Contractor Annual Prequalification System (CAPS)

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Before You Begin

State of Illinois Requirements
All vendors who wish to bid on State of Illinois public university contracts must:

- Show legal entity authorization to do business in Illinois by the Illinois Secretary of State
- Register with the Illinois State Board of Elections
- Hold a current Bidder Eligibility Number from the Illinois Department of Human Rights (IDHR)

University of Illinois Office of Capital Programs & Real Estate Services Requirements
The University of Illinois’ Office of Capital Programs & Real Estate Services (UOCP&RES) reviews disclosures and certifications to ensure that vendors meet the State and University requirements noted above.

The University Office of Capital Programs and Real Estate Services (UOCP&RES) provides the following capital systems relevant to vendors:

- **VSA**: The Vendor Services Application (VSA). VSA synchronizes vendor data among all capital applications to ensure complete and up-to-date vendor information.
- **CAPS**: The Contractor Annual Pre-Qualification System

Steps to University of Illinois Prequalification
Before you can pre-qualify, your firm must:

**Step 1. Register with VSA.** To do this, you will need your firm’s:

- FTIN (Federal Tax Information Number)
- IDHR number (see above)
- Your email address.
- As you register, you will create a username and password.
- Write your login information below.

Write your VSA logon information here.
User Name ________________________________
Password ________________________________

**Step 2. Gather necessary information, as listed below.**

*NOTE:* An example Prequalification form is contained in Appendix C in this document for your use in information gathering. You may begin your prequalification without most of this information but you will be required to gather all of it in order to complete and submit.
• Your Firm’s U.S. Department of Labor’s Bureau of Apprenticeship and Training Program number.

• A list of key persons in your firm.

  NOTE: A “key person” holds 5% or more ownership in the company, regardless of his/her title or position. Also identify all other persons who have duties, responsibilities or authority conventionally delegated to owners, officers, partners, or directors. In the event the firm is owned by another corporation, partnership, trust, or business association, include all ultimate individuals who hold a 5% or more interest. If percentage does not total 100, please explain.

• Names and titles of parties authorized to sign bids, proposals, or contract documents.

• Number of full-time, non-labor employees, including management, clerical, supervisory, and technical people working for your company.

• All names used by the company to do business in the past five years, with dates.

• Key persons and any other occupations or businesses (other than construction companies) in which they are currently engaged.

• Identify all firms in which key persons of this firm have been employed during the past five years and provide the dates of employment.

• Company’s Business Volume (in dollars) for the past fiscal year.

• Number of Years the company has been in business.

• Number of Years under present ownership.

• Yes or no answers to questions noted under Section 6, below.

• Performance and Payment Bond Surety information, including the surety’s A.M. Best rating.

• A Summary of Work Experience for Your Firm, including both relevant work experience, and current and pending projects.

Step 3. Login to CAPS.

• Once you have gathered at least some of the data from Step 2, you can login to CAPS.

• Use the username you created in Step 1 and the temporary password emailed to you to login to CAPS. In order to ensure that you have a single login and password for all systems, you may wish to change your CAPS password to be the same one you used in VSA.

• Complete your electronic pre-qualification. (See procedures later in this document.)

• Print, sign, and mail the packet with its related documentation to the campus construction unit. You will learn more about this process in this document.

How to Use This Document

While this document may seem long and complex, it is quite simply organized. The first half helps you create and complete your Prequalification document. The second half contains three Appendices:

- A workflow diagram, to help you understand the steps to prequalification
- Excerpts from UOCP&RES’ contract documents’ General Conditions
- An example prequalification document.
Navigate
You can use more than one method to navigate this Help document. You can use:

- The document’s *Table of Contents*. All topics are hyperlinks. Simply click on any topic.
- *Hyperlinks* within the document. Many, but not all, hyperlinks are blue and underlined. Click on any hyperlink.
  
  **NOTE:** You can tell that something is a hyperlink because the mouse pointer turns into a hand pointer, as illustrated below.

- The Adobe Acrobat *Pages* option. Click on any page to move to it.
  
  **NOTE:** Your version of Adobe Acrobat may appear slightly different from the one displayed here but the Pages and Bookmarks functionality should be available from the left navigation pane.

- The Adobe Acrobat *Bookmarks* option. Click on any bookmark to move to that section of the document.

Search
This PDF document is completely searchable. You can search for the information you need using the *Find* box at the top right.
Prequalifying as a Contractor

Contractor’s Responsibilities

The following steps must be completed by the Contractor in order to prequalify. Each step is explained further in its own section. You can click on any of the hyperlinks below to go to the section you’re interested in.

1. **Login to CAPS**
   a. Your VSA login is your CAPS login.
   b. When you register with VSA, a temporary CAPS password will be sent to you. Once you login, change it immediately. You may find it most helpful to have the same login and password for VSA and CAPS.

   **NOTE:** Contractors who are already registered with VSA and/or PRZM™ should use current login and password.

2. **Create your Prequalification Form.**
3. **Complete the Contractor Annual Prequalification Form.**
   a. **Review Sections 1 – 4**
   b. **Save the Pre-qualification / Not ready to submit**
   c. **Prepare Sections 5 – 8**
4. **Submit the Prequalification Form.**
5. **Print out the Pre-qualification Form** and send it to the appropriate campus.
6. **Annually create a new version** of the Prequalification, review and/or update its information and submit for approval.

Logging in to CAPS

To navigate to the Contractor Annual Prequalification System (CAPS):

1. From the [University Office of Capital Programs & Real Estate Services](#) website, dropdown the Applications menu, and select **CAPS (sign in)**, as illustrated below.

![CAPS Login Screen](image)

The CAPS login screen appears.
2. Type in your User name and Password.

   NOTE: Your Username is the same as the one you used when you registered with VSA. A temporary CAPS password was sent to you by email. You will be able to change that password to the one you used with VSA once you have logged in. (Your password is kept more secure when this process is used. It is not safe to send it through email along with your username.)

   The CAPS interface appears, displaying the Contractor’s home page. If you are new to CAPS, you will not see any prequalification documents at first, because you will need to create one. For security reasons, you will be unable to view the prequalification documents of other firms.

Creating a Prequalification

When you first login to CAPS, unless you have previously prequalified, you will only see three bands at the top of the screen: The black band, that denotes the system name and the Log Out option; the green band, which provides options; and the blue band, which provides navigation options. Contractors keep track of prequalification(s) by campus and by contract division of work.

