



# Contractor Pre-Qualification Statement

## Section A; General Company Information

Date Submitted by Contractor: \_\_\_\_\_

### Basic Company Information

Legal Name of Business: \_\_\_\_\_

Street Address (Not a P.O. Box): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_

Principal (headquarters) Office Mailing Address: \_\_\_\_\_ City: \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Zip Code: \_\_ Admin. Contact Name:

\_\_\_\_\_ Phone No.: \_\_\_\_\_

Admin. Contact Email: \_\_\_\_\_ Company Website URL: \_\_\_\_\_

Company Federal ID#: \_\_\_\_\_

Number of Years Company has been in Business: \_\_\_\_

Average number of employees in your principal office for the last two years:

Current year	_____ Office	_____ Crafts	TOTAL _____
Prior year	_____ Office	_____ Crafts	TOTAL _____

List the local branch office(s) that will serve the KUB territory (attach additional sheet if necessary):

Company Name City, State, Zip	Branch Manager/ Phone Number	No. of Employees	
		Office	Crafts



**Contact Information for Company Principals:** List Individuals who will be Submitting Bids and Signing Contracts. List All that apply.

**Name of Owner or Owner's Representative:** \_\_\_\_\_

Phone No.: \_\_\_\_\_ E-Mail.: \_\_\_\_\_

**Name of Company President:** \_\_\_\_\_

Phone No.: \_\_\_\_\_ E-Mail.: \_\_\_\_\_

**Name of Company Vice President:** \_\_\_\_\_

Phone No.: \_\_\_\_\_ E-Mail.: \_\_\_\_\_

**Name of Bid and Contract Signing Authority 1:** \_\_\_\_\_

Title: \_\_\_\_\_ Phone No.: \_\_\_\_\_

E-Mail.: \_\_\_\_\_

Office Address of Signing Authority 1: \_\_\_\_\_

**Name of Bid and Contract Signing Authority 2:** \_\_\_\_\_

Title: \_\_\_\_\_ Phone No.: \_\_\_\_\_

E-Mail.: \_\_\_\_\_

Office Address of Signing Authority 2: \_\_\_\_\_

**Name of Bid and Contract Signing Authority 3:** \_\_\_\_\_

Title: \_\_\_\_\_ Phone No.: \_\_\_\_\_

E-Mail.: \_\_\_\_\_

Office Address of Signing Authority 3: \_\_\_\_\_



Unlimited categories require unlimited bonding status and at least 5 years of experience on similar projects among other evaluation criteria. Contact KUB Procurement for further details if in doubt which categories to apply for)

## **KUB 2.0 Wastewater Division**

- ☐ **2.2 Wastewater Utility Construction, Unlimited:** Includes Conventional Trenching for Pipe and Manhole Installation, Manhole Restoration, Pipebursting, CIPP, Auger Boring and Tunneling, Point Repairs, Pump Station Construction and Rehabilitation. Includes Participation in Categories 2.3, 2.4.
- ☐ **2.3 Wastewater Pipeline Construction, \$225,000.00 Bid Limit and Nominal 12 inch and under pipe size:** Includes Conventional Trenching for Pipe and Manhole Installation, Manhole Restoration, Pipebursting, CIPP (subject to approval), Auger Boring and Tunneling, Point Repairs
- ☐ **2.4 Wastewater Pump Station Construction, \$225,000.00 Bid Limit per Lump Sum Pump Station Item:** Includes 4MGD and smaller Pump Station construction, replacement, or rehabilitation, and includes Odor Control Facilities. Electrical work to be 600VAC and below.
- ☐ **2.5 Wastewater Plant Construction, Unlimited:** Includes all facets of Wastewater Plant, Pump Station, and Facility Construction, Rehabilitation, and Repair. (Certain Large-scale projects may require project specific prequalification and are subject to separate requirements). Includes Participation in Categories 2.4, 2.6, 3.5 and 3.6.
- ☐ **2.6 Wastewater Plant Construction, \$175,000.00 Bid Limit:** Includes Plant Repairs, Upgrades, Small Projects, and Subsystem Specific Work. Pipework to be 12 inches nominal size and below. Electrical work to be 600VAC and below. Includes Participation in Category 3.6

