily injury coverage and \$1,000,000 per accident for the property damage.
- Excess Liability Protection - \$5,000,000 per occurrence, combined single limit and \$5,000,000 in the aggregate for each annual policy period.

The information to be provided and the requirements necessary to meet the standards for prequalification are for prequalification purposes only. Additional or different standards may be required for each job or for contract award by the University.

Experience Modification Rating (EMR) _____ [If greater than 1.0 provide a separate explanation of this higher risk rating.]

Name of Primary Insurance Agent or Broker _____

Address _____

Telephone No. (_____) _____ FAX No. (_____) _____

Type of Insurance Coverages:

	Commercial Gen. Liability	Auto Liability	Worker's Comp	Other
Policy No.				
Name of Carrier				
Amount – Single				
Amount– Aggregate				
Expiration Date				

5. APPLICANT'S BONDING INFORMATION

Name of Bonding Agent _____

Address _____

Telephone No. () _____ FAX No. () _____

Name of Bonding Company	Bonding Capacity (Single)	Bonding Capacity (Aggregate)

6. APPLICANT'S LICENSES AND CERTIFICATES

Provide information on licenses and certificates necessary for the type of work applicant firm will perform.

Type of License or Certificate	Firm or Individual's Name	License No.	Expiration Date

7. CURRENT NUMBER OF EMPLOYEES

	Full Time	Part Time
Office		
Field		

8. PRINCIPALS AND KEY PERSONNEL IN FIRM

On the chart below, complete the required information.

"Principals" and "Key Personnel" include any of the following:

- Proprietors, partners, directors, officers
- Any manager or individual who participates in overall policy-making or financial decisions for the firm
- Any person in a position to control and direct the firm's overall operations or any significant part of its operation

Applicant firms that are publicly held corporations should list the president, treasurer, AND only those officers and managers who will have direct responsibility for Duke contracts.

Resumes for Principals and Key Personnel and firm's current Organizational Chart must be provided with this application.

a. Principals and Key Personnel (use additional paper if necessary)

	Person 1	Person 2	Person 3
Name			
Title			
% of Ownership			
No. of shares owned			

b. At present, do any of the Principals or Key Personnel listed in Question No. 8a own 25% or more of any other firm?

☐ Yes ☐ No

If "Yes", list below

Person	Firm Name	Address	Tax ID No.	% Owned

c. Is any Principal or Key Person listed in Question No. 8a a current employee or related by blood or marriage to any current employee of Duke University?

☐ Yes ☐ No

If "Yes", list below

Name of Principal or Key Person	Name of Duke Relative	Relationship

- d. Are any of the Principals or Key People listed in Question No. 8a related by blood or marriage to any owner or other key person in a firm that currently does work for Duke University?

☐ Yes ☐ No

If "Yes", list below

Name of Principal or Key Person	Name of Relative in Other Firm	Name of Other Firm

9. APPLICANT FIRM'S FINANCIAL INFORMATION

- a. Identify name of credit services (i.e. Dun & Bradstreet) and Account No.

Name of Credit Service	Account No.

- b. For each line of credit, unsecured loan or secured loan provided by a lending institution, list the following:

Amount of Credit	Outstanding Balance	Termination Date	Name/Address of Lending Institution

c. Are there any liens outstanding against the applicant firm?

☐ Yes ☐ No

If "Yes", provide a detailed explanation with this application.

d. Has the applicant firm or any of its current Principals or Key Personnel been party to a bankruptcy or reorganization proceeding within the last five (5) years?

☐ Yes ☐ No

If "Yes", provide a detailed explanation with this application.

e. Annual sales dollar volume of firm _____

10. INTEGRITY OF APPLICANT FIRM

If the applicant has answered "Yes" to any question below, a separate explanation must be supplied with this application.

During the past five (5) years, has the applicant firm ever:

a. Been the subject of a lien or claim of \$25,000 or more by a subcontractor or supplier?