IMPORTANT: You will need to create a prequalification document for each division of work you intend to bid on. The process for creating any prequalification for any division of work is exactly the same.

1. To begin the Prequalification process, from your contractor homepage, on the green tab, click Create Prequalification, as illustrated below.

   The screen refreshes, and a new prequalification document opens.

Tips:
You may complete the Prequalification in parts. When you wish to save your progress, scroll to the bottom of the form and click the Save Prequalification button. Your data will be saved and you may come back at a later time to complete the form. To learn more about saving, click here.

Keep track of your time. Leaving the form open for longer than 3 hours can result in the loss of your data, due to required system time-outs.
2. In the **Choose the Company Name / Location / Division or Branch that this Prequalification Submittal is for** field, drop down the menu and select the appropriate company / location / division.

![Choose the Company Name / Location / Division or Branch that this Prequalification Submittal is for](image)

The form refreshes and your firm’s name, address, and other information are automatically populated from your Vendor Services Application (VSA) registration.

**NOTE:** This information is brought into the prequalification form from the Vendor Services Application, with which you registered. If there is an error, you, or someone from your company who is the Primary Contact, will have to correct it in the Vendor Services Application.

3. In the **Choose Campus** field, drop down the menu and select the campus you want to prequalify for.

![Choose Campus](image)

**IMPORTANT:** Once you save the form, you cannot change the selected campus. The campus selection affects where you will send your printed prequalification for approval and which campus unit will review it. Be sure to check your work before you save the form. By agreement, once your prequalification is approved by one campus, you will be automatically prequalified on all campuses.

### Saving the Prequalification / Not Ready to Submit

If at any time you wish to stop working on the prequalification document, in order to gather more information or because your time is currently limited, you may save the document and return to it later, without submitting it.

1. To save the prequalification form if you are not ready to submit, click the **Save Prequalification** button located at the bottom of the form.

![Save Prequalification](image)

**NOTE:** You may need to scroll to find this button.

The prequalification form closes and the screen refreshes. CAPS marks the Status of your prequalification as **Pending Completion**, as illustrated below next to the red arrow.
2. To resume work on your prequalification, click on the name of your company, which is a link to
the prequalification document.

   The prequalification document opens in Read-Only mode.

3. At the top left hand corner, click on the **Edit** button.

   The form refreshes and returns to Edit mode at the top of the document.

4. You may now continue to add information to the prequalification document.

5. If you are interrupted, don’t forget to save your work by clicking on the **Save Prequalification**
button at the bottom of the form.

   The form closes and a confirmation dialog box opens, as illustrated below.

   ![Confirmation Dialog Box](image)

6. Click the **OK** button.

   The CAPS view returns and displays your prequalification link, as illustrated in step 1, above.

**Completing Sections 1 through 4**

1. Sections 1 through 4 of the Prequalification have been automatically populated from your
company’s registration with the University’s Vendor Services Application (VSA), to display the
following information:

   - **Section 1:** Federal Taxpayer Identification Number
   - **Section 2:** Illinois Department of Human Rights Number
   - **Section 3:** Minority, Female, and Person with Disability Business Enterprise Status
   - **Section 4:** Business Organization

   Review each section for accuracy.

2. In Section 4 – Business Organization, at the bottom in the **Is the information above correct?**
area, as illustrated below, select one radio button: **Yes** or **No**.
If your information is not correct, and you selected No, you will be directed to save the Prequalification and return to the University’s Vendor Services Application (VSA) to update the information in VSA that is shared with CAPS.

In the Is the information above correct? area, if you selected Yes, the form refreshes to display Sections 5 through 8:

- Section 5: Key Personnel, Business, and Financial Information
- Section 6: Disclosures and General Questions
- Section 7: Performance and Payment Bond
- Section 8: Summary of Work Experience

Completing Sections 5 through 8

3. In Section 5: Key Personnel, Business, and Financial Information, provide the requested information.

   a. In Section 5.1, list all Key Personnel, by Name and Position/Title, as defined in the above illustration. Round percentages to whole numbers to define the percentage of ownership. If percentages do not add up to 100, explain in the space provided.

   b. In Section 5.2, list the names and titles of all parties authorized to sign bids, proposals, and/or contract documents.

   c. In Section 5.3, give the number of full-time non-labor employees in your firm. Include all management, clerical, supervisory, and technical people working for your firm.

   d. In Section 5.4, identify all the names your firm has done business under for the past five years, including the firm’s predecessor names (if applicable). Provide the dates for which those names were in effect. If none, click the Not Applicable checkbox.

   e. In Section 5.5, identify key persons and any other occupations or businesses (including other construction companies) in which they are currently engaged. Explain in the text box provided. If none, click the Not Applicable checkbox.

   f. In Section 5.6, in the text box, identify all firms in which key persons of this firm have been employed during the past five years, along with dates of employment. If none, click the Not Applicable checkbox.

   g. In Section 5.7, list the firm’s annual Business Volume for the past fiscal year, in dollars.

   h. In Section 5.8, type the number of years the firm has been in business.

   i. In Section 5.9, type the number of years under present ownership.

4. In Section 6, answer the Disclosure and General questions. For any “Yes” answer, attach a document to explain.

   NOTE: The default response to each question is No. Please read and answer each question. After Section 6.14, you will be asked to provide an explanation of all Yes answers by attaching separate documents.
For your use and review, Section 6 is reproduced in Appendix C, Section 6. Following are instructions for uploading your explanation document(s).

a. If you need to attach documents, for each document you wish to attach, at the bottom of the Disclosures and General Questions section, click the Browse button. The Choose File dialog box opens.

b. Using the Choose file dialog box, navigate your computer's file system and select the appropriate document.

c. Click the Open button.