## **KUB 3.0 Water Division**

- ☐ **3.2 Water Utility Construction, Unlimited:** Includes Conventional Trenching, Pipebursting, and Boring (Auger, Pipe Ramming, and Directional Drilling) for Installation of all Pipe Sizes. Includes Construction of Water Pressure Booster Stations. Includes Participation in Categories 3.3 and 3.4.
- ☐ **3.3 Water Utility Construction, \$225,000.00 Bid Limit and Nominal 8 inch and under pipe size:** Includes Conventional Trenching, Pipebursting, and Boring (Auger, Pipe Ramming, and Directional Drilling). Includes Construction of Water Pressure Booster Stations. Includes Participation in Category 3.4
- ☐ **3.4 Water Utility Construction, No Bid Limit and Nominal 2 inch and under pipe size:** Includes Conventional Trenching, Pipebursting, and Boring (Auger, Pipe Ramming, and Directional Drilling). Includes Construction of Water Pressure Booster Stations with inlet and outlet connections of 2 inch and under pipe size. This category serves the galvanized line replacement initiative.
- ☐ **3.5 Water Plant Construction, Unlimited:** Includes all facets of Water Plant, Booster Station, Facility and Storage Tank Construction, Rehabilitation, and Repair. (Certain Large-scale projects may require project specific prequalification and are subject to separate requirements) Includes Participation in Categories 3.6, 2.5 and 2.6.
- ☐ **3.6 Water Plant Construction, \$175,000.00 Bid Limit:** Includes Plant Repairs, Upgrades, Small Projects, and Subsystem Specific Work. Pipework to be 12 inches nominal size and below. Electrical work to be 600VAC and below. Includes Participation in Category 2.6

## KUB 4.0 Gas Division

☐ **4.2 Gas Utility Construction, Unlimited:** Includes Conventional Trenching and Boring (Auger and Directional Drilling) for Installation of all Pipe Sizes and materials as specified. Includes Construction of Gas Pressure Regulator Stations, Mainline Construction, Commercial and Residential Service lines.

☐ **4.3 Gas Utility Construction, No Bid Limit and Nominal 4 inch and under pipe sizes in HDPE material:** Includes Conventional Trenching and Boring (Auger or Directional Drilling), Mainline Construction, Commercial and Residential Service lines.

## KUB 5.0 Electric Division

☐ **5.2 Electric Utility Construction, Unlimited 161KV:** Includes all Construction and Maintenance of KUB Overhead and Underground Electric Distribution and Transmission Systems up to 161KV. (Certain Large-scale projects may require project specific prequalification and are subject to separate requirements). Includes Participation in Categories 5.3, 5.5 and 5.6.

☐ **5.3 Electric Utility Construction, \$225,000.00 Bid Limit and 13.2KV:** Includes all Construction and Maintenance of KUB Overhead and Underground Electric Distribution System up to 13.2KV. Includes setting pad mounted and overhead transformers, primary and secondary wiring, and connections for residential and light commercial applications. Includes Participation in Category 5.6.

☐ **5.4 Electric Utility Substation Construction, Unlimited:** Includes all Construction and Upgrades to KUB Substations and Substation Systems (Substation projects may require project specific prequalification and are subject to separate requirements)

☐ **5.5 Electric Utility Construction, Unlimited 600VAC:** Includes all Construction, Maintenance, and Renovation of KUB Electric Systems up to 600VAC. Includes Plant, Pump Station, and Street Lighting Applications. Includes Participation in Categories 5.6.

☐ **5.6 Electric Utility Construction, \$225,000.00 Bid Limit and 600VAC limit:** Includes all Construction, Maintenance, and Renovation of KUB Electric Systems up to 600VAC. Includes Plant, Pump Station, and Street Lighting Applications.

