INSTRUCTIONS FOR COMPLETING THE OREGON DEPARTMENT OF TRANSPORTATION PRIME CONTRACTOR PREQUALIFICATION APPLICATION

To be eligible to bid, an application must be **completed in its entirety and received at least 10 calendar days** before the bid opening in which the applicant wishes to participate (per OAR 731-007-0530(9). Allow 30 days for processing. Forms and instructions are available online at: https://www.oregon.gov/odot/business/procurement/pages/bid_award.aspx

Before moving on to the application, please print the instruction page and use when filling out your application to ensure accurate completion.

GENERAL INFORMATION

- All pages and sections must be completed and correct. If not, the application will be returned to the applicant for correction.
- Do not use correction fluid or correction tape.
- If accepted, an approval letter will be sent.
- Submit the correct form. Outdated forms or pages will not be accepted. Go to the Construction website to find the CURRENT form (link above).
- Send scanned original notarized and signed application. Signatures preferred in blue ink.
- Prequalification is required for **prime contractors**. Subcontractors/suppliers do not need to prequalify.
- To make changes to an application, see website for instructions (link above).
- If a section does not apply, enter "N/A."

Page 1

- A. Enter today's date. ODOT will notify you of your expiration date in your prequalification approval letter.
- B. Application of: Enter the legal name under which you wish to bid as it appears on your federal form W-9 (Request for Taxpayer Identification Number and Certification). An assumed business name (complete Section 6) is not a legal name; however, it can be used in conjunction with a legal name when prefaced by "dba." A separate Prequalification Application is required for each separate legal entity.
- C. Mark your business structure.
- D. If application is for a joint venture, mark the appropriate box. Contact ODOT (contact information on the bottom right side of page) for additional information.
- E. Mark the purpose(s) of your application and the first anticipated bid opening date, if known.
- F. Provide your physical address for courier use (no P.O. Boxes). Provide your mailing address, phone, fax number, business email address and a contact person.
 Provide contact information for person completing application. Also, provide contact information for the name to appear on Planholders list.

Pages 2-6

Sections 1, 2, 3, 4, 5 and 6, fill out as applicable, Business Structure: If you have an assumed business name you must complete Section 6. If you make a change in officers during the year, you must submit an addendum change form to ODOT. See our website for instructions on how to make changes (link above).Page 8 Include a current dated W-9 with your application.

Page 9

Section 9, Supplemental Questions:

Mark all questions as they apply to the company AND to its owners, officers, partners and principal individuals.

Page 10

Section 10, Classes of Work: Check beside each class of work for which you have demonstrated the experience in and those you wish to add. This experience may be your own work force or through project management of subcontractors. List all other states where you are currently qualified or have been qualified in the last three (3) years. You may list "OTHER" (OTH1) classes of work; however, ODOT does not normally solicit bids under this class. This class of work is typically used by local agencies (cities, counties, etc.) A detailed list of Bid Items for each work class can be found at the following link:

https://www.oregon.gov/ODOT/Business/Documents/2018 _Bid_Item_List.xlsx

**REFERENCES for Class(es) of Work:

A new applicant prequalifying, a prequalified applicant who wishes to add a new class or classes of work in which they have not been previously prequalified, or company's prequalification has lapsed for longer than 6 months, <u>must provide at least three (3) references</u> for each new Class of Work. Reference instructions and forms can be found at the link at the top of the page.

Page 11

Section 11 & 12: List years of experience and experience of owners, officers, partners, and other key individuals in organization.

Section 13: Space to provide additional information.

Page 12

Section 14, Affidavit: Signature must be of an individual who is authorized to execute bids and/or contracts. The affidavit must be notarized.