The dialog box closes and the file path appears in the text box, as illustrated below.

```
FOR A YES ANSWER TO ANY QUESTION 6.1 to 6.12 - Attach a separate sheet with an explanation.

FOR A YES ANSWER TO ANY QUESTION 6.13 to 6.14 - Attach a separate sheet that provides a brief explanation of the facts, the names of the parties involved, the dollar amount being claimed from your firm, and the present status of the case. Attach explanations of any lawsuits alleging negligent or defective work or breach of contract on the part of your firm. Do not include lien matters, automobile accident cases, or Workmen's Compensation cases.
```

Use the "Browse" button below to locate a required document. Once the path to the document appears in the text box to the left of the "Browse" button use the "Save Attachment" button to include the file with this form. If multiple documents are required first create a single zipped file to attach or attach them one at a time repeating the "Browse" and "Save Attachment" sequence.

```
C:\Documents and Settings\mem\My Documents\Training\Courses Browse [Save Attachment]
```

d. Click the Save Attachment button.

The attachment is saved, and its title appears below, as illustrated.

*NOTE:* The filename becomes the attachment name.

```
[ ] Question 6 Answers - Zebra Mechanical Corp.docx
```

e. You may delete your attachment, if necessary. To delete the attachment, click in the checkbox next to the document title, illustrated above. Scroll down the document and click the Save Prequalification button.

The attachment is discarded as you save.
5. In **Section 7 - Performance and Payment Bond**, provide the following information about the bonding company you will use.
   a. In **Section 7.1**, please read the following before filling in your information.
      i. In the **Specific Surety Company Name** field, type in the company’s name.
      ii. In the **Street Address** field, type in the surety company’s street address.
      iii. In the **City, State Zip** field, type in the surety company’s city. Select the state from the dropdown menu. Type in the surety company’s five-digit zip code.
      iv. In the **Telephone Number** field, type in the phone number for the surety. In the **Telefax Number** field, type in the fax number for the surety.
      v. In the **Local Broker/Agent** field, type in the name of the Local Broker/Agent.
      vi. In the **Contact Person** field, type in the name of the contact person for the surety.
      vii. In the **Street Address** field, type the street address for the Contact Person.
      viii. In the **City, State Zip** field, for the Contact Person, type in the city. Select the state from the dropdown menu. Type in the contact person’s five-digit zip code.
      ix. In the **Telephone Number** field, type in the phone number for the contact person.
      x. In the **Telefax Number** field, type in the fax number for the contact person.
   b. In **Section 7.2**, provide the ratings for the surety.
      
      **Note:** A.M. Best's rating classifications are a letter designation ranging from A++ to F. A.M. Best's financial size categories are a Roman numeral designation ranging from I to XV. The Contract Documents require that sureties be rated as A- / VI or better.
      
      i. In the **Rating Classification** field, from the dropdown menu, select the surety’s rating.
      ii. In the **Financial Size Category** field, from the dropdown menu, select the surety’s category.
   c. In **Section 7.3**, provide information about your bank.
      
      i. In the **Bank Name** field, type the name of your bank.
      ii. In the **Street Address** field, type in the bank’s street address.
      iii. In the **City, State Zip** field, type in the bank’s city. Select the state from the dropdown menu. Type in the bank’s five-digit zip code.
      iv. In the **Telephone Number** field, type in the phone number for the bank.
      v. In the **Contact Person** field, type in the name of the contact person for the bank.

6. In **Section 8 - Summary of Work Experience**, provide information for similar contracts for the contract division you selected earlier.

   **Note:** You should list ten (10) projects.

   If a row has missing information, be sure to click in the **No Information** checkbox, next to the number. See example below.
a. In **Section 8.2 Similar Contracts**, for each contract, report the following for contracts completed within the past five years.

**NOTE:** If a row has missing information, be sure to click in the **No Information** checkbox, next to the number.

i. In the **Project and Location** column, type the project name and location.

ii. In the **Contract Type and Final Amount** column, type in the type of contract and the final amount of the contract.

iii. In the **Start and Completion Dates** column, type the start date and end date, using month and year (e.g., 06/2009) for the project.

iv. In the **Name and Phone # of Owner & Professional Service Consultant References** column, type:
   1. The name of the project’s Owner
   2. The Owner’s phone number section, type in the Owner’s telephone number.
   3. The Professional Services Consultant’s name,
   4. The Professional Services Consultant’s phone number, in the format (xxx) xxx-xxxx

b. In **Section 8.3 Contracts Under Construction**, report the following for contracts currently under construction.

**NOTE:** If a row has missing information, be sure to click in the **No Information** checkbox, next to the number.

i. In the **Project and Location** column, type the project name and location.

ii. In the **Contract Type and Final Amount** column, type in the type of contract and the final amount of the contract.

iii. In the **Start and Completion Dates** column, type the start date and end date, using month and year (e.g., 06/2009) for the project.

iv. In the **Name and Phone # of Owner & Professional Service Consultant References** column, type:
   1. The name of the Project’s Owner
   2. The Owner’s phone number, in the format (xxx) xxx-xxxx
   3. The Professional Services Consultant’s name
   4. The Professional Services Consultant’s phone number, in the format (xxx) xxx-xxxx

c. In **Section 8.4 Contracts Pending**, report the following for contracts currently pending.

**NOTE:** If a row has missing information, be sure to click in the **No Information** checkbox, next to the number.

i. In the **Project and Location** column, type the project name and location.

ii. In the **Contract Type and Final Amount** column, type in the type of contract and the final amount of the contract.
iii. In the **Expected Start and Completion Dates**, type the start date and end date, using month and year (e.g., 06/2009) for the project.

iv. In the **Name and Phone # of Owner & Professional Service Consultant References** column, type
   1. The name of the Project’s Owner
   2. The Owner’s phone number, in the format (xxx) xxx-xxxx
   3. The Professional Services Consultant’s name
   4. The Professional Services Consultant’s phone number, in the format (xxx) xxx-xxxx

7. Review the form.
8. In the **All sections Completed are you ready to submit for Approval?** area at the bottom of the form, when you are ready to submit your prequalification, click in the **Yes** radio button.

   The name and address of the Prequalification Officer appear on the form.

9. Click the **Save Prequalification** button.

   **Notes:**
   - Selecting **Yes** and saving the document will notify the Prequalification Officer to begin the approval process.
   - If you select **Yes** and there are incomplete sections on the Prequalification form, the system will notify you about the missing information and will not allow you to save.
   - Once you have submitted for approval, if the form is complete, you will not be able to edit the document.
   - Following the electronic submission for approval you will need to:
     - Open the document in read mode.
     - Print the document.
     - Obtain the required signature(s).
     - Formally submit the signed document by mail to the Prequalification Officer.