## KUB 6.0 Vegetation Management Program

☐ **6.2 Overhead Electric Line Tree Pruning and Clearing, Unlimited:** Includes tree pruning, tree and brush removal and herbicide application in close proximity to energized overhead electrical lines up to 161 kV per ANSI A300 and ANSI Z133 standards.

## KUB 7.0 Paving

☐ **7.2 Municipal City Street and Roadway Paving, Unlimited:** Includes but not limited to city streets, alley ways, County roadways surface preparations, improvements, surface milling, straight line truing, overlay patching, tack coat applications, asphalt placement, curb to curb finish course overlay, rolling, compaction, finish milling, burn in, inspection, site cleanup, traffic control and any other paving related scope of work performed in accordance with the City of Knoxville, Knox County, TDOT or other governing agencies per the project specification requirements.



## KUB 8.0 Fiber

- ☐ **8.1 Fiber Optic System Outside Plant Construction, Unlimited:** Includes all Construction and Maintenance of KUB overhead and underground fiber optic systems. Including placement of steel messenger strand and lashing of fiber optic cable, conventional trenching and boring (auger and directional drilling) of communication conduits and placement of fiber optic cable.
- ☐ **8.2 Fiber Optic System Outside Plant Construction, \$150,000 bid limit:** Includes all Construction and Maintenance of KUB overhead and underground fiber optic systems. Including placement of steel messenger strand and lashing of fiber optic cable, conventional trenching and boring (auger and directional drilling) of communication conduits and placement of fiber optic cable.
- ☐ **8.3 Fiber Optic Outside Plant Fusion Splicing and Testing:** Includes all construction and maintenance fiber optic fusion splicing and testing of KUB's outside plant Fiber Optic Network. Splicing to include splicing single strand and mass fusion splicing, reel end and ring cut splices, and network access point (NAP) or (terminal) splicing. Testing to include light loss, OTDR, and polarization testing on optical paths.



## Contractor Pre-Qualification Statement

### Section B; Financial, Bonding, License, Insurance, Information

Date Submitted by Contractor: \_\_\_\_\_ Date Received by KUB: \_\_\_\_\_

(To be filled out by KUB upon Receipt)

Section B Information for (Company Name): \_\_\_\_\_

**1. FINANCIAL INFORMATION** (KUB reserves the right to request a copy of Firm's most recent audited financial statement.)

Value of Assets Owned by Firm: \$ \_\_\_\_\_

Annual Sales Volume for the three **most recently completed** Fiscal Years: (Indicate Year and Dollar Volume)

FY 20\_\_\_\_ \$ \_\_\_\_\_ FY 20\_\_\_\_ \$ \_\_\_\_\_ FY 20\_\_\_\_ \$ \_\_\_\_\_

Largest Single Contract in the last 3 years: \$ \_\_\_\_\_

**2. BONDING INFORMATION BONDING INFORMATION** (Work requires a 100% Performance Bond and a 100% Payment Bond or other securities in lieu of bonds as recognized by Tennessee Code Annotated 12-4-201.)

Is Your Company Bonded? Yes ☐ No ☐

If Yes:

Bonding Company: \_\_\_\_\_ Contact: \_\_\_\_\_ Phone: \_\_\_\_\_

Current Aggregate Bonding Capacity of Firm: \_\_\_\_\_ Currently Bonded: \_\_\_\_\_

Single Project Limit: \_\_\_\_\_

Number of Years Contractor has used this Bonding Company: \_\_\_\_\_

Bonding Company's Rating from Best's Key Rating Guide: \_\_\_\_\_

(A signed statement from the surety, and certificates of the authority signing the statement that the above is correct, may be required.)

In the past five years have Performance or Payment Bond claims been made to a surety for this firm on any project? (If yes, describe the claim(s), the name of the company or person making the claim, and the resolution.)

