



Contractor Pre-Qualification Application

Knoxville Utilities Board (“KUB”) reserves the right to examine provided information and documentation provided by Contractor to establish Contractor eligibility to move forward in the Pre-Qualification process. Submission of an application does not guarantee that the submitting company will become a Pre-Qualified Contractor with KUB. Additional information may be requested at KUB’s discretion.

Knoxville Utilities Board (“KUB”) has the right to consider factors including, but not limited to, financial capability, reputation, appropriate licensure, recognized competence and integrity, qualifications, experience, and management capabilities.



Contractor Pre-Qualification Application

Please complete all sections. Questions and the completed application should be sent to kubprequal@kub.org
Please note that applications must be completed within one year of submission. A new application will be required after that one-year period.

Date Submitted by Contractor: _____

BASIC COMPANY INFORMATION

Legal Name of Business: _____

Street Address (Not a P.O. Box): _____

City: _____ State: _____ Zip Code: _____

Principal (headquarters) Office Mailing Address: _____

City: _____ State: _____ Zip Code: _____

Contact Mailing Address: _____

City: _____ State: _____ Zip Code: _____

Company Federal ID#: _____

Number of Years Company has been in Business: _____

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

Current Year	_____ Office	_____ Crafts	_____ Total
Prior Year	_____ Office	_____ Crafts	_____ Total

Number of employees at the location that will serve KUB. Please provide number for the last two years: _____

*If the location that will serve KUB is the principal office, please enter "N/A"

Current Year	_____ Office	_____ Crafts	_____ Total
Prior Year	_____ Office	_____ Crafts	_____ Total



COMPANY CONTACT INFORMATION: List the representatives from your company that you would like to receive information from KUB. Please remember to update information with KUB personnel (kubprequal@kub.org) during the initial pre-qualification process and following pre-qualification approval (if received).

<u>OWNER OR OWNER'S REPRESENTATIVE'S INFORMATION</u>	
Name: _____	
Business Address: _____	
Phone Number: _____	Email: _____

<u>ADMINISTRATIVE CONTACT INFORMATION (WILL BE KUB'S MAIN POINT OF CONTACT)</u>	
Admin. Contact Name: _____	
Title: _____	
Business Address: _____	
Phone Number: _____	Email: _____

<u>SAFETY MANUAL</u>	
Does your company have a written safety program?..... <input type="checkbox"/> Yes <input type="checkbox"/> No	

LICENSE INFORMATION (Please note that the company that is getting pre-qualified must be the company that appears on the license.)

TN License Number	TN License Classification(s)	TN License Monetary Limit	TN License Expiration Date



CATEGORY SELECTION: Select all categories that your company would like to be considered for. Please note that unlimited categories require an unlimited monetary limit on the company's TN Contractor's License. Bonding and other provided information may also be looked at to determine if a company is eligible for an unlimited category. Companies should also be prepared to provide 3 distinct references per selected category.

KUB 2.0 Wastewater Division

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

KUB 3.0 Water Division

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

KUB 4.0 Gas Division

- 4.2 Gas Utility Construction, Unlimited (all pipe sizes, all pipe materials):** Includes Conventional Trenching and Boring (Auger and Directional Drilling) for Installation of all Pipe Sizes and materials as specified. Includes Construction of Gas Pressure Regulator Stations, Mainline Construction, Commercial and Residential Service lines.
- 4.3 Gas Utility Construction, No Bid Limit and Nominal 4 inch and under pipe sizes:** Includes Conventional Trenching and Boring (Auger or Directional Drilling), Mainline Construction, Commercial and Residential Service lines.

KUB 5.0 Electric Division

- 5.2 Electric Utility Construction, Unlimited 161KV:** Includes all Construction and Maintenance of KUB Overhead and Underground Electric Distribution and Transmission Systems up to 161KV. (Certain Large-scale projects may require project specific prequalification and are subject to separate requirements).
- 5.3 Electric Utility Construction, \$225,000.00 Bid Limit and 13.2KV:** Includes all Construction and Maintenance of KUB Overhead and Underground Electric Distribution System up to 13.2KV. Includes setting pad mounted and overhead transformers, primary and secondary wiring, and connections for residential and light commercial applications.
- 5.4 Electric Utility Substation Construction, Unlimited:** Includes all Construction and Upgrades to KUB Substations and Substation Systems (Substation projects may require project specific prequalification and are subject to separate requirements)
- 5.5 Electric Utility Construction, Unlimited 600VAC:** Includes all Construction, Maintenance, and Renovation of KUB Electric Systems up to 600VAC. Includes Plant, Pump Station, and Street Lighting Applications.
- 5.6 Electric Utility Construction, \$225,000.00 Bid Limit and 600VAC limit:** Includes all Construction, Maintenance, and Renovation of KUB Electric Systems up to 600VAC. Includes Plant, Pump Station, and Street Lighting Applications.



