

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 days** prior to your first anticipated bid opening date. Allow 30 days for processing.

Forms and instructions are available online at:

<http://www.oregon.gov/ODOT/CS/CONSTRUCTION/Pages/Prequalification.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 and filing fee will be returned by mail 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 Outdated forms or pages will not be accepted.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.**
- Send an **original** signed application. Copied or faxed signatures will not be accepted. 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.
- **If a section does not apply, enter "n/a."**
- **Effective 04/29/2016 (Per OAR 731-007-0530) prequalification filing fee is \$200 and Prequalification is valid for two years.**

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- Enter today's date. ODOT will notify you of your expiration date in your prequalification approval letter.
- 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.
- Mark your business structure.
- If application is for a joint venture, mark the appropriate box. Contact ODOT for additional information.
- Mark the purpose(s) of your application and the first anticipated bid opening date, if known.
- 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, 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.

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Section 9, Supplemental Questions:

All questions 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/HWY/SPECS/Pages/bid_item_lists.aspx

REFERENCES

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 the link at the top of the page.

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Section 12 & 13: Space for you 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.

Make Check Payable to ODOT

Mail Application and check to:

Oregon Department of Transportation
Construction Contracts Unit MS#2-2
3930 Fairview Industrial Drive SE
Salem, OR 97302-1166

Questions? Call 503-986-2710

KEEP THIS AS YOUR RECEIPT

CHECK #

DATE SENT



OREGON DEPARTMENT OF TRANSPORTATION
**PRIME CONTRACTOR
 PREQUALIFICATION APPLICATION**

Make check payable to: ODOT

Filing Fee \$200

**Submit application and check to:
 Oregon Department of Transportation**

FSB Date

Initials

ODOT Procurement Office – Construction Contracts Unit, MS#2-2
 3930 Fairview Industrial Drive SE
 Salem, OR 97302-1166
 Phone: 503-986-2710
 Website: www.oregon.gov/ODOT/CS/CONSTRUCTION

A. Date: _____ **Expiration Date:** _____
Enter today's date To be completed by ODOT

B. Application of: _____
Legal Business Name (as shown on your federal form W-9)

Assumed Business Name(s) (Complete Section 6)

List previous business names of your organization: _____

C. Business Structure (Check one):

- Oregon Corporation
- Foreign Corporation
- Limited Liability Company (LLC)
- Limited Liability Partnership (LLP)
- Limited Partnership (LP)
- General Partnership
- Individual Sole Proprietorship

D. Joint Venture

E. Purpose of Application (Check all that apply):

- ODOT Projects**
 1st anticipated bid opening date _____
- Local Government Projects**
 1st anticipated bid opening date _____
- Other Government Projects**
 1st anticipated bid opening date _____

F. Address:

Physical address, city, state, zip (No P.O. Boxes)			
Mailing address, city, state, zip			
Phone		Fax	

PERSON COMPLETING APPLICATION:

Name		Phone	
Email		Fax	

PERSON TO APPEAR ON PLANHOLDERS LIST (attach additional sheets if necessary):

Name		Phone	
Email		Fax	

To be completed by ODOT:

RECEIPT DATE #1	RECEIPT DATE #2	RECEIPT DATE #3	RECEIPT DATE #4

SOS _____ / CCB _____ / CCB _____ / BOLI _____ / SAM _____
APPROVAL/LAST RECPT DATE / INIT _____ ADD #1 DATE _____ / INIT _____ DESC: _____
REVIEW DATE / INIT _____
ELIGIBILITY DATE _____ ADD #2 DATE _____ / INIT _____ DESC: _____
VENDOR NO. _____
DATA ENTRY DATE / INIT _____ CHECK SENT TO FSB: DATE _____ / INIT _____

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

1 If an Oregon corporation, complete this section	<input type="checkbox"/> NA
Date Corporation was registered with Secretary of State _____	
President _____	Secretary _____
1st Vice President _____	Treasurer _____
<u>CONTRACT EXECUTION - List of Authorized Personnel</u>	
A) President and Secretary (Both President and the Secretary of the corporation are required to sign ODOT contracts and performance and payment bonds unless certified, true and correct copy of corporate bylaws, resolutions, or minutes state otherwise and are attached to this prequalification.) <i>Signatures are preferred in blue ink.</i>	
Printed name of President _____	Signature _____
Printed name of Secretary _____	Signature _____
B) Are other officers besides the President and Secretary of your company authorized to execute contracts? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, list below and attach certified, true and correct copy of corporate bylaws, resolutions, or minutes stating that authority.	
Printed name and title _____	Signature _____
Printed name and title _____	Signature _____
Printed name and title _____	Signature _____
Printed name and title _____	Signature _____
C) Are any of the officers (listed above in A & B) authorized to sign and execute contracts and bonds on behalf of the company without the signature of others? <input type="checkbox"/> Yes <input type="checkbox"/> No	
IF YES, YOU MUST ATTACH CORPORATE BYLAWS, RESOLUTIONS, OR MINUTES STATING THIS AUTHORITY TO SIGN ALONE ON BEHALF OF THE CORPORATION IN THE CORPORATE BYLAWS OR MINUTES.	
<u>BID EXECUTION - List of Authorized Personnel</u>	
Signatures of all individuals (INCLUDING ANY OFFICERS LISTED ABOVE) authorized to execute Bids on behalf of the company shall be listed in this section, including any officers listed above 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 _____