☐ Yes ☐ No

Explanation if Yes: \_\_\_\_\_

In the past five years, has any surety company refused to bond the firm on any project? (If yes, specify reasons for the refusal and the name of the surety company).

☐ Yes ☐ No

Explanation if Yes: \_\_\_\_\_

**3. LICENSE INFORMATION**

Attach a copy of Contractor's current valid State of Tennessee License to initial submission email.

TN License Number: \_\_\_\_\_

TN License Classification(s): \_\_\_\_\_

TN License Expiration Date: \_\_\_\_\_



#### 4. INSURANCE INFORMATION

Attach a copy of Contractor's current valid insurance certificate with category and limits identified. Contractor is responsible for reviewing KUB insurance requirements for each project prior to Contractor's bid submittal. Award of Contractor's bid obligates Contractor to supply a Certificate of Insurance (COI) to KUB naming KUB as additional insured for the categories and limits defined in the bid documents and delivered with Contractor's executed bid documents.

Insurance Company: \_\_\_\_\_ Contact: \_\_\_\_\_ Phone: \_\_\_\_\_

Does Contractor have, or is eligible to obtain, Railroad Liability Insurance, if required? ☐ Yes ☐ No

Does Contractor have, or is eligible to obtain, Environmental Pollution Liability insurance, if required? ☐ Yes ☐ No



## 5. LEGAL INFORMATION

a. In the past five years prior to the date of this application, has your firm or any principal of the firm been deemed to be in default on any contract, been forcefully removed from any contract, or otherwise terminated a contract prior to the completion of the work your firm was contracted to perform? If yes, attach addition pages with the submission email of the names of the project owner, the circumstances, and the resolution. ☐ Yes ☐ No

b. Indicate if your firm had any judgments entered against it during the past five years that are not related to a claim for personal injury. Include judgments in favor of project owners, subcontractors, and suppliers. If yes, attach addition pages with the submission email of the names of the entity, relationship to your firm and the circumstances. ☐ Yes ☐ No

c. Is your firm currently, or has it within the past five years been, a party to a dispute, litigation or arbitration arising out of, or related to, work your firm was contracted to perform? If yes, attach addition pages with the submission email of the names of the parties, the venue, and if in your possession, the docket number related to the dispute, litigation, or arbitration. ☐ Yes ☐ No

d. Has your firm during the past five years been the Principal on any payment or performance bond against which a claim has been made, arising out of or related to, work your firm has been contracted to perform? If yes, attach addition pages with the submission email for each claim, the name and location of the project, the name of the bond claimant, the name of the bond Surety and the name and address of the project Owner. ☐ Yes ☐ No

- e. During the past five years has your firm, on any project for which you have been contracted to perform work:
1. Been issued a stop work notice? ☐ Yes ☐ No
  2. Received a citation(s) from any governmental or regulatory authority related to your firm's work? ☐ Yes ☐ No
  3. Been assessed a penalty, fine, or liquidated damages arising out of or related to your firm's work? ☐ Yes ☐ No

If your answer to any of these questions is "yes", please attach addition pages with the submission email of the name of the project and project owner, the name(s) of the entity issuing any citation, penalty, or liquidated damages and a brief description of the circumstances giving rise to the action.

f. Describe any prior RFQ or RFP for which your firm was selected during the past five years, but which has not resulted in a successfully completed project.

g. Does your firm have any legal issues or constraints that could impact its performance on this project? ☐ Yes ☐ No

h. Has your firm or any of its principals or employees ever been debarred by any project owner or otherwise barred from performing any specific type of work? ☐ Yes ☐ No

**6. TENNESSEE DRUG FREE WORKPLACE COMPLIANCE**

Does Contractor's firm employ 5 or more employees?

☐ Yes ☐ No

If yes, attach a copy with the submission email of the most recent State of Tennessee Letter issued to Contractor recognizing Contractor's Firm as currently meeting State of Tennessee Drug Free Workplace requirements.