10. Follow the instructions under **Submitting the Prequalification Form**, below.
Submitting the Prequalification

Once you have completed all sections of the Prequalification, you must submit it both electronically and physically with a wet signature.

1. After completing the Prequalification, at the bottom of the document, in the **All sections Completed are you ready to submit for Approval?** section, click on the **Yes** radio button.

   *NOTE: This illustration shows the Urbana campus information; other campuses will display alternative Prequalification Officer names and addresses.

   CAPS checks to verify that all sections are complete. If a section is not complete, a small dialog box will pop up indicating the section which is incomplete, as illustrated below.

   ![Dialog Box Illustration](image)

   When you click the OK button, CAPS automatically moves to the first section of the document which is incomplete.

   a. If you need to modify a section, review the document and make your changes.

   b. Review the entire prequalification to ensure all sections are complete.

2. When all sections are complete, click on the **All sections Completed are you ready to submit for Approval? Yes** radio button.

3. Click the **Save Prequalification** button.

   The Prequalification closes and the view returns, indicating that your Prequalification is Pending Signature. See next page.

4. Open the document again and print it, obtain the necessary signature, and mail to the address at the end of the Prequalification.
**Notes:**

- Selecting **Yes** and saving the document will notify the Campus Prequalification Officer to begin the approval process.
- If you select **Yes** and there are incomplete sections on the Prequalification form, the system will notify you about the missing information and will not allow you to save.
- Once you have submitted for approval, if the form is complete, you will not be able to edit the document.
- Following the electronic submission for approval you will need to:
  - Open the document in read mode.
  - Print the document.
  - Obtain the required signature(s).
  - Formally submit the signed document by mail to the Prequalification Officer.

**Print out Prequalification Form and Send to Appropriate Campus**

1. After submitting the prequalification form electronically, open the Prequalification form in Read Mode.

   ![Signature](image.png)

   **Signature** - FORM MUST BE SIGNED BY THE FIRM’S PRESIDENT, VICE PRESIDENT or CEO (if corporation), PARTNER (if partnership), or SOLE OWNER (if sole proprietorship).

   I hereby certify that all of the information contained in this prequalification statement is true and complete, and that I have authority to execute this document on behalf of this firm.

   **Signed**
   
   **Name**
   
   **Title**

2. Print out the form, obtain the required signature and send to the appropriate campus.

   **NOTE:** The campus address to which you will send the form will appear at the end of the printed document.

**Creating a New Version (Renew / Reject / Suspend / Rescind)**

**RENEW** – 45 and 15 days before the expiration, the system will send an auto-generated email to the contractor. Contractors can begin the renewal process 45 days before expiration.

1. Use the email link to access the prequalification form or navigate to the CAPS login page through the University of Illinois Office of Capital Programs and Real Estate Services [website](http://example.com).
2. At the top of the prequalification form, click the **Create New Version** button.
3. The Prequalification auto-populates with the same information as the previous form.
4. Review and update information as necessary.
5. Submit for approval electronically.
6. Follow up with a signed physical copy to the appropriate campus, as noted at the bottom of the form.

**REJECT** - If the prequalification is rejected, the system sends an auto-generated email to the contractor.
1. Use the email link (see below) to access the prequalification form or navigate to the CAPS login page through the University of Illinois Office of Capital Programs and Real Estate Services website.

   From: notes.cpueux.edu/OCO/centre/WWW/service/contractors/notes.cpueux.edu
   To: heene@uillinois.edu
   Cc: 
   Subject: Contractor Prequalification Rejected

   The following Prequalification has been rejected:
   Contractor: Plumbers Joint
   Division of Work: Division I - Plumbing Work
   Campus: University of Illinois at Springfield
   Approves Comment: Comments why
   Link: http://notesm.org.utur.edu/6688/grow/prequal.msef/1127/0507F01E43F42FF8625D430086605A

2. At the top of the prequalification form, click the Create New Version button.

3. The Prequalification auto-populates with the same information as the previous form.
4. Review and update information as necessary.
5. Submit for approval electronically.
6. Follow up with a signed physical copy to the appropriate campus, as noted at the bottom of the form.

SUSPEND / RESCIND – If for any reason the prequalification is suspended or rescinded, CAPS will auto-generate an email to the contractor 45 and 15 days before the end of suspended or rescinded period. The contractor can create a new version after the suspended or rescinded period. Follow the same process as for the renewal, above.
Appendix A: Workflow

Contractor Annual Prequalification System (CAPS): Workflow

*Contractor may begin, save, and return as many times as necessary to continue until the prequalification form is ready for submission

**The prequalification will not be reviewed until the signed copy is received.

***If a prequalification is not approved, the contractor is notified by email to create a new version and to update it to remedy issues noted by the prequalification officer.

Updated: May, 2010
Appendix B: Excerpt from Document 00 20 00 – General Instructions to Bidders

4.0 BIDDER’S QUALIFICATIONS

4.1 Statutory Requirements: In order to sell to or contract with The Board of Trustees of the University of Illinois, the Bidder must comply with the requirements of the Illinois Procurement Code and the Procurement Rules of the Chief Procurement Office for Public Institutions of Higher Education.

4.2 Annual Prequalification: The Bidder shall prequalify in accordance with the instructions contained herein. All Bidders shall be prequalified with the Owner. New Bidders that are not prequalified shall prequalify with the Owner using the Owner’s web-based Contractor Annual Prequalification System (CAPS). The Bidder shall follow the instructions contained in the CAPS and return the Annual Prequalification Statement to the Owner 14 days before bidding a University of Illinois project. The application may take 14 days to process after a complete and accurate application is received by the University of Illinois Campus Construction Unit. The following information is required in the Annual Prequalification Statement (referenced in Document 00 45 00 – Contractor Annual Prequalification Statement):

A. Federal Taxpayer Identification Number (Section 1): Enter the Bidder’s Federal Taxpayer Identification Number (FTIN). Individuals and sole proprietors should enter their Social Security Number (SSN). All other business entities should enter their Federal Employer Identification Number (FEIN).