Email Application and W-9 to:

odotprocurementofficeconstruction@odot.oregon.gov Or Mail Application and W-9 to:

Oregon Department of Transportation Construction Contracts Unit MS#33 355 Capitol St. NE Salem, OR 97301

Questions? Call 503-986-2710



Submit application to:

OREGON DEPARTMENT OF TRANSPORTATION PRIME CONTRACTOR PREQUALIFICATION APPLICATION

| Oregon Department of Transportation ODOT Procurement Office – Construction Contracts | | | 11 11 | NACHOO | | | | |
|--|---------------------|-----------------------------------|---------------------------|-------------------|---------------------|--------------------|---------|----------------------|
| 355 Capital St. NE | it Office – Cons | struction Contracts | Unit, | , MS#33 | 5 | | | |
| Salem, OR 97301 | | | | | | | | |
| Phone: 503-986-27 | 710 | | | | | | | |
| Website: www.ore | | | | | | | | |
| Email: odotprocu | rementoffice | <u>construction@od</u> | ot.or | regon.g | <u>(0V</u> | | | |
| A. Date: | | | | | Expiration Da | ite: | | |
| D. Annelisetien of | Enter toda | y's date | | | | | (To b | e completed by ODOT) |
| B. Application of: | | | Lega | al Busines | s Name (as shown | on your federal fo | orm W-9 |) |
| | | | | | | | | |
| List previous busine | ss names of | | | Assumed | Business Name(s) | (Complete Section | on 6) | |
| your organization: | ss names of | | | | | | | |
| | | | Е. | Pur | oose of Applicat | ion (Check all | that ap | oply): |
| C. Business Struc | |): | | ODOT | Projects | | | |
| Oregon Corporati | | | | 1 st a | inticipated bid ope | ening date | | |
| Limited Liability C | company (LLC) | | | Local | Government Pro | jects | | |
| Limited Liability P | | | | 1 st a | inticipated bid ope | ening date | | |
| General Partnersh | nip | | Other Government Projects | | | | | |
| | | 1 st anticipated bid o | | | pening date | | | |
| D. Dint Ventur | e | | | | | | | |
| F. Address: | | | | | | | | |
| Physical address, c | city, state, zip (I | No P.O. Boxes) | | | | | | |
| Mailing address, cit | ty, state, zip | | | | | | | |
| Phone | | | | | | Fax | | |
| PERSON COMPLETIN | IG APPLICATIO | N: | | | | | | |
| Name | | | | | | Phone | _ | |
| Email | | | | | | Fax | | |
| PERSON TO APPEAR | | DERS LIST (attach add | litional | sheets if r | ecessary): | -1 | | |
| Name | | | | | | Phone | | |
| Email | | | | | | Fax | | |
| To be completed I | by ODOT: | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| RECEIPT DATE | #1 | RECEIPT DATE | #2 | | RECEIPT | DATE #3 | | RECEIPT DATE #4 |
| SOS | / CCB | / CCE | 3 | | / BOLI | | _ / SA | M |
| APPROVAL/LAST RE | | | | | | | | |
| REVIEW DATE / INIT | | | | | | | | |
| VENDOR NO. | | | | | | | | |
| DATA ENTRY DATE | | | | | | | | |

BUSINESS STRUCTURE: Complete section 1, 2, 3, 4, or 5 as applies

| 1 If an Oregon corporation, complete this section | □ NA |
|--|--|
| Date Corporation was registered with Secretary of State | |
| President | Secretary |
| 1st Vice President | Treasurer |
| CONTRACT EXECUTION - List of Authorized Personne | el |
| | ecretary of the corporation are required to sign ODOT ss certified, true and correct copy of corporate bylaws, hed to this prequalification .) <i>Signatures are preferred</i> |
| Printed name of President | Signature |
| Printed name of Secretary | Signature |
| B) Are other officers besides the President and Secretary | |
| Yes No If yes, list below and attach certified, resolutions, or minutes stating that authority. | , true and correct copy of corporate bylaws, |
| Printed name and title | Signature |
| C) Are any of the officers (listed above in A & B) authoriz | |
| of the company without the signature of others? | |
| AUTHORITY TO SIGN ALONE ON BEHALF OF THE CO | |
| BID EXECUTION - List of Authorized Personnel | |
| Signatures of all individuals (INCLUDING ANY OFFICERS | LISTED APOVE) authorized to avecute Ride on babalf |
| of the company shall be listed in this section, including any | <u>officers listed above</u> and those individuals with a digital |
| ID used for submitting an electronic bid through BidExpres | ss®. Signatures are preferred in blue ink |
| Printed name and title | Signature |
| | |
| Printed name and title | Signature |
| Printed name and title | Signature |
| Printed name and title | Signature |
| (Additional documentation may be requi | red by the public contracting agency) |

