

# 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:

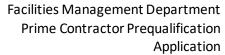
Ms. Diane Bilbo, Sourcing Analyst
Duke University
Facilities Management Department
114 South Buchanan Blvd., Campus Box 90144
Durham, NC 27708
diane.bilbo@duke.edu

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.



1.

# **Prequalification Application**

# PLEASE PRINT OR TYPE ALL INFORMATION

NAME OF APPLICANT FIRM					
	_or SS No				
DUNS No. (See Instructions)					
D/B/A Name (if any)					
Applicant's Address					
City	StateZip				
Mailing Address (if different)					
City	StateZip				
Telephone No. ()	FAX No. ()				
Corporate Website					
Contact Person/Title					
E-mail Address					



3.

# 2. BUSINESS ORGANIZATION OF APPLICANT

Date the applicant firm was formed			
Тур	oe of Or	ganization:	
		Corporation	
		State in which incorporatedYear	
		Partnership	
		☐ General ☐ Limited	
		State and County where partnership filed	
		Sole Proprietorship	
		Owner	
		Not-for-Profit	
		Joint Venture	
М	INORI	TY BUSINESS STATUS	
a.	Is the applicant firm certified as a Minority Business Enterprise (MBE) or Women Business Enterprise (WBE)?		
	☐ Yes	S □ 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?		
	ПУе	S Π 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) _ explanation of this higher risk rating.]	[If greater than 1.0 prov	<i>i</i> ide a separate
Name of Primary Insurance Agent or Broke		
Address		
Telephone No. ()	_FAX No. <u>(</u> )	



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. ( <u>)</u>	FAX No	o. <u>(</u> )
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		

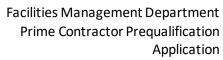
## 8. PRINCIPALS AND KEY PERSONNEL IN FIRM

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.



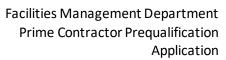


b.

C.

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

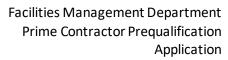
a. P	Principals and Key Pe	rsonne	(use additiona	ıl paperi	if necessa	ry)			
			Person 1		Per	son 2		Pe	rson 3
	Name								
	Title								
	% of Ownership								
	No. of shares own	ed							
	At present, do any o or more of any othe	er firm?		Personn	el listed ir	ı Questi	on No	. 8a ow	vn 25%
	☐ Yes		] No						
	If "Yes", list below								
	Person	Fir	rm Name		Address		Taxl	D No.	%
									Owned
C.	Is any Principal or k blood or marriage t	-					emplo	yee or	related by
	□ Yes		] No						
	If "Yes", list below								
	Name of Principa or Key Person	I	Name of Du	ike Relat	ive		Rela	tionsh	ip





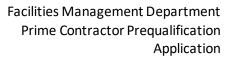
9.

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 bel	ow			
	Name of Pri or Key Perso		Name of Re Other Fire		Name of Other Firm
APPLICANT FIRM'S FINANCIAL INFORMATION  a. Identify name of credit services (i.e. Dun & Bradstreet) and Account No.					ccount No.
	Name of Credit Service				Account No.
b.	b. For each line of credit, unsecured loan or secured loan provided by a lending institution, list the following:				
	Amount of Outstanding Termination Credit Balance Date			Name/Ad	dress of Lending Institution





	C.	Are there any liens outst	tanding against the applicant firm?	
		☐ Yes	□ No	
		If "Yes", provide a detai	led explanation with this application.	
	d.	• •	or any of its current Principals or Key Personnel been party to a zation proceeding within the last five (5) years?	
		☐ Yes	□ No	
		If "Yes", provide a detai	led explanation with this application.	
	e.	Annual sales dollar volu	me of firm	
10	IN	NTEGRITY OF APPLI	CANIT FIRM	
10	If		ered "Yes" to any question below, a separate explanation must be	
	D	uring the past five (5) yea	rs, 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 cor	ntract?	
		☐ Yes	□ No	
	C.	Been suspended, debar	red, disqualified or otherwise declared ineligible to bid?	
		□ Yes	□ No	
	d.	Been defaulted on any c	contract?	
		□ Yes	□ No	
	e.	Had a contract terminat	ted?	
		□ Yes	□ No	
	f.	Had liquidated damages	s assessed against it upon completion of a contract?	
		□ Yes	□ No	





Dι	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.	•	nvestigation involving any alleged violation of criminal law, civil deral, state or local civil law?			
	☐ Yes	□ No			
c.	Been convicted after tria	l or by plea of any felony under state or federal law?			
	☐ Yes	□ No			
d.	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 antitrus law?				
	☐ Yes	□ No			
e.	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 coprevailing wage rates an	ommitted a violation of any labor law or regulation including d fair labor practices/			
	☐ Yes	□ No			
g.	Been found to have com	mitted an OSHA "serious violation?"			
	☐ Yes	□ No			
h.	Been found to have comenvironmental law or re	mitted a construction-related violation of federal, state, or local gulation?			
	☐ Yes	□ No			