Letter Dated: \_\_\_\_\_

**Note: For out of State contractors not currently in the Tennessee Drug Free Workplace Program: If approved and qualified to bid your bid shall contain an affidavit stating that your company will either 1) Enroll in the Tennessee Drug Free Workplace Program or 2) Has an existing equivalent program in place (which is subject to acceptance or rejection by KUB) prior to the start of work. Failure to meet this requirement prior to the start of work shall be classified as a Delay by Contractor within Contractor's control.**

**7. VERIFICATION OF BUSINESS STATUS AS A DIVERSITY BUSINESS ENTERPRISE (DBE).** (See Addendum I for definitions of each category. KUB allows for self-certification in each of the following categories. Please contact [kubprequal@kub.org](mailto:kubprequal@kub.org) with any questions.) A DBE is an independently owned and operated business and is at least fifty-one percent (51%) owned and controlled by one (1) or more individuals belonging to one (1) or more of the following categories.

**8.** *(If already state certified, please submit documentation. However, state certification is not necessary for placement into KUB's Diversity Programs.)*

Is Contractor classified as minority owned business (MBE)  
Is Contractor classified as women owned business (WBE)?  
Is Contractor classified as a small business (SBE)?

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



# Contractor Pre-Qualification Statement

## Section C; Safety Information

1. Name of Firm: \_\_\_\_\_ Date: \_\_\_\_\_

Submitted By: \_\_\_\_\_ Title: \_\_\_\_\_

2. List your firm's Worker's Compensation experience modification rates (EMR) for the last three years and provide a letter from your Worker's Compensation Carrier verifying these rates.

Year	Rate	Policy Number	Carrier
20__			
20__			
20__			

3. List your firm's OSHA incidence rates for the last three years and attach OSHA Form 300 & 300A for last 3 years

Provide the incidence numbers and rates, including employee numbers and hours worked, for the entries in the table below by using your OSHA Form 300A. Using the formulas provided calculate OSHA Incidence Rates. Data will be checked against that recoded and provided on the submitted copies of your OSHA Form 300 & 300A.

Categories	PART 1. USE THE FORMULA BELOW TO COMPLETE THE LAST TWO ENTRIES OF THIS TABLE.					
	20__		20__		20__	
a. Fatalities						
b. Number of cases involving days away from work, restrictions, or transfers (DART cases)						
c. Number of days away from work						
d. Number of non-fatal cases without days away from work, restrictions, or transfers						
Average number of employees						
Number of hours worked						
e. Total OSHA recordable cases (injury & illness) <i>Number of recordable cases x 200,000 hrs. = Incidence Rate</i> <i>annual hours worked</i>	No.	Rate	No.	Rate	No.	Rate
f. OSHA recordable cases that resulted in DART cases <i>Number DART (b) cases x 200,000 hrs. = Incidence Rate</i> <i>annual hours worked</i>						

Do you have a written safety program?.....

☐ Yes ☐ No



## Addendum I

**Minority Business Enterprise (MBE)** - A business that is a continuing, independent, for-profit business performing a commercially useful function, and is at least fifty-one percent (51%) owned and controlled by one (1) or more minority individuals facing economic barriers due to past discrimination based on race or ethnic background

- African American – A person having origins in any of the Black racial groups of Africa.
- Hispanic American – A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
- Native American – A person having origins in any of the original peoples of North America.
- Asian American – A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands.

**Woman Business Enterprise (WBE)** - A business that is a continuing, independent, for-profit business that performs a commercially useful function, and is at least fifty-one percent (51%) owned and controlled by one (1) or more women. In the case of any publicly owned business, at least fifty-one percent (51%) of the stock must be owned and controlled by one (1) or more women, with management and daily business operations under the control of one (1) or more women.

**Small Business Enterprise (SBE)** - A business that is independently owned and operated and has total gross receipts of no more than ten million dollars (\$10,000,000) per year and employs fewer than fifty (50) full time employees.

MBE and WBE definitions from Tennessee Department of General Services