KUB 6.0 Vegetation Management Program

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

KUB 7.0 Paving

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

KUB 8.0 Fiber

- 8.1 Fiber Optic System Outside Plant Construction, Unlimited:** Includes all Construction and Maintenance of KUB overhead and underground fiber optic systems. Including placement of steel messenger strand and lashing of fiber optic cable, conventional trenching and boring (auger and directional drilling) of communication conduits and placement of fiber optic cable.

- 8.2 Fiber Optic System Outside Plant Construction, \$150,000 bid limit:** Includes all Construction and Maintenance of KUB overhead and underground fiber optic systems. Including placement of steel messenger strand and lashing of fiber optic cable, conventional trenching and boring (auger and directional drilling) of communication conduits and placement of fiber optic cable.

- 8.3 Fiber Optic Outside Plant Fusion Splicing and Testing:** Includes all construction and maintenance fiber optic fusion splicing and testing of KUB's outside plant Fiber Optic Network. Splicing to include splicing single strand and mass fusion splicing, reel end and ring cut splices, and network access point (NAP) or (terminal) splicing. Testing to include light loss, OTDR, and polarization testing on optical paths.

LEGAL INFORMATION: Please provide all requested information.

Completed By: _____ **Title:** _____

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

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

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

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

5. During the past five years has your firm, on any project for which you have been contracted to perform work:

a. Been issued a stop work notice? Yes No

b. Received a citation(s) from any governmental or regulatory authority related to your firm's work?
 Yes No

c. Been assessed a penalty, fine, or liquidated damages arising out of or related to your firm's work?
 Yes No

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



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

7. Does your firm have any legal issues or constraints that could impact its performance on this project?

Yes No

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

9. In the past five years prior to the date of this application, has your firm, or any owner who is not also an employee of your firm ever been convicted of willfully violating a federal or state law?

Yes No



Company Finances, Bonding and Insurance: Please Fill in All Information

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

Value of Assets Owned by Firms: \$ _____

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

FY 20 ____ \$ _____ FY 20 ____ \$ _____ FY 20 ____ \$ _____

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

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

Is your company bonded? Yes No *If no, please skip to Ability to Bond Section

Bonding Company: _____

Contact: _____ Phone: _____

Current Aggregate Bonding Capacity of Firm: _____ Currently Bonded: _____

Single Project Limit: _____

Number of Years Contractor has used this Bonding Company: _____

BONDING INFORMATION CONTINUED

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

Yes No

Explanation, if Yes: _____

2. In the past five years, has any surety company refused to bond the firm for any project? (if yes, please attach the claim(s), the name of the company or person making the claim, and the resolution.)

Yes No

Explanation, if Yes: _____

ABILITY TO BE BONDED

If your company is currently not bonded, is your company able to be bonded if awarded?

Yes No N/A



INSURANCE INFORMATION

Award of Contractor's bid obligates Contractor to supply a Certificate of Insurance (COI) to KUB as additional insured for the categories and limits defined in the bid documents and delivered with Contractor's executed bid documents.

Insurance Company:

Contact: _____ Phone: _____

1. Does Contractor have, or is eligible to obtain, Railroad Liability Insurance, if required?

Yes No

2. Does Contractor have, or is eligible to obtain, Environmental Pollution Liability Insurance, if required?

Yes No

TENNESSEE DRUG FREE WORKPLACE COMPLIANCE

Does Contractor's firm employ 5 or more employees?

Yes No

If yes, does your workplace have a Drug Free Workplace program in accordance with Title 50, Chapter 9 of the Tennessee Code?

Yes No

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

(If already state certified, please submit documentation. However, state certification is not necessary for placement into KUB's Supplier Outreach Program.)

Is Contractor classified as minority owned business (MBE)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is Contactor classified as women owned business (WBE)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is contractor classified as a small business (SBE)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

USE OF SUBCONTRACTORS. Does your firm 100% self-perform?

If no, please list the types of subcontractors your firm regularly hires (this is only for informational purposes collected for our Supplier Outreach Program):

Date Reviewed by KUB:



Glossary

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

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

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

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