## 11. BIDDING CAPABILITY AND PREVIOUS EXPERIENCE

Indicate below the categories in which the applicant firm has <u>previous experience</u>. **Previous experience** in a particular trade or activity by the firm is a <u>prerequisite to prequalification</u> 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)				
<ul> <li>□ 1. Research, Laboratories, Medical</li> <li>□ 2. Commercial, Retail</li> <li>□ 3. Residential</li> <li>□ 4. Office</li> <li>□ 5. Classroom</li> <li>□ 6. Historic Preservation</li> <li>□ 7. Landscape</li> </ul>	<ul> <li>□ 8. Paving</li> <li>□ 9. Construction Management</li> <li>□10. Utilities</li> <li>□11. Exterior Restoration (non-historic)</li> <li>□12. Demolition</li> <li>□13. Materials Testing</li> <li>□14. Elevator/Escalator</li> </ul>			
B. CSI Division Specialty (check all appropriat capability for each specialty selected.	e). Applicant firm <u>must</u> have self- performing			
<ul> <li>□ 1. Sitework</li> <li>□ 2. Concrete</li> <li>□ 3. Masonry</li> <li>□ 4. Metals</li> <li>□ 5. Carpentry</li> <li>□ 6. Thermal and Moisture Protection</li> <li>□ 7. Doors &amp; Windows</li> <li>□ 8. Finishes</li> <li>□ 9. Specialties</li> <li>□ 10. Equipment</li> <li>□ 11. Furnishings</li> <li>□ 12. Special Construction</li> </ul>	☐ 13. Conveying Systems ☐ 14. Mechanical ☐ 15. Electrical ☐ 16. Plumbing ☐ 17. HVAC ☐ 18. Sprinkler ☐ 19. ATC ☐ 20. Balancing ☐ 21. Fire Alarms ☐ 22. Security ☐ 23. Roofing ☐ 24. Asbestos Abatement			
C. Contract Capability (determined by size of				
☐ 1 \$0 - \$500,000 ☐ 2. \$0 - \$2,500,000 ☐ 3. \$0 - \$5,000,000 ☐ 4. \$0 - \$10,000,000	□ 5. \$0 - \$25,000,000 □ 6. \$0 - \$50,000,000 □ 7. \$0 - \$100,000,000 □ 8. \$0 - >\$100,000,000			
D. Contractor has prior experience workin    Yes	ng with a Group Purchasing Organization (GPO)			
If offered, are you willing to participate in projects less than \$250,000? ☐ Yes ☐ No				



12	Provide a minimum of <u>3</u> re				
	Project Completed		Work in Progress		
	Prime Contractor		Subcontractor		Joint Venture Partner
Fa	cility / Project Name				
Ad	dress of Project				
Ov	vner				
Со	ntract Amount (Applicant's s	hare	•)		
Wa	as this project bonded?		Yes		No
W	ere you required to possess a	Per	formance and/or Paymen	t Bond?	Yes □ No
Sta	art Date				
Scl	neduled Completion Date		Actual Com	pletion	Date
	nstruction Manager				
Ar	chitect				
	ference familiar with <u>you</u> ocontractor):	<u>r</u> pe	erformance (Prime Cont	tractor	if applicant employed a
Na	me		Title		
Te	lephone No. ()		Fax No. <u>(</u>	)	
Pri	me Contractor (if applicant v	vork	ed as subcontractor)		
%	of work performed by applic	ant f	irm with applicant's own f	forces _	
De	scription of work performed	by a	pplicant firm		

<sup>\*\*</sup>Single projects values only. Do not include maintenance contracts.\*\*



☐ Project Completed	☐ Work in Pro	ogress				
☐ Prime Contractor	☐ Subcontrac	tor		Joint Venture Partner		
Facility / Project Name						
Address of Project						
Owner						
Contract Amount (Applicant's share)						
Was this project bonded?			_	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 <u>your</u> performance (Prime Contractor if applicant employed as subcontractor):						
Name		Title				
Telephone No. ()		_ Fax No. <u>(</u>	)			
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						

<sup>\*\*</sup>Single projects values only. Do not include maintenance contracts.\*\*



☐ Project Completed	□ Work in Pro	ogress				
☐ Prime Contractor	☐ Subcontrac	tor		Joint Venture Partner		
Facility / Project Name						
Address of Project						
Owner						
Contract Amount (Applicant's s						
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 <u>your</u> 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 ques application and its appendices.	stions and responses contained in the attached
I certify that to the best of my knowledge the and the appendices is full, complete and accurat	e information given in response to each question te.
I acknowledge that Duke University may, by me and truth of the statements made in this applica	eans it deems appropriate, determine the accuracy tion.
University to determine responsibility. The info necessary to meet the standards for prequality Additional or different standards are required for	d is for the express purpose of allowing Duke primation to be provided and the requirements fication are for prequalification purposes only. For each job or project award by Duke University, in each invitation for bid. Prequalification in no
·	ntity named in the application for purposes of cant. A copy of this authorization shall have the
IS SUFFICIENT CAUSE FOR DENIAL OF THE APPL THEREBY PRECLUDING THE APPLICANT FROM PE PERIOD OF UP TO FIVE (5) YEARS. IN ADDITION THE APPLICATION IS USED BY DUKE UNIVE	I MADE IN CONNECTION WITH THIS APPLICATION LICATION OR REVOCATION OF PRIOR APPROVAL ERFORMING WORK FOR DUKE UNIVERSITY FOR A I, IF FRAUDULENT INFORMATION CONTAINED IN ERSITY TO MAKE A DETERMINATION OF THE TMAY BEHELD LIABLE FOR ANY COSTS RESULTING WARDED TO THE APPLICANT.
Print Name	Print Title
Signature	Date