| 2 If a foreign (out of state) corporation, comple | ete this section NA |
|---|---|
| When incorporated | |
| President | Secretary |
| 1st Vice President | Treasurer |
| CONTRACT EXECUTION - List of Authorized Pe | rsonnel |
| contracts and performance and payment bond | the Secretary of the corporation are required to sign ODOT s unless certified, true and correct copy of corporate bylaws, attached to this prequalification .) <i>Signatures are preferred</i> |
| Printed name of President | Signature |
| Printed name of Secretary | Signature |
| B) Are other officers besides the President and Se | cretary of your company authorized to execute contracts? |
| Yes No If yes, list below and attach ce resolutions, or minutes stating that authority | rtified, true and correct copy of corporate bylaws, y. |
| Printed name and title | Signature |
| behalf of the company without the signature of o | AWS, RESOLUTIONS, OR MINUTES STATING THIS |
| BID EXECUTION - List of Authorized Personnel | |
| Signatures of all individuals (INCLUDING ANY OFF | ICERS LISTED ABOVE) authorized to execute Bids on behalf ing any officers listed above and those individuals with a digital Express® Signatures are preferred in blue ink |
| Printed name and title | Signature |
| Printed name and title | Signature |
| Printed name and title | Signature |
| Name and address of registered agent in Oregon: | Date of authorization by Oregon Secretary of State to transact business in Oregon: |
| | Has applicant filed with Oregon Department of Revenue (DOR) forms required by ORS 279A.120? |
| | Sec. of State Department of Revenue Phone: 503-986-2200 Phone: 503-378-4988 Website: www.filinginoregon.com Website: www.oregon.gov/dor/pages/ind ex.aspx ex.aspx |

| 3 If a limited liability company, limited liability partnership or a limited partnership | | | | |
|--|---|--|--|--|
| complete this section | | | | |
| | ed liability partnership 🗌 Limited partnership | | | |
| Have you registered with the Oregon Secretary of State, Corporation Division, Business Registry? | Name and address of organizer: | | | |
| in the Articles of Organization and Operating Agree | he Contractor is an LLP, or LP, an authorized Contract, Performance Bond, and Payment Bond. If s without the signature of others, this must be stated nents. | | | |
| Printed names, titles and signatures (<i>Signatures are preferred in blue ink</i>) of personnel authorized to EXECUTE CONTRACTS : | | | | |
| Printed name and title | Signature | | | |
| Printed name and title | Signature | | | |
| Are other representatives besides those listed above ab If yes, submit names, titles and signatures separate | | | | |
| Printed names, titles and signatures of personnel authorized to EXECUTE BIDS Signatures of all individuals (INCLUDING ANY OFFICERS LISTED ABOVE) authorized to execute <u>Bids</u> on behalf of the company shall be listed in this section, <u>including any listed above</u> and those individuals with a digital ID used for submitting an electronic bid through BidExpress®. <i>Signatures are preferred in blue ink.</i> | | | | |
| Printed name and title | Signature | | | |
| Printed name and title | Signature | | | |
| Printed name and title | Signature | | | |
| Printed name and title | Signature | | | |
| | | | | |

| 4 If a general partnership, complete the | his section | □ NA |
|---|--|--------------|
| Date of Organization | | |
| | persons engaging in business in the state under an assume artnership or business organization registered as required in Yes No N/A | d name, |
| Names and addresses of partners: | | |
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| | | |
| comprising it shall sign the Contract, Perfo | liability partnership, an authorized representative of each Er rmance Bond, and Payment Bond, and an authorization to s ng, then bylaws or minutes must include the authority to | ign shall |
| Printed names, titles and <u>signatures</u> of pa <i>in blue ink</i> . | rtners authorized to EXECUTE CONTRACTS. Signatures ar | re preferred |
| Printed name of partner | Signature | |
| Printed name of partner | Signature | |
| 3ylaws or Minutes Submitted: (Check on | ne) Yes No (Only submit if signatures differ from above) | |
| Printed names, titles and <u>signatures</u> of persistent of a signatures of all individuals (INCLUDING A | ersonnel authorized to EXECUTE BIDS ANY OFFICERS LISTED ABOVE) authorized to execute Bio | ds on |

