



**APPLICATION FOR PREQUALIFICATION CERTIFICATE
FOR CONTRACTORS, SUBCONTRACTORS AND
JOINT VENTURES**

State Form 35153 (R13/11-15)

NEW _____
RENEWAL _____

PUBLIC WORKS DIVISION
402 WEST WASHINGTON STREET, ROOM W467
INDIANAPOLIS, INDIANA 46204-2746

CERTIFICATION BOARD
INDIANA DEPARTMENT OF ADMINISTRATION

PERSON SUBMITTING _____

FIRM NAME _____

STREET ADDRESS _____

MAILING ADDRESS _____

CITY _____ STATE _____ ZIP CODE _____

AREA CODE & PHONE NUMBER _____

FAX NUMBER _____

DATE SUBMITTED _____

FEDERAL I.D. NUMBER _____

E-MAIL ADDRESS _____

BIDDER ID NUMBER _____

Certification with the State of Indiana is required by the Public Works Division, Department of Administration of all contractors and subcontractors bidding or performing work under contract to the State of Indiana which is estimated to be in excess of One Hundred Fifty Thousand Dollars for the construction of buildings or other projects, for the State of Indiana excepting Highways, bridges, state colleges and universities or separate entities not subject to the authority of Public Works Division, Department of Administration as established in IC 4-13.6.

IC 4-13.6-4 establishing certification is intended to acquaint the State with those firms who wish to engage in state work and to assure the citizens of the State of Indiana that those firms are capable.

IC 4-13.6-4-4 states "A certificate of qualification issued under this chapter is valid for a period of twenty-seven (27) months from the date of its issuance, unless revoked by the board for cause."

This application **MUST BE FULLY COMPLETED** and submitted to the Certification Board a **MINIMUM OF THIRTY (30) DAYS BEFORE THE BID OPENING DATES** for which the applicant proposes to bid. Mail the application to the address given below.

The enclosed Affidavit, Authorization for Release of Information and Affirmation of Truthfulness of Information must be fully executed by person(s) authorized to sign such documents.

If your questions are not answered herein, please contact:

Executive Secretary
Certification Board
402 West Washington Street, Room W467
Indianapolis, Indiana 46204-2746
(317) 232-3005

GENERAL INSTRUCTIONS FOR PREQUALIFICATION WITH THE CERTIFICATION BOARD

The Board is expressly empowered to investigate all applicants. By submitting this Application the applicant does hereby authorize the Board to obtain additional information deemed necessary to determine competence, experience, past performance, reputation for honesty and fair dealing with customers, surety companies, material and equipment suppliers, or other persons having business transactions with the applicant.

Applicants shall submit all requested information and include a complete coverage of the nature and dollar volume of work previously completed, or to be completed under current contracts.

CLASSIFICATIONS

After careful examination and review of the experience data submitted by the contractor or subcontractor, an applicant will be classified as to the type of work upon which the applicant may bid or perform work for the State of Indiana.

In addition to the data required for the prequalification booklet all out-of-state contractors and subcontractors doing business as a corporation must furnish with this booklet, a current certificate from the Indiana Secretary of State authorizing the corporation to do business in this state according to IC 4-13.6-4-7, or verification that the applicant is not required to register under current Indiana Corporation Law.

In determining the classification of each applicant, major consideration will be given to experience. The experience assessment will include the applicant's performance of private work as well as that performed for governmental agencies. All work experience shall be referenced to the applicable classification number requested for certification. Each work category requested must show project/s where the contractor's work force performed the requested work category.

Applicant is advised as per IC 4-13.6-4-10: A contractor may enter into a subcontract with a value of One Hundred Fifty Thousand Dollars (\$150,000) or more, involving the performance of any part of the public work upon which the contractor may be engaged only when the subcontractor is properly qualified under the terms of this chapter for the work to be done.

When the project is estimated to exceed One Hundred Fifty Thousand Dollars (\$150,000) in cost no contractor may bid on work for which classification the firm has not been prequalified. No subcontractor may perform work over One Hundred Fifty Thousand Dollars (\$150,000) unless prequalified.