C. Minority, Female, Person with Disabilities or Disadvantaged Business Enterprise Status (Section 3): Identify whether or not the Bidder is a Minority, Female, or Person with Disabilities Business Enterprise as defined in Section 2 of the Illinois Business Enterprise for Minorities, Females, and Persons with Disabilities Act, as amended (30 ILCS 575/0.01 et. seq.) or Disadvantaged Business Enterprise as defined in 49CFR Part 26. If the Bidder is a MBE, FBE, PBE or DBE provide additional information relating to minority, female, or person with disabilities ownership, the applicable minority category, and the Bidder’s certification status with the Illinois Department of Central Management Services (CMS), the Illinois Department of Transportation (IDOT) or other certifying body. Pursuant to this Act and 49CFR Part 26, the Owner has established goals for the participation of small businesses and minority, female, and person with disabilities and disadvantaged business enterprises in Owner’s construction contracts not less than those stated below:
1. Minority: The term "Minority," as used in the Contract Documents, shall mean a person who is a citizen or lawful permanent resident of the United States who is:

   a. Black/African American (a person having origins in any of the black racial groups in Africa);

   b. Hispanic American (a person of Spanish or Portuguese culture with origins in Mexico, South or Central America, or the Caribbean Islands, regardless of race);

   c. 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); or

   d. Native American or Alaskan Native (a person having origins in any of the original peoples of North America).

2. Female: The term "Female," as used in the Contract Documents, shall mean a person who is a citizen or lawful permanent resident of the United States who is of the female gender.

3. Person with a Disability: The term "Person with a Disability," as used in the Contract Documents, refers to a citizen or lawful permanent resident of the United States who qualifies as being disabled pursuant to the provisions of section 2(A)(2.1) of the above-referenced Act.

4. Minority-Owned Business: The term "Minority-Owned Business," as used in the Contract Documents, means a business concern which is at least 51 percent owned by one or more minority persons, or, in the
case of a corporation, at least 51 percent of the stock is owned by one or more minority persons; and the management and daily business operations of which are controlled by one or more of the minority individuals who own it. (Minority-Owned Businesses are also referred to as Minority Business Enterprises or MBEs).

5. Female-Owned Business: The term "Female-Owned Business," as used in the Contract Documents, means a business concern which is at least 51 percent owned by one or more females, or, in the case of a corporation, at least 51 percent of the stock is owned by one or more females; and the management and daily business operations of which are controlled by one or more of the females who own it. (Female-Owned Businesses are also referred to as Female Business Enterprises or FBEs).

6. Person with Disabilities Owned Business: The term “Person with Disabilities Owned Business”, as used in the Contract Documents, refers to a business concern of which at least 51 percent is owned by one or more persons with a disability, or in the case of corporation, one in which at least 51 per centum of the stock is owned by one or more persons with a disability or by a not for profit agency for the disabled organized pursuant to Section 501 of the Internal Revenue Code of 1954; and the management and daily business operations of which are controlled by one or more of the persons with a disability who own it. (Person with Disabilities Owned Businesses are also referred to as Person with Disabilities Business Enterprises or PBEs).

7. Disadvantaged Owned Business: The term "Disadvantaged Owned Business", as used in the Contract Documents, refers to a for-profit small business concern of which is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it. This Disadvantaged Owned Business must be certified in accordance with the requirements of 49 CFR Part 26 with the state of Illinois Uniform Certification Program (IL UCP). Disadvantaged Owned Businesses are also referred to as Disadvantaged Business Enterprises or DBEs.

D. Business Organization (Section 4): Provide information indicating whether the Bidder's business organization is a sole proprietorship, partnership, or corporation and provide the additional information requested for the applicable type of business organization. For corporations, the term "registered agent" refers to the contact person identified in the corporation's annual report filed with the Illinois Secretary of State.

E. Key Personnel, Business, and Financial Information (Sections 5): Provide historical information, business volume, financial references, and the number of managerial and supervisory personnel employed by the Bidder.
F. **Disclosures and General Questions (Section 6):** Answer all questions in this Section. The questions relate to the Bidder’s eligibility to enter into a contract with The Board of Trustees of the University of Illinois and to the statutory requirements, which may affect the Bidder’s ability to perform all contractual responsibilities.

G. **Performance Bond and Payment Bond (Section 7):** Identify the Bidder's surety, its surety's A.M. Best Co. Rating, and local agent. The Bidder's surety shall have a policyholder's rating not lower than "A-" and a financial rating not lower than "VI" in the current edition of Best's Key Rating Guide for property/casualty insurance companies. The Bidder’s surety shall also be licensed to write surety bonds in the State of Illinois and shall be listed on the United States’ Department of the Treasury’s Listing of Approved Sureties (Department Circular 570), and shall have an underwriting limitation in an amount not less than the amount bid by Bidder including all alternates, if any.

H. **Summary of Work Experience (Section 8):** Provide a resume of the Bidder's experience in similar projects, including a list of the following:

1. Similar contracts completed within the last five years.

2. Contracts currently under construction.

3. Contracts upon which the Bidder is negotiating a contract or is the apparent low Bidder even though no contract has yet been awarded.

The Bidder shall list all public works contracts performed within the last two years or the four most recent public works contracts performed, whichever is fewer. The Bidder shall provide information in sufficient detail to enable the Owner to evaluate the Bidder’s capacity and experience to provide project coordination on University of Illinois projects (including assigned contracts) and to ensure the completion of projects within the time specified.

Note: The Owner reserves the right to require from the Bidder a detailed statement regarding the business and technical organization and the physical facilities and equipment of the Bidder that is available for the Work that is contemplated, information pertaining to financial resources and experience of personnel, and any additional information or documentation necessary to satisfy the Owner that the Bidder is equipped and prepared to finance and perform the Work.

4.3 **Application for Renewal:** A prequalification renewal will be sent to Bidders approximately 45 days before the expiration of current prequalification. Bidders who do not receive a prequalification renewal are responsible for obtaining one at least 30 days prior to expiration. When all information is complete and satisfactory, processing may take up to 14 days. When any information is incomplete or unsatisfactory, a longer processing time will be required. Bidders will be notified...
when information is incomplete or unsatisfactory. Unless otherwise specified in writing by the Owner, the term of prequalification is one year. When prequalification is granted, the bidder will be notified in writing of the expiration date. The Owner may grant a shorter term of prequalification when a determination is made by the Owner that a shorter period is justified. The Owner, in its discretion, may grant a longer period of prequalification when deemed appropriate.