Signatures of all individuals (INCLUDING ANY OFFICERS LISTED ABOVE) authorized to execute <u>Bids</u> on behalf of the company shall be listed in this section, <u>including any officers listed above</u> and those individuals with digital ID used for submitting an electronic bid through BidExpress®. *Signatures are preferred in blue ink.*

| Printed name and title | Signature |
|------------------------|-----------|
| Printed name and title | Signature |
| Printed name and title | Signature |
| | |
| Printed name and title | Signature |
| | |
| Printed name and title | Signature |
| | |

(Additional documentation may be required by the public contracting agency)

| 5 If doing business as a sole proprietorship, comple | ete this section | | |
|--|-------------------------------------|--|--|
| Name of individual liable for all obligations of the business | : | | |
| If applicant is a sole proprietor using an assumed busines | s name, please list name below: | | |
| Secretary of State registration date: | Expiration date: | | |
| Printed name and title | Signature | | |
| (Additional documentation may be require | d by the public contracting agency) | | |
| 6 If doing business under an assumed business nar | ne, complete this section | | |
| Assumed business name: | | | |
| Owner's name and address: | | | |
| Oregon Secretary of State Corporation Division's RegistrationRenewalNumber: (https://sos.oregon.gov/business/pages/default.aspx)Date: | | | |
| Assumed business name: | | | |
| Owner's name and address: | | | |
| Oregon Secretary of State Corporation Division's Registra Number: (<u>https://sos.oregon.gov/business/pages/default.a</u> | | | |
| If you have additional assumed business names, attach a sheet with business information. | | | |

7 <u>OWNERSHIP AND CONTROL</u> (A, B, and C)

| A) | Are there any parent companies, | corporations, | or individuals with at least 10% ownership interest in |
|----|---------------------------------|---------------|--|
| - | applicant's firm? 🗌 Yes | 🗌 No | If yes, please list below in space provided |

B) Are there any subsidiary companies or corporations owned or controlled by the applicant doing business in Oregon under another name? For the purposes of this information, the applicant includes the applicant's officers, directors, or partners, or other entity in which the applicant is an officer, director, or partner.
 Yes
 No
 If yes, please list below in space provided

C) Are there any other personnel in applicant's organization who have a financial interest in or serve as officers or partners in another firm prequalified to bid in this or another state?

| Individual's Name | Present Position or Office | Other Firm or Firms | Position in Other Firm(s) | State of Othe Firm(s) |
|-------------------|-------------------------------|---------------------|------------------------------|--------------------------|
| | | | | |
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8 LICENSES AND REGISTRATIONS

Oregon Secretary of State Corporation

Division – Active Business Registry No.: https://sos.oregon.gov/business/pages/default.aspx Phone: 503-986-2200

Oregon Construction Contractors Board No.:

www.oregon.gov/CCB/Pages/Index.aspx Phone: 503-378-4621

W-9 Taxpayer Identification Number:

Submit a current dated W-9 with application.

Oregon Business Landscape Contractors License No. and company name: Individual Landscape Contractor License No. and name:

www.oregon.gov/LCB/pages/index.aspx Phone: 503-967-6291

Oregon Electrical Contractor License No. and company name:

Supervisor's License No. and name : www.oregon.gov/BCD/pages/index.aspx Building Codes Division phone: 503-378-4133

Oregon Plumbing Business License No. and company name:

Journeyman's License No. and name: Oregon Boiler/Pressure Vessel Business License No. and company name: www.oregon.gov/BCD/pages/index.aspx

Building Codes Division phone: 503-378-4133

Other License No. and name or type:

Required for Legal Business Name, Assumed Business Name (page 1, Section B), Corporations, LLCs, LLPs, and LPs. Required prior to contract execution.