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

2 If a foreign (out of state) corporation, complete this section

NA

When incorporated _____

President _____ Secretary _____

1st Vice President _____ Treasurer _____

CONTRACT EXECUTION - List of Authorized Personnel

A) President and Secretary (**Both President and the Secretary of the corporation are required to sign ODOT contracts and performance and payment bonds unless certified, true and correct copy of corporate bylaws, resolutions, or minutes state otherwise and are attached to this prequalification.**) *Signatures are preferred in blue ink*

Printed name of President _____ Signature _____

Printed name of Secretary _____ Signature _____

B) Are other officers besides the President and Secretary of your company authorized to execute contracts?
 Yes No **If yes, list below and attach certified, true and correct copy of corporate bylaws, resolutions, or minutes stating that authority.**

Printed name and title _____ Signature _____

Printed name and title _____ Signature _____

Printed name and title _____ Signature _____

Printed name and title _____ Signature _____

C) Are any of the officers (listed above in A and B) authorized to sign and execute contracts and bonds on behalf of the company without the signature of others? Yes No

IF YES, YOU MUST ATTACH CORPORATE BYLAWS, RESOLUTIONS, OR MINUTES STATING THIS AUTHORITY TO SIGN ALONE ON BEHALF OF THE CORPORATION IN THE CORPORATE BYLAWS OR MINUTES.

BID EXECUTION - List of Authorized Personnel

Signatures of all individuals (**INCLUDING ANY OFFICERS LISTED ABOVE**) authorized to execute **Bids** on behalf of the company shall be listed in this section, including any officers listed above and those individuals with a 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 _____

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? Yes No

Sec. of State
 Phone: 503-986-2200

Department of Revenue
 Phone: 503-378-4988

Website: www.filinginoregon.com

Website:
www.oregon.gov/DOR

3 If a limited liability company, limited liability partnership or a limited partnership complete this section NA

Check One: Limited liability company Limited liability partnership Limited partnership

Have you registered with the Oregon Secretary of State, Corporation Division, Business Registry?
 Yes No

Name and address of organizer:

SUBMIT ARTICLES OF ORGANIZATION AND OPERATING AGREEMENTS THAT INDICATE THE AUTHORITY TO SIGN CONTRACTS AND BONDS. If the Contractor is an LLP, or LP, an authorized representative of **each** Entity comprising it shall sign the Contract, Performance Bond, and Payment Bond. **If any representative is authorized to execute contracts without the signature of others, this must be stated in the Articles of Organization and Operating Agreements.**

Printed names, titles and signatures (*Signatures are preferred in blue ink*) of personnel authorized to **EXECUTE CONTRACTS**:

Printed name and title _____ Signature _____

Printed name and title _____ Signature _____

Are other representatives besides those listed above able to execute contracts? Yes No
If yes, submit names, titles and signatures separately.

Printed names, titles and signatures of personnel authorized to **EXECUTE BIDS**
Signatures of all individuals (**INCLUDING ANY OFFICERS LISTED ABOVE**) authorized to execute **Bids** on behalf of the company shall be listed in this section, including those individuals with a 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 _____

4 If a general partnership, complete this section

NA

Date of Organization _____

If a foreign (out of state) co-partnership or persons engaging in business in the state under an assumed name, but not domiciled within this state, is the partnership or business organization registered as required in compliance with Chapter 648, Oregon Revised Statutes? Yes No N/A

Names and addresses of partners:

If the Contractor is a partnership or limited liability partnership, an authorized representative of **each** Entity comprising it shall sign the Contract, Performance Bond, and Payment Bond, and an authorization to sign shall be attached. **If only one partner is signing, then bylaws or minutes must include the authority to sign without the signature of others.**

Printed names, titles and **signatures** of partners authorized to **EXECUTE CONTRACTS**. *Signatures are preferred in blue ink.*

Printed name of partner

Signature

Printed name of partner

Signature

Bylaws or Minutes Submitted: (Check one) Yes No (Only submit if signatures differ from above)

Printed names, titles and **signatures** of personnel authorized to **EXECUTE BIDS**

Signatures of all individuals **(INCLUDING ANY OFFICERS LISTED ABOVE)** authorized to execute **Bids** on behalf of the company shall be listed in this section, including any officers listed above 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