4.4 Project-Specific Prequalification: The Project-Specific Prequalification Statement shall be submitted to the Owner as soon as possible but in any event not later than the date and time stipulated in the Notice to Bidders. The Project-Specific Prequalification Statement shall be submitted on the forms included with the bid documents and in an envelope marked “Project-Specific Prequalification.” Failure to submit the required information by the project-specific prequalification deadline and failure to meet the project-specific prequalification requirements may result in the bid being returned unopened. Project-specific information required by the Owner shall be stated in Document 00 46 00 – Project-Specific Prequalification Form.

Note: The Owner reserves the right to require from the Bidder, prior to the bid opening, a detailed statement regarding the business and technical organization and the physical facilities and equipment of the Bidder that is available for the Work that is contemplated, information pertaining to financial resources and experience of personnel, and any additional information or documentation necessary to satisfy the Owner that the Bidder is equipped and prepared to finance and perform the Work.

4.5 Owner’s Evaluation: The Owner shall evaluate the information provided in the Annual Prequalification Statement and Project-Specific Prequalification Statement. The Bidder's performance on previous projects at the University of Illinois and other available evidence will be used to determine, prior to the opening of bids, whether the Bidder has satisfactorily prequalified to submit a bid for the project. The Owner shall perform all such evaluations in compliance with applicable State and Federal law which define and prohibit unlawful discrimination. Unsatisfactory performance on previous projects may be sufficient cause for disqualifying a Bidder. Any Bidder who is determined to be unqualified on the basis of data submitted and/or investigation completed will be notified at or prior to the bid opening, and any bid submitted will be returned unopened. Prequalification by a Bidder shall not, however, constitute a final determination by the Owner of the qualifications and responsibility of the Bidder. The Owner reserves the right to re-evaluate the Bidder’s qualifications and responsibility and to request additional information and substantiation at any time prior to the award of contract.

4.6 Actions Affecting Prequalification: The Owner may, at any time, consider whether action should be taken concerning a Bidder’s prequalification. Actions that may be taken by the Owner include, but are not limited to, one or more of the following: modification or limitation of a Bidder’s ability to bid; suspension of a Bidder’s prequalification; debarment of a Bidder.
Appendix C: Document 00 45 00 – Contractor Annual Prequalification Statement

THE BIDDING AND CONTRACT PROVISIONS
Document 00 45 00 – Contractor Annual Prequalification Statement
(Standard Multiple and Single Contract Sets)

Legal Firm Name ____________________________________________
Common Firm Name __________________________________________
(Doing business as - if applicable)
Street Address ______________________________________________
City, State, Zip _____________________________________________
County _____________________________________________________
Business Phone _____________________________________________
Facsimile Number ___________________________________________
E-mail Address ______________________________________________

Please complete if the mailing address is different from above address.

1. Mailing Address __________________________________________
   City, State, Zip __________________________________________

2. Contact Person ___________________________________________
   (List the person responsible for completing this form)

3. Submittal is for: ( ) Parent Company ( ) Division ( ) Branch Office
   Parent Company Name ______________________________________
   Address _________________________________________________
   City, State, Zip __________________________________________

Section 1– Federal Taxpayer Identification Number

1.1 Provide the firm’s Federal Taxpayer Identification Number. If sole proprietorship, provide the Social Security Number.
Taxpayer ID Number: ____________________________________________________________

Section 2 - Illinois Department of Human Rights Number

2.1  Provide the firm's Illinois Department of Human Rights (IDHR) number. All prospective contractors shall be registered or have an application pending (not subject to an Order of Noncompliance) with the Illinois Department of Human Rights (IDHR) prior to the bid opening. To obtain an IDHR identification number, contact the Illinois Department of Human Rights, Compliance Division, Public Contracts Unit, 100 West Randolph Street, 10th Floor, Chicago, Illinois 60601, 312/814-2432. If an application is pending with the Illinois Department of Human Rights, please so indicate below. It is the firm's responsibility to notify this agency once an IDHR number has been assigned.

IDHR number: ________________________________________________________________

Section 3 – Minority, Female, Person with Disability and Disadvantaged Business Enterprise Status

3.1  **MAFBE Status of Contractor:** The Contractor certifies that this business

☐ is  ☐ is not

A Minority, Female, or Person with Disabilities Business Enterprise as defined in Section 2 of the Illinois Business Enterprise for Minorities, Females, and Persons with Disabilities Act as amended (30 ILCS 575/0.01 et seq.) or Disadvantaged Business Enterprise as defined in 49 CFR Part 26, (refer to Document 200 - General Instructions to Bidders). If this business is a MBE, FBE, PBE, or DBE, the Contractor further certifies that:

A. **The Business Ownership is:**

☐ Minority Business Enterprise (MBE)
☐ Female Business Enterprise (FBE)
☐ Person with Disabilities Business Enterprise (PBE)
☐ **Disadvantaged Business Enterprise (DBE)**

B  **The Applicable Gender is:**

☐ Male  ☐ Female

C  **The Applicable Race/Ethnicity is:**

☐ Black/African American
☐ Hispanic American
☐ Asian American
D. The MBE/FBE/PBE/DBE Certification is with: (Please attach copy of Certificate)

Certificate Expiration Date is: IL UCP Certificate Expiration Date is:

☐ CMS ______________  ☐ IDOT ______________
☐ CMBDC ______________  ☐ City of Chicago ______________
☐ WBDC ______________  ☐ PACE ______________
☐ Cook County ______________  ☐ CTA ______________
☐ City of Chicago ______________  ☐ METRA ______________
☐ Not Currently Certified

3.2 MAFBE Status Changes: The Contractor agrees to notify the Board of Trustees University of Illinois of all changes to the Contractor's status as a Minority, Female, Person with Disabilities or Disadvantaged Business Enterprise within 15 business days of the occurrence of such a change.