☐ Yes ☐ No

b. Failed to complete a contract?

☐ Yes ☐ No

c. Been suspended, debarred, disqualified or otherwise declared ineligible to bid?

☐ Yes ☐ No

d. Been defaulted on any contract?

☐ Yes ☐ No

e. Had a contract terminated?

☐ Yes ☐ No

f. Had liquidated damages assessed against it upon completion of a contract?

☐ Yes ☐ No

During the past five (5) years, has the applicant firm or any of its Principals or Key Personnel:

a. Been a plaintiff or defendant in any lawsuits arising out of public or private construction contracts?

☐ Yes ☐ No

b. Been the subject of an investigation involving any alleged violation of criminal law, civil antitrust law or other federal, state or local civil law?

☐ Yes ☐ No

c. Been convicted after trial or by plea of any felony under state or federal law?

☐ Yes ☐ No

d. Entered a plea of nolo contendere to a charge of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property or violation of an antitrust law?

☐ Yes ☐ No

e. Been the subject of an investigation of any alleged violation of a federal, state, or local regulation by any public agency including, but not limited to, federal regulatory agencies such as EPA or SEC?

☐ Yes ☐ No

f. Been found to have committed a violation of any labor law or regulation including prevailing wage rates and fair labor practices/

☐ Yes ☐ No

g. Been found to have committed an OSHA "serious violation?"

☐ Yes ☐ No

h. Been found to have committed a construction-related violation of federal, state, or local environmental law or regulation?

☐ Yes ☐ No

11. BIDDING CAPABILITY AND PREVIOUS EXPERIENCE

Indicate below the categories in which the applicant firm has previous experience. **Previous experience in a particular trade or activity by the firm is a prerequisite to prequalification in that category.** The applicant must provide a separate narration for each category selected indicating the applicant firm's experience and involvement with that work.

A. Specialty (check all appropriate)

- | | |
|-------------------------------------------------------------|------------------------------------------------------------------|
| <input type="checkbox"/> 1. Research, Laboratories, Medical | <input type="checkbox"/> 8. Paving |
| <input type="checkbox"/> 2. Commercial, Retail | <input type="checkbox"/> 9. Construction Management |
| <input type="checkbox"/> 3. Residential | <input type="checkbox"/> 10. Utilities |
| <input type="checkbox"/> 4. Office | <input type="checkbox"/> 11. Exterior Restoration (non-historic) |
| <input type="checkbox"/> 5. Classroom | <input type="checkbox"/> 12. Demolition |
| <input type="checkbox"/> 6. Historic Preservation | <input type="checkbox"/> 13. Materials Testing |
| <input type="checkbox"/> 7. Landscape | <input type="checkbox"/> 14. Elevator/Escalator |

B. CSI Division Specialty (check all appropriate). Applicant firm must have self- performing capability for each specialty selected.

- | | |
|-------------------------------------------------------------|-------------------------------------------------|
| <input type="checkbox"/> 1. Sitework | <input type="checkbox"/> 13. Conveying Systems |
| <input type="checkbox"/> 2. Concrete | <input type="checkbox"/> 14. Mechanical |
| <input type="checkbox"/> 3. Masonry | <input type="checkbox"/> 15. Electrical |
| <input type="checkbox"/> 4. Metals | <input type="checkbox"/> 16. Plumbing |
| <input type="checkbox"/> 5. Carpentry | <input type="checkbox"/> 17. HVAC |
| <input type="checkbox"/> 6. Thermal and Moisture Protection | <input type="checkbox"/> 18. Sprinkler |
| <input type="checkbox"/> 7. Doors & Windows | <input type="checkbox"/> 19. ATC |
| <input type="checkbox"/> 8. Finishes | <input type="checkbox"/> 20. Balancing |
| <input type="checkbox"/> 9. Specialties | <input type="checkbox"/> 21. Fire Alarms |
| <input type="checkbox"/> 10. Equipment | <input type="checkbox"/> 22. Security |
| <input type="checkbox"/> 11. Furnishings | <input type="checkbox"/> 23. Roofing |
| <input type="checkbox"/> 12. Special Construction | <input type="checkbox"/> 24. Asbestos Abatement |