IC 4-13.6-4-5 (b) states “each applicant must supply a list of at least five (5) specific projects that the applicant has completed within the past (5) years”. Be sure to list five (5) projects completed in the past five (5) years that indicate proficiency in the categories requested.

Do not deviate from the requirements set forth in this document or the requirements of the Certification Board without justification and a written explanation.

RENEWALS

Certificate renewals will be subject to the rules and regulations in effect at the expiration of the certificate period. Renewal is the responsibility of the applicant. Notice of expiration will not be made by the Certification Board.

JOINT VENTURES

Firms may join together to form a joint venture for a specific project, and the parties to the joint venture may become prequalified with the Certification Board in the name of the joint venture. The prequalification shall be for one project only. New prequalification is required for each joint venture project even though the same firms or persons are involved.

1. WORK IN WHICH THE FIRM SPECIALIZES

It is the intent of the Board to certify firms in categories in which they have successfully completed projects and in which the state has needs. The work experience shown on pages 10, 11 & 12 must correlate with the categories requested.

Firms should request certification in those categories in which they actively seek and perform work in the commercial market. As an example: A general contractor (1542) might do the carpentry work with his own force on his jobs, but would not otherwise actively seek carpentry work. The Board would thus not certify the firm for carpentry work (1751). However, this would not prohibit the firm from doing carpentry work on state projects where they were the general contractor.

List below those categories from the classification schedule, **Attachment A**, in which you wish to be prequalified. Use six digit category numbers. (See IC 4-13.6-4-5 requirements on page 4 of this application.)

- 1. _____
- 2. _____
- 3. _____
- 4. _____

2. HOME OFFICE

Firm Name _____

(If a Joint Venture, the Joint Venture Name) _____

Address _____

City _____ State _____ Zip Code _____

Telephone Number _____

3. BRANCH OFFICES

Address	Telephone	In Charge
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4. TYPE OF ORGANIZATION (check one)

Individual____Partnership____Corporation____Joint Venture____

Other (please explain)_____

SPECIAL CLASSIFICATION (if applicable)

Minority Business Enterprise____Women Business Enterprise____
Indiana Veteran Business Enterprise_____

5. CORPORATIONS

A. Year incorporated_____

B. State in which incorporated_____

C. Is the corporation currently in good standing with the Indiana Secretary of State? Yes____No____. If no, please contact Indiana Secretary of State's Office to correct current standing and attach a current copy of Good Standing Certificate with this application.

D. If an out-of-state corporation, give date of authorization to do business in the State of Indiana._____

NOTE: Out-of-State corporations must attach hereto a copy of their certification from the Indiana Secretary of State's office authorizing them to do business in the State of Indiana.

6. CO-PARTNERSHIPS/JOINT VENTURES

A. Date of organization_____

B. Which partners are other than general partners?_____

7. OWNERSHIP IDENTIFICATION

Individual Name & Address	%Owned
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8. ACTIVE PARTNERS OR OFFICERS OF THE FIRM OR JOINT VENTURE

Name and Address	Title	%Interest
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9. OTHER CONSTRUCTION-RELATED BUSINESS OPERATED BY ABOVE

Name	Business	%Interest
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10. List all officers or agents of your firm authorized to sign contracts, change orders and other documents which your firm may be required to execute in accordance with any Public Works' project. Unless the Certification Board and the Department of Administration, Public Works Division is notified in writing to the contrary, the documents signed by such individual designated herein will represent binding commitments on the applicant. List full name of person(s), their title(s) and any limitations involved.

11. DESCRIPTION OF FIRM

Please give a brief summary of the type of work performed by this firm.

12. GENERAL

- A. In what year was your organization or joint venture formed?_____
- B. How many years has your organization or joint venture been in business under its present name and without interruption?_____
- C. Organization functions mainly as a Contractor___Subcontractor___
- D. Percentage of the construction work performed by your forces (a minimum of 15% is required as per IC 4-13.6-4-10):

Subcontracted out_____% Work by own forces_____%
- E. Have you been certified in any other state? Yes____No____.
If "yes" give state(s) and dates certified _____

- F. Give the average yearly dollar volume of work for the past five (5) years_____
- G. Average number of employees on your payroll for the past five (5) years_____

13. Has any officer or partner of your organization(s) failed to complete a construction contract handled under any name? Yes____ No____.
If "Yes", state the name of the individual, the owner, and the reason(s).

