



Contractor Pre-Qualification Statement

Section A; General Company Information

Date Submitted by Contractor: _____ Date Received by KUB: _____

(To be filled out by KUB upon Receipt)

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.: _____ Fax 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: _____



Prequalification Classifications Contractor's Company is Applying for: (Check all that apply. Note: 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

- ☐ **2.1 Wastewater Testing and Inspection Services:** Includes Smoke Test, Line Cleaning, Chemical and Mechanical Root Control, TV Inspection, Dye Testing, Flow Testing and Monitoring, Utility Locating, Site Video Recording, Lab Services.
- ☐ **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 and 3.2.
- ☐ **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

- ☐ **3.1 Water System Testing and Inspection Services:** Includes Flow Testing and Monitoring, Leak Detection Services, Utility Locating, Site Video Recording, Hydrant Services (Inspection, Flow Testing, Flushing), Meter Services (Inspection, Testing, Repair, Replacement).
- ☐ **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

- ☐ **4.1 Gas System Testing and Inspection Services:** Includes Leak Testing and Monitoring, Utility Locating, Site Video Recording, Meter Services (Inspection, Testing, Repair, Replacement).
- ☐ **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

- ☐ **5.1 Electric System Testing and Inspection Services:** Includes Pole Inspection, Line Inspection, Utility Locating, Site Video Recording, Meter Testing and Repair.
- ☐ **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

- ☐ **6.1 Vegetation Management Program Support Services:** Includes work preplanning services, scheduling, field inspections, reporting, customer notification and response, and other program support functions and services. This category cannot be combined with 6.2, 6.3, 6.4, or 6.5.
- ☐ **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. Includes qualification for all work in Categories 6.3, and 6.4.
- ☐ **6.3 Non-electric Tree Work, Clearing, Mowing, and Herbicide Application:** Includes planned work assigned by project including but not limited to tree pruning, select tree removal, stump removal, brush cutting (mechanical and manual), weed control, herbicide application, clearing to ground, chipping, disposal, and other related work per ANSI A300 and ANSI Z133 standards. Excludes: Tree pruning and clearing within the minimum approach distance for energized overhead electrical lines.
- ☐ **6.4 Will Call:** Includes short notice on call, small project, quick turnaround work including but not limited to: Individual tree pruning, removing and clearing downed trees, individual or multiple tree or stump removal, brush removal (standing or down), site or spot cleanup, raking, haul off, and other related smaller scale work per ANSI A300 and ANSI Z133 standards. Excludes: Tree pruning and clearing within the minimum approach distance for energized overhead electrical lines
- ☐ **6.5 Tree Planting:** Includes planned work assigned by project including tree planting per ANSI A300 (Part 6) 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 (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 website for definitions of each category. <https://www.tn.gov/content/tn/generalservices/procurement/central-procurement-office-cpo-go-dbe/program-eligibility.html>)

(If Yes, please submit documentation, if any, so Contractor can be put in KUB's DBE Program)

| | | |
|---|------------------------------|-----------------------------|
| Is Contractor classified as minority owned business (MBE) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is Contractor classified as women owned business (WBE)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is Contractor classified as persons with disabilities (DSBE)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is Contractor classified as Service-Disabled Veteran owned business (SDVBE) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is Contractor classified as a small business (SBE)? | <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) | No. | Rate | No. | Rate | No. | Rate |
| <i>Number of recordable cases x 200,000 hrs. = Incidence Rate</i> <i>Number annual hours worked</i> | | | | | | |
| f. OSHA recordable cases that resulted in DART cases | | | | | | |
| <i>Number DART (b) cases x 200,000 hrs. = Incidence Rate</i> <i>Number annual hours worked</i> | | | | | | |

Do you have a written safety program?..... ☐ Yes ☐ No