Section 4 – Business Organization

4.1 Type of firm:

(    ) Corporation     (    ) Limited Liability Company (    ) Individual (    ) Partnership
(    ) Limited Liability Partnership (    ) Sole Proprietorship     (    ) Joint Venture
(    ) Tax Exempt Organization (    ) Not-For-Profit Corporation (    ) Trust or Estate
(    ) Governmental Entity      (    ) Educational Institution     (    ) Medical Health Care Provider

If the Contractor is a **corporation**, provide the following information:

A. State in which incorporated: ________________________________

B. If incorporated in another state, is the corporation authorized to do business in the State of Illinois? Yes ________  No ________
C. Name and address of the corporation's registered agent in Illinois:

__________________________________________________________________________
__________________________________________________________________________

NOTE: Corporations shall be classified as being in "good standing" with the Illinois Secretary of State at time of contract award. Firms are encouraged to maintain an active status with the Illinois Secretary of State to avoid delays in the event that a contract is awarded. For verbal confirmation of status for firms previously listed as being in good standing, call 217/782-7880. To order a Certificate of Good Standing with credit card, call 217/782-6875. For firms wishing to become incorporated, call 217/782-9520. You may also write to the Illinois Secretary of State, Corporations Division, Third Floor, Howlett Building, Springfield, Illinois 62706.

Section 5 – Key Personnel, Business, and Financial Information

5.1 List all key persons. “Key person” is defined as any individual who holds a 5% or more ownership interest, regardless of position with the firm, or any officer and/or director, regardless of ownership in the firm. Also identify all other persons who have duties, responsibilities or authority conventionally delegated to owners, officers, partners, or directors. In the event the firm is owned by another corporation, partnership, trust, or business association, include all ultimate individuals who hold a 5% or more interest. If percentage does not total 100, please explain.

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<tr>
<th>Name of Person</th>
<th>Position/Title</th>
<th>Ownership</th>
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5.2 List the names and titles of parties authorized to sign bids, proposals, or contract documents.

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<th>Name of Person</th>
<th>Title</th>
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5.3 Number of full-time, non-labor employees. Include management, clerical, supervisory, and technical people working for the firm. ______________________________

5.4 Identify all other names the firm or its predecessors have used in the past five years. Provide the dates that names were in effect.
5.5 Identify key persons and any other occupations or businesses (including other construction companies) in which they are currently engaged. Please explain below or attach a separate sheet.

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

5.6 Identify all firms in which key persons of this firm have been employed during the past five years and provide the dates of employment. Please explain below or attach a separate sheet.

__________________________________________________________________________

__________________________________________________________________________

5.7 List the firm’s business volume (dollar amount) for the last fiscal year.___________________
Do not attach financial statement.

5.8 Number of years the firm has been in business. ____________________________________

5.9 Number of years under present ownership._________________________________________

Section 6 - Disclosures and General Questions

FOR A YES ANSWER TO ANY QUESTION IN THIS SECTION, PLEASE ATTACH EXPLANATION ON A SEPARATE SHEET

6.1 In the past five years, has the firm or its predecessor been investigated or found in non-compliance by the Illinois Department of Labor regarding prevailing wage requirements?

_____ Yes  _____ No

6.2 In the past five years, has the firm or its predecessor been cited for violating state or federal safety, sanitary, or environmental laws?

_____ Yes  _____ No

6.3 Has the firm or its predecessor or any key person with the firm or its predecessor ever been convicted of any state or federal crime (excluding traffic violations), including, but not limited
to, embezzlement, theft, forgery, bribery, falsification or destruction of records, receipt of stolen property, criminal anti-trust violations, bid-rigging or bid-rotating?

_____ Yes   _____ No

6.4 Has the firm or its predecessor or any key person with the firm or its predecessor ever been convicted of a state or federal civil anti-trust violation or similar offense?

_____ Yes   _____ No

6.5 In the past five years, has the firm or its predecessor defaulted on a loan?

_____ Yes   _____ No

6.6 Has the firm or its predecessor ever filed for bankruptcy?

_____ Yes   _____ No

6.7 Has the firm or its predecessor ever been suspended or debarred by a state, federal, or municipal agency?

_____ Yes   _____ No

6.8 Is any owner, person with an interest in firm profits, or their spouse or minor child employed in any way by the State of Illinois?

_____ Yes   _____ No

6.9 In the past five years, has the firm or its predecessor failed to complete any contract?

_____ Yes   _____ No

6.10 Is the firm currently under investigation as a provider under Medicare or Medicaid or any other federal or state health care program or under any third party insurance programs?

_____ Yes   _____ No
6.11 Is the firm currently excluded or barred from submitting claims to Medicare or Medicaid or to any other federal or state health care programs or to any third party insurer?

_____ Yes   _____ No

6.12 In accordance with the Illinois Procurement Code (30 ILCS 500/50-36), please check “Yes” or “No” to indicate whether the following statements are applicable to the bidder. If “Yes,” please provide additional information as appropriate (attach additional pages as necessary).

Within the 24 months before submission of the bid, offer, or proposal the bidder, offeror, or proposing entity, or any of its corporate parents or subsidiaries, has had business operations that involved contracts with or provision of supplies or services to

(a) the Government of Iran;

(b) companies in which the Government of Iran has any direct or indirect equity share;

(c) consortia or projects commissioned by the Government of Iran; or

(d) companies involved in consortia or projects commissioned by the Government of Iran;

and

(1) more than 10% of the company's revenues produced in, or assets located in, Iran involve oil-related activities or mineral-extraction activities; less than 75% of the company's revenues produced in, or assets located in, Iran involve contracts with or provision of oil-related or mineral-extraction products or services to the Government of Iran or a project or consortium created exclusively by that government; and the company has failed to take substantial action;

or

(2) the company has, on or after August 5, 1996, made an investment of $20 million or more, or any combination of investments of at least $10 million each that in the aggregate equals or exceeds $20 million in any 12-month period, that directly or significantly contributes to the enhancement of Iran's ability to develop petroleum resources of Iran.

_____ Yes   _____ No

FOR A YES ANSWER TO ANY QUESTION 6.13 to 6.14,

Attach a separate sheet that provides a brief explanation of the facts, and identifies by name, location and number the proceeding, the names of the parties involved, the dollar amount being claimed from or by your firm, and the present status of the proceeding. Attach explanations of any lawsuits alleging negligent or defective work or breach of contract on the
part of your firm. Do not include lien matters, automobile accident cases, or Workmen's Compensation cases.

6.13 Has a court or other tribunal or panel issued a judgment or an award against the firm or its predecessor in the past five years?

_____ Yes  _____ No

6.14 Is the firm or its predecessor currently a party to a pending lawsuit arbitration or other proceeding?

_____ Yes  _____ No

Section 7 – Performance Bond and Payment Bond

7.1 Prequalification is contingent upon the applicant having a surety (performance and payment) bond capacity authorized by a surety acceptable to University of Illinois. The Contractor submits the name of the following surety meeting the requirements set forth in Article 4.2.G of the Instructions to Bidders who will provide a performance bond and payment bond to the Owner in event that the Contractor is awarded a contract.