14. Has this firm ever failed to complete any work awarded to you? Yes____No____. If "Yes", please indicate the project and the reason(s).

15. Are you now in dispute or litigation with the State of Indiana, or any Cities, Counties, Townships, or School Corporations? Yes___No___. If “Yes”, attach copies of claim, lien, complaint or judgement.
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16. Has your firm relied upon a Surety Company to complete a project within the last five (5) years? Yes___No___. If yes, provide the name of the Surety company and attach a narrative description of the circumstances and conclusion.

17. Within the last five (5) years have you been in litigation with any dealers of equipment, suppliers of materials or subcontractors? Yes___No___. If “Yes”, state all firm names and explain in full.

18. Has your firm or any “person” (as that term is defined in IC 4.13-6-1-10) associated with your firm, been convicted of violating IC 4-13.6-4-10 (entering into a contract with a subcontractor who is not prequalified with a subcontract over \$150,000) or IC 4-13.6-4-12 (to knowingly make false statements on any written instrument filed by applicant to the board)? Yes___No___. Violation of the above may cause a two (2) year penalty period on the applicant from bidding on Public Works’ projects. If “Yes”, indicate below and explain in full.

19. Applicant must attach current dated original letter from applicant’s Surety Company stating that your firm can be bonded for a single project in excess of \$150,000 and stating the maximum per job, total bonding capacity for work in process. This letter must refer to applicant’s complete name and address, must be signed by an authorized agent of the Surety Company, signature must be notarized and Power of Attorney must be attached. Financial Statements are no longer required with application. Please see **Attachment B** for example of surety letter.

*If you are requesting prequalification in 1542.00 your surety letter must indicate that your firm can be bonded in excess of \$10,000,000 for 1542.00A or \$1,000,000 for 1542.00B in addition to normal requirements.

**If you are requesting prequalification in 1711.00 or 1731.00, your surety letter must indicate that your firm can be bonded in excess of \$1,000,000 in addition to normal requirements.

***If you are requesting prequalification in 1711.01 you must submit a copy of your plumbing license from the Indiana Plumbing Commission.

20. Previous or current work contracted with the Public Works Division, Indiana Department of Administration.

For each project listed, please identify dollar amount performed in each 6 digit category being requested.

Project Name or Project No.	Six Digit Category No.	Agency	\$Amount	Year
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21. Other State work, local government work and U.S. government work performed within the past five (5) years over \$150,000.

For each project listed, please identify dollar amount performed in each 6 digit category being requested.

Name of Government Entity Contact person, Address, Phone No.	Six Digit Category No.	\$Amount	Year Started/ Completed
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22. Private work performed within the past five (5) years over \$150,000 in the requested categories.

For each project listed, please identify dollar amount performed in each 6 digit category being requested.

Name of private individual or Firm Contact person, Address, Phone No.	Six Digit Category No.	\$Amount	Year Started/ Completed
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CERTIFICATION BOARD – PREQUALIFICATION
AFFIDAVIT, AUTHORIZATION FOR RELEASE OF INFORMATION
AND AFFIRMATION OF TRUTHFULNESS OF INFORMATION

STATE OF)
) SS:
COUNTY OF)

The undersigned, being duly sworn, deposes and says:

1. That I am empowered to authorize the release of information pertaining to the following firm:

2. That any firm, corporation or business entity having business transactions with the above applicant firm is hereby authorized to release any and all information in their possession to any person named by the Certification Board.

3. That I have read the foregoing application and under the penalties for perjury, I affirm that the information contained within said application herein submitted to be true and complete.

Signature_____

Applicant Firm_____

(Printed name and title of Signatory)

Before me a Notary Public in and for said county and state personally appeared this_____day of_____, _____who acknowledged the foregoing.