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

5 If doing business as a sole proprietorship, complete this section

NA

Name of individual liable for all obligations of the business: _____

If applicant is a sole proprietor using an assumed business name, please list name below:

Secretary of State registration date: _____ Expiration date: _____

Printed name and title

Signature

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

6 If doing business under an assumed business name, complete this section

NA

Assumed business name: _____

Owner's name and address: _____

Oregon Secretary of State Corporation Division's Registration
Number: (www.filinginoregon.com/bizreg/index.htm)

Renewal
Date:

Assumed business name: _____

Owner's name and address: _____

Oregon Secretary of State Corporation Division's Registration
Number: (www.filinginoregon.com/bizreg/index.htm)

Renewal
Date:

If you have additional assumed business names, attach a sheet with business information.

7 OWNERSHIP AND CONTROL (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

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- 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

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- 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?
 Yes No If yes, please list below in space provided.

Individual's Name	Present Position or Office	Other Firm or Firms	Position in Other Firm(s)	State of Other Firm(s)

8 LICENSES AND REGISTRATIONS

Oregon Secretary of State Corporation Division – Active Business Registry No.

http://www.filinginoregon.com/pages/business_registry/index.html

Phone: 503-986-2200

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

Oregon Construction Contractors Board No.

www.ccb.state.or.us

Phone: 503-378-4621

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).

Oregon Business Landscape Contractors

License No. and company name:

**Individual Landscape Contractor License No.
and name:**

www.lcb.state.or.us

Phone: 503-986-6561

Oregon Electrical Contractor License No. and company name:

Supervisor's License No. and name :

<http://www.cbs.state.or.us/external/bcd/>

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:

<http://www.cbs.state.or.us/external/bcd/>

Building Codes Division phone: 503-378-4133

Other License No. and name or type:

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?
 Yes No

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?
 Yes No

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

Comments:

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. If more space is required, attach additional sheets. A more detailed listing of bid items can be found at: https://www.oregon.gov/ODOT/HWY/SPECS/Pages/bid_item_lists.aspx

For Each Class of Work:

If your prequalification has been expired for more than 6 months or have never been prequalified by ODOT, you will need to submit three reference forms per class of work when submitting your prequalification application. Reference instructions and forms can be found at: <http://www.oregon.gov/ODOT/CS/CONSTRUCTION/Pages/Prequalification.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
<input type="checkbox"/> (AB) Aggregate Bases	_____
<input type="checkbox"/> (AC) Rock Production (Aggregate Crushing, Sanding Rock)	_____
<input type="checkbox"/> (ACP) Asphalt Concrete Paving and Oiling (Paving, Chip Sealing, Crack Sealing, Slurry Sealing, Fog Sealing)	_____
<input type="checkbox"/> (BLD1) Buildings (Toilets, Bathhouses, Maintenance, Sand Sheds)	_____
<input type="checkbox"/> (EART) Earthwork and Drainage (Clearing, Earthwork, Blasting, Riprap, Culverts, Manholes, Inlets, Storm Sewers, Sanitary Systems)	_____
<input type="checkbox"/> (ELEC) Electrical (Traffic Signals, Illumination, Ramp Meters, Roadway Weather Information Systems (RWIS), Variable Message Signs (VMS), Traffic Cameras)	_____
<input type="checkbox"/> (LS) Landscaping (Roadside Seeding, Lawns, Shrubs, Trees, Irrigation Systems, Topsoil, Temporary and Permanent Erosion Control)	_____
<input type="checkbox"/> (MHA) Miscellaneous Highway Appurtenances (Guardrail, Barrier, Curbs, Walks, Fences, Protective Screening, Impact Attenuators, Cold Plane Pavement Removal, Rumble Strips)	_____
<input type="checkbox"/> (PAI1) Painting (Bridges and Buildings)	_____
<input type="checkbox"/> (PAVE) Pavement Markings (Permanent - Painted, Durable, Markers, Delineators)	_____
<input type="checkbox"/> (PCP) Portland Cement Concrete Paving	_____
<input type="checkbox"/> (REIN) Bridges and Structures (Concrete, Steel, and Timber Bridges, Retaining Walls and Soundwalls; Seismic Retrofit; Box Culverts; Structural Plate Pipe, and Pipe Arches)	_____
<input type="checkbox"/> (SIGN) Signing (Permanent)	_____
<input type="checkbox"/> (TTC) Temporary Traffic Control (All Temporary Traffic Control Items Including Flaggers and Pilot Cars)	_____
<input type="checkbox"/> (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 EXPERIENCE

A. How many years has applicant been 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 EXPERIENCE – 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

13 GENERAL REMARKS

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 AFFIDAVIT

STATE OF _____)

County of _____)

ss.

I, _____ being first sworn, state that I am

_____ of the applicant herein and that the statements made in
(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 Signature

My commission expires _____