Required prior to bid opening for state-funded projects or prior to contract execution for federally-funded projects (not required for Aggregate Production or Landscaping work categories).

Required with all Applications.

| 9 | SUPPLEMENTAL QUESTIONS |
|-----|--|
| A) | Within the last five years has the applicant, or any parent, subsidiary or affiliate, been denied prequalification or had prequalification suspended or revoked by any state, local or federal agency in this or any other state? |
| | Yes No If yes, please attach an explanation. |
| B) | Within the last five years has the applicant, or any parent, subsidiary or affiliate, been debarred from bidding on contracts by any state, local or federal agency in this or any other state under any state or federal law? |
| | Yes No If yes, please attach an explanation. |
| C) | Has any officer or partner of the applicant, or of any parent, subsidiary or affiliate, ever applied for prequalification with ODOT under a different name? |
| | Yes No If yes, please attach an explanation. |
| D) | Within the last five years has the applicant, or any parent, subsidiary or affiliate, failed to complete a state, local or federal public improvement (works) contract? |
| | Yes No If yes, please attach an explanation. |
| E) | Within the last five years has any officer or partner of the applicant, or of any parent, subsidiary or affiliate, been found in breach of a local, state or federal contract? |
| | Yes No If yes, please attach an explanation. |
| F) | Within the last five years has the applicant, or any officer, partner, agent or employee of applicant, or any parent, subsidiary or affiliate, been found to have violated any state or federal prevailing wage statute or regulation (including the federal Davis-Bacon and related Acts and ORS 279C.800 et. seq.), or any provision requiring prompt payment to subcontractors, in any Final Order of the Oregon Bureau of Labor and Industries or the United States Department of Labor, by any other state or federal agency, or by any court of competent jurisdiction? |
| | If yes, provide copies of the final order(s) or judgment in which this occurred and explain in detail : |
| | (a) the circumstances behind any violation, including the amount(s) not paid (b) whether the amount(s) have now been paid (c) the reasons for the violation |
| | (d) all efforts undertaken to ensure that future violations will not occur |
| G) | Within the last five years has the applicant, or any officer, partner, agent or employee of applicant been found to have violated any state or federal environmental statute or regulation (including but not limited to Environmental Protection Agency, Department of Environmental Quality, US Fish and Wildlife Service, Department of Fish and Wildlife, US Army Corps of Engineers, Division of State Lands, Department of Agriculture or Department of Interior), or any permit issued by one of these agencies, in any agency Final Order or by any court of competent jurisdiction? |
| | If yes, provide copies of the final order(s) or judgment in which this occurred and explain in detail : |
| | (a) the circumstances behind any violation, including the amount(s) not paid |
| | (b) whether the amount(s) have now been paid |
| | (c) the reasons for the violation(d) all efforts undertaken to ensure that future violations will not occur |
| Com | (d) all enorts undertaken to ensure that luture violations will not occur iments: |
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10 CLASSES OF WORK

Fill in the classes of work on which you wish to be pre-qualified to bid. Classes of work include, but are not limited to, work listed in parentheses. A more detailed listing of bid items can be found at:

https://www.oregon.gov/ODOT/Business/Documents/2018_Bid_Item_List.xlsx

For Each Class of Work:

An applicant who wishes to add a new class or classes of work in which they have not been previously prequalified must provide at least three references for each new work class. Reference instructions and forms can be found at: https://www.oregon.gov/odot/business/procurement/pages/bid_award.aspx

List all other states where applicant is currently qualified to perform work or has been qualified within the last three (3) years.