Notary Public Signature_____

Notary Public Printed Name_____

County of Residence_____

My Commission Expires_____

(Seal)

“ATTACHMENT A”

GROUP 1 – GENERAL CONTRACTORS – BUILDING CONSTRUCTION

Residential

- 1521.00 Apartment Buildings, Hotels and Motels
- 1521.01 Single and Multi-Family Homes
- 1521.02 Additions, Alterations, Remodeling and Repair

Industrial Buildings

- 1541.01 Industrial Plants and Warehouses
- 1541.03 Additions, Alterations, Remodeling and Repair

Institutional and Commercial

- 1542.00A Institutional Buildings (Hospitals, Schools, Prisons) in excess of \$10,000,000. A minimum of five completed “Institutional” projects in excess of \$10,000,000 over the past five (5) years is required to obtain this category. Also, see additional surety requirement. (Approval in this category will also obtain 1542.00B, 1542.01, 1542.02, and 1542.04)
- 1542.00B Institutional Buildings (Hospitals, Schools, Prisons) in excess of \$1,000,000 up to \$10,000,000. A minimum of five completed “Institutional” projects in excess of \$1,000,000 over the past five (5) years is required to obtain this category. Also, see additional surety requirement. (Approval in this category will also obtain 1542.01, 1542.02, and 1542.04)
- 1542.01 Institutional Buildings (Hospitals, Schools, Prisons)
- 1542.02 Commercial Buildings (Offices, Stores, Restaurants)
- 1542.04 Additions, Alterations, Remodeling and Repairs

GROUP 2 – GENERAL CONTRACTORS – CONSTRUCTION OTHER THAN BUILDINGS

Road and Parking Lot Construction

- 1611.01 Concrete Construction of Roads and Curbing
- 1611.02 Asphalt Construction of Roads and Parking Lots
- 1611.04 Guard Rail and/or Fence Construction

Bridge, Tunnel and Elevated Highway Construction

- 1622.01 General Contractors engaged in the construction of projects such as bridges, viaducts, elevated highways; and highway, pedestrian, railway tunnels and Earth Retention Structures.

Utilities

- 1623.01 Power Lines
- 1623.02 Television and/or Radio Transmission Towers
- 1623.03 Sewers and/or Water Lines
- 1623.04 Sewer Maintenance and Rehabilitation

Construction, Not Elsewhere Classified

- 1629.01 Caisson Drilling
- 1629.03 Dam and Dike Construction
- 1629.04 Dredging
- 1629.05 Sewage & Water Treatment Plant Construction
- 1629.06 Pile Driving
- 1629.08 Swimming Pool Construction

GROUP 3 – SPECIAL TRADE CONTRACTORS

Plumbing and HVAC (Heating, Ventilating and Air Conditioning)

- 1711.00 HVAC work in excess of \$1,000,000.00 (A minimum of five completed “Institutional” projects in excess of \$1,000,000 over the past five (5) years is required to obtain this category. Also, see additional surety requirement. (Approval in this category will also obtain 1711.02)
- 1711.01 Plumbing ***Plumbing license is required from the Indiana Plumbing Commission**
- 1711.02 Heating, Ventilating, and Air Conditioning Systems
- 1711.03 Heating, Ventilating, and Air Conditioning Sheet Metal Work
- 1711.04 Refrigeration
- 1711.05 Sprinkler and/or Fire Suppression Systems
- 1711.06 Piping Insulation

Boilers

- 1712.01 Boiler System Installation

Painting and Paper Hanging

- 1721.01 Painting of Buildings and Other Structures
- 1721.03 Paper Hanging
- 1721.04 Decorative Painting

Electrical

- 1731.00 Electrical work in excess of \$1,000,000. A minimum of five completed "Institutional" projects in excess of \$1,000,000 over the past five (5) years is required to obtain this category. Also, see additional surety requirement. (Approval in this category will also obtain 1731.01)
- 1731.01 Electrical work in excess of \$150,000
- 1731.02 Sound Equipment
- 1731.03 Telephone and Communication Equipment and other low voltage
- 1731.06 Security Systems and Controls
- 1731.07 Fire Alarms
- 1731.09 High Voltage Electrical Work

Masonry and Other Stonework

- 1741.01 Brick and Block Laying
- 1741.04 Stone Work
- 1741.05 Tuckpointing and Masonry Repair