C. Contract Capability (determined by size of previous work and bonding capacity)

- | | |
|------------------------------------------------|--------------------------------------------------|
| <input type="checkbox"/> 1. \$0 - \$500,000 | <input type="checkbox"/> 5. \$0 - \$25,000,000 |
| <input type="checkbox"/> 2. \$0 - \$2,500,000 | <input type="checkbox"/> 6. \$0 - \$50,000,000 |
| <input type="checkbox"/> 3. \$0 - \$5,000,000 | <input type="checkbox"/> 7. \$0 - \$100,000,000 |
| <input type="checkbox"/> 4. \$0 - \$10,000,000 | <input type="checkbox"/> 8. \$0 - >\$100,000,000 |

D. Contractor has prior experience working with a Group Purchasing Organization (GPO)

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|

If offered, are you willing to participate in projects less than \$250,000?

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|

12. EXPERIENCE ON COMPLETED OR ONGOING PROJECTS

Provide a minimum of 3 representative projects. Use additional paper if necessary.

☐ Project Completed ☐ Work in Progress

☐ Prime Contractor ☐ Subcontractor ☐ Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? ☐ Yes ☐ No

Were you required to possess a Performance and/or Payment Bond? ☐ Yes ☐ No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (_____) _____ Fax No. (_____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

****Single projects values only. Do not include maintenance contracts.****

☐ Project Completed ☐ Work in Progress

☐ Prime Contractor ☐ Subcontractor ☐ Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? ☐ Yes ☐ No

Were you required to possess a Performance and/or Payment Bond? ☐ Yes ☐ No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (_____) _____ Fax No. (_____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

****Single projects values only. Do not include maintenance contracts.****

☐ Project Completed ☐ Work in Progress

☐ Prime Contractor ☐ Subcontractor ☐ Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? ☐ Yes ☐ No

Were you required to possess a Performance and/or Payment Bond? ☐ Yes ☐ No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (____) _____ Fax No. (____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

****Single projects values only. Do not include maintenance contracts.****

CERTIFICATION AND AUTHORIZATION

I _____, being duly sworn, state that I am
(print full name)

_____ of _____
(print title) (print firm name)

and that I have read and understand the questions and responses contained in the attached application and its appendices.

I certify that to the best of my knowledge the information given in response to each question and the appendices is full, complete and accurate.

I acknowledge that Duke University may, by means it deems appropriate, determine the accuracy and truth of the statements made in this application.

I recognize that all the information submitted is for the express purpose of allowing Duke University to determine responsibility. The information to be provided and the requirements necessary to meet the standards for prequalification are for prequalification purposes only. Additional or different standards are required for each job or project award by Duke University. Those standards and requirements are set forth in each invitation for bid. Prequalification in no way insures the award of contract work.

I authorize Duke University to contact any entity named in the application for purposes of verifying the information supplied by the applicant. A copy of this authorization shall have the same force and effect as the original.

A MATERIALLY FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF THE APPLICATION OR REVOCATION OF PRIOR APPROVAL THEREBY PRECLUDING THE APPLICANT FROM PERFORMING WORK FOR DUKE UNIVERSITY FOR A PERIOD OF UP TO FIVE (5) YEARS. IN ADDITION, IF FRAUDULENT INFORMATION CONTAINED IN THE APPLICATION IS USED BY DUKE UNIVERSITY TO MAKE A DETERMINATION OF THE APPLICANT'S "RESPONSIBILITY", THE APPLICANT MAY BE HELD LIABLE FOR ANY COSTS RESULTING FROM THE TERMINATION OF ANY CONTRACT AWARDED TO THE APPLICANT.

Print Name

Print Title

Signature

Date