Class of Work

States qualified within the last (3) years

| | (AB) Aggregate Bases | |
|--|---|--|
| | (AC) Rock Production (Aggregate Crushing, Sanding Rock) | |
| | (ACP) Asphalt Concrete Paving and Oiling (Paving, Chip Sealing, Crack Sealing, Slurry Sealing, Fog Sealing) | |
| | (BLD1) Buildings (Toilets, Bathhouses, Maintenance, Sand Sheds) | |
| | (EART) Earthwork and Drainage (Clearing, Earthwork, Blasting, Riprap, Culverts, Manholes, Inlets, Storm Sewers, Sanitary Systems) | |
| | (ELEC) Electrical (Traffic Signals, Illumination, Ramp Meters, Roadway Weather Information Systems (RWIS), Variable Message Signs (VMS), Traffic Cameras) | |
| | (LS) Landscaping (Roadside Seeding, Lawns, Shrubs, Trees, Irrigation Systems, Topsoil, Temporary and Permanent Erosion Control) | |
| | (MHA) Miscellaneous Highway Appurtenances (Guardrail, Barrier, Curbs, Walks, Fences, Protective Screening, Impact Attenuators, Cold Plane Pavement Removal, Rumble Strips) | |
| | (PAI1) Painting (Bridges and Buildings) | |
| | (PAVE) Pavement Markings (Permanent - Painted, Durable, Markers, Delineators) | |
| | (PCP) Portland Cement Concrete Paving | |
| | (REIN) Bridges and Structures (Concrete, Steel, and Timber Bridges; Retaining Walls and Sound walls; Seismic Retrofit; Box Culverts; Structural Plate Pipe, and Pipe Arches) | |
| | (SIGN) Signing (Permanent) | |
| | (TTC) Temporary Traffic Control (All Temporary Traffic Control Items Including Flaggers and Pilot Cars) | |
| | (OTH1) Other (List specific class) | |
| | | |

You may list "OTHER" (OTH1) classes of work; however, ODOT does not normally solicit bids under this class. This class of work is typically used by Local Agencies (Cities, Counties, etc.)

11 <u>EXPERIENCE</u>

| Α. | How many years | has applicant bee | en in business | under present name? | |
|----|----------------|-------------------|----------------|---------------------|--|
|----|----------------|-------------------|----------------|---------------------|--|

As a prime contractor? _____ As a subcontractor? _____

B. How many years' experience in construction work has applicant had?

As a prime contractor? _____ As a subcontractor? _____

12 <u>EXPERIENCE</u> – Continued

What is the construction experience of all owners, officers, partners and principal individuals in applicant's organization? (Attach additional sheets, if needed)

| Individual's Name | Present Position or Office | Years of Construction Experience | Magnitude and Type of Work |
|-------------------|----------------------------|--|-------------------------------|
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13 <u>GENERAL REMARKS</u>

Use the following space for general remarks and explanations pertaining to the foregoing prequalification statements. Explain here any claimed experience of a business organization or entity other than the applicant or principals, including that of any business entity which was a predecessor of applicant or which has been acquired by applicant.

| 14 <u>AFFIDAVIT</u> | | |
|----------------------------|----------|------------------------------------|
| STATE OF |) | |
| County of | SS.) | |
| I, | | being first sworn, state that I am |

of the applicant herein and that the statements made in this application are true and I acknowledge that any false,

(Title of individual authorized to execute bids and/or contracts) this application are true and I acknowledge that any false, deceptive or fraudulent statements on the application or at a hearing will result in the denial of prequalification, and may subject me to charges of false swearing or perjury; should there be any subsequent material reduction in applicant's ability to carry out any project for which applicant desires to submit a bid, applicant will give written notice of such change to the designated officer to whom this application is submitted at least ten days prior to the bid opening, and it is understood that such notice may change the eligibility of applicant to submit the bid.

(Original Signature of Individual Authorized to Execute Bids and/or Contracts)

. .

| Subscribed and sworn to before me | | | |
|-----------------------------------|----------------------------|----------------------------------|--|
| this | day of, Year | | |
| | | | |
| Notary Seal | | | |
| or Stamp | Original Notary Public Sig | Original Notary Public Signature | |
| | My commission expires | | |