Drywall, Acoustical and Insulation

- 1742.01 Drywall Construction
- 1742.02 Acoustical Work
- 1742.03 Building Insulation

Terrazzo, Tile, Marble and Mosaic

- 1743.01 Tile Setting
- 1743.02 Terrazzo Work
- 1743.03 Marble Work
- 1743.04 Mosaic Work

Carpentry

1751.01 Rough Carpentry

1751.02 Finish Carpentry

Floorwork

1752.01 Resilient Floor Laying

1752.02 Carpet Laying

1752.03 Wood Flooring

Roofing

1761.01 Membrane Roofing Work

1761.02 Built up Roofing Work

1761.03 Shingle Roofing Work

1761.04 Roofing Sheet Metal Work

Concrete Work

1771.01 Concrete Construction

1771.02 Gunite Work

1771.03 Grouting Work

1771.04 Stucco Construction

1771.05 Precast Concrete Prison Cells

1771.06 Architectural Precast Concrete

1771.07 Structural Precast Concrete

Structural Steel Erection

1791.01 Erection of Building Structural Steel

1791.02 Erection of Steel Plate Storage Tanks

Glass and Glazing Work

1793.01 Glass and Glazing Work

1793.02 Curtain Wall

Earth Work

1794.01 Earthmoving and Land Clearing

1794.02 Excavation

Wrecking and Demolition Work

1795.01 Demolition of Buildings and Other Structures

1795.02 Demolition of Pavements and Roads

Installation of Building Equipment

1796.02 Elevators

1796.03 Kitchen and Food Service Equipment

1796.04 Furniture and/or Other Office Equipment

1796.05 Laboratory Equipment

1796.06 Laundry Equipment

1796.07 Security Hardware and Equipment

1796.08 Warehouse Equipment

GROUP 4 – SPECIAL TRADE CONTRACTORS (1799)

Special Trade Contractors, Not Elsewhere Classified

- 1799.01 Asbestos Remediation (Certification from the Indiana Department of Environmental Management must be included)
- 1799.02 Hazardous Material Management and Remediation
- 1799.03 Installation and/or Removal of Underground Storage Tanks (Certification from the Indiana Fire Marshal Office must be included)
- 1799.04 Mine Reclamation
- 1799.05 Water Well Services
- 1799.06 Oil Well Services
- 1799.07 Shell Structures
- 1799.08 Interior and/or Architectural Exterior Restoration
- 1799.09 Boat Docks
- 1799.10 Landscaping, Seeding, and Sodding
- 1799.11 Ornamental Iron Work
- 1799.12 Signage
- 1799.13 Mine Grouting (Backfilling)
- 1799.14 Monumental Landscape Maintenance
- 1799.15 Greenhouses
- 1799.16 Elevated Water Tower Painting
- 1799.17 Golf Courses

- 1799.18 Building Systems Management (Applicant must have five (5) years of experience in building systems management including computer scheduling, reporting and preventive maintenance service. Applicant must also provide proof of service for three (3) building systems management contracts with each amount equal to or more than three hundred thousand and no/100 dollars (\$300,000)
- 1799.19 Exhibit Construction
- 1799.20 Heavy Timber Frame Construction
- 1799.21 Tree Removal
- 1799.22 Wetland, Stream, and Upland Restoration and Mitigation
- (a) Provide 3 references for similar projects that include ecological restoration/mitigation site development work which you have worked on in the past 5 years. Include project descriptions and locations.
- (b) Provide employee references. Include description of education, background, and experience performing ecological restoration/mitigation site construction work.

ATTACHMENT B

**EXAMPLE OF ACCEPTABLE LETTER
FROM AUTHORIZED SURETY COMPANY
FOR CONTRACTOR PREQUALIFICATION**

(SURETY COMPANY LETTERHEAD)

Current Date

Certification Board
Public Works Division
Indiana Government Center South
402 W. Washington Street, Room W467
Indianapolis, Indiana 46204-2716

RE: CONTRACTOR FULL NAME AND ADDRESS

In compliance with Indiana Senate Enrolled Act 508 – Public Works Prequalification of Contractors, this letter will serve to confirm that at this time the above captioned contractor qualified for Performance Bonds in excess