Name of Firm  ______________________________________
Specific Surety Name  ______________________________________
Street Address          ______________________________________
City, State, Zip                   ______________________________________
Telephone Number                ______________________________________
Telefax Number                             ______________________________________
Local Broker/Agent  ___________________________________________________
Contact Person              ___________________________________________________
Street Address            ___________________________________________________
City, State, Zip             ___________________________________________________
Telephone Number       ___________________________________________________
Telefax Number           ___________________________________________________

7.2 Surety's Rating in A.M. Best's Insurance Guide:

Rating Classification: _______________    Financial Size Category: _______________
**Note:** A.M. Best's rating classifications are a letter designation ranging from A++ to F. A.M. Best's financial size categories are a Roman numeral designation ranging from I to XV. The Contract Documents require that sureties be rated as A-, VI or better.

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<th>Bank Name</th>
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<td>City, State, Zip</td>
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<td>Contact Person</td>
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Section 8 – Summary of Work Experience

8.1 Firms may be prequalified in any of the forty-seven (47) categories listed below according to experience. Please indicate in which category/ies the firm intends to bid. For EACH trade indicated, firms will be required to provide recent, relevant construction experience on the following page.

- Division 1 - General Work
- Division 2 - Plumbing Work
- Division 3 - Heating A/C Temp Control Work
- Division 4 - Ventilation Work
- Division 5 - Electrical Work
- Division 6 - Sprinkler Work
- Division 7 - Temperature Control Work
- Division 8 - Test/Balance Work
- Division 9 - Elevator Work
- Division 10 - Access Flooring Work
- Division 11 - Building Signage-Interior Work
- Division 12 - Carpentry Work
- Division 13 - Carpet/Resilient Flooring Work
- Division 14 - Ceiling Work
- Division 15 - Concrete Work
- Division 16 - Demolition Work
- Division 17 - Drywall Work
- Division 18 - Excavation Work
- Division 19 - Fire Protection Work
- Division 20 - Flooring Work
- Division 21 - Hardscape Work
- Division 22 - Landscaping Work
- Division 23 - Masonry Work
- Division 24 - Miscellaneous Metals Work
- Division 25 - Painting Work
- Division 26 - Roofing Work
- Division 27 - Site Work
- Division 28 - Structural Steel Work
- Division 29 - Utility Site Work-Electrical
- Division 30 - Utility Site Work-Gas
- Division 31 - Utility Site Work-Heating
Division 32 - Utility Site Work-Plumbing
Division 33 - Utility Site Work-Water
Division 34 - Utilities Site Work
Division 35 - Windows/Entrances Work
Division 36 - Telecommunications Work
Division 37 - Telecomm Copper Media Ex
Division 38 - Telecomm Emergency Phone
Division 39 - Telecomm Networking
Division 40 - Telecomm Underground Infrastructure
Division 41 - Telecomm Wiring-Exterior
Division 42 - Telecomm Wiring-Interior
Division 43 - Other Telecommunications Work
Division 44 - Other Work
Division 45 – Environmental/Asbestos Abatement Work
Division 46 – Power Plant Work
Division 47 – Kitchen Equipment
8.2 **Similar contracts completed within the last five years (list at least 10):**

<table>
<thead>
<tr>
<th>Project and Location</th>
<th>Contract Type and Final Amount</th>
<th>Start and Completion Dates*</th>
<th>Name and Phone # of Owner &amp; Professional Services Consultant References</th>
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8.3 **Contracts under construction:**

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<th>Project and Location</th>
<th>Contract Type, Current Amount, &amp; % Complete</th>
<th>Start and Completion Dates*</th>
<th>Name and Phone # of Owner &amp; Professional Services Consultant References</th>
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*month/year

8.4 **Contracts pending:**

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<tr>
<th>Project and Location</th>
<th>Contract Type and Amount</th>
<th>Expected Start and Completion</th>
<th>Name and Phone # of Owner &amp; Professional Services Consultant References</th>
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Section 9 – Signature Block

9.1 As a condition of prequalification, the Contractor agrees that it:

A. Has read, understands, and will comply with all instructions pertaining to this statement.
B. Will notify the Owner within five business days of any material changes to the information contained in this statement.
C. Will, upon request, provide the Owner with financial statements within ten business days.
D. Will adhere to all provisions of the Illinois Procurement Code.
E. Will adhere to all provisions of the Drug Free Workplace Act.
F. Will adhere to all provisions of the Prevailing Wage Act.
G. Is approved by and registered with the U. S. Department of Labor’s Bureau of Apprenticeship and Training for the same trade(s) in which the Contractor will perform work. Proof of Compliance – Apprenticeship and Training Program 
H. Agrees that if any of the above conditions is violated by the firm or if any responses are found to be materially untrue, the prequalification of the firm will be suspended.
I. Authorizes the surety and local broker/agent listed in Item 7.1 and the bank listed in Item 7.3 to provide any and all information regarding the firm to the Owner, as a condition of the firm’s prequalification.
J. Will adhere to the requirements of the Substance Abuse Prevention on Public Works Projects Act (820 ILCS 265), and shall include with this Annual Prequalification Statement a written substance abuse prevention program that meets or exceeds the requirements of the Act.
K. Certifies that it has complied with the disclosure requirements of Section 50-36 of the Illinois Procurement Code (30 ILCS 500/50-36) requiring companies seeking to do business with Owner to make certain disclosures related to the conduct of business with the nation of Iran.
L. Will adhere to the requirements of Public Act 95-0971, ‘Registration of Business Entities,’ which amends the Illinois State Procurement Code (30 ILCS 500) by adding sections 20-160 and 50-37, for registration and certification with the Illinois State Board of Elections.

9.2 Signature - FORM MUST BE SIGNED BY THE FIRM’S PRESIDENT, VICE-PRESIDENT or CEO (if corporation), PARTNER (if partnership), or SOLE OWNER (if sole proprietorship).

I hereby certify that all of the information contained in this prequalification statement is true and complete, and that I have authority to execute this document on behalf of this firm.

Signed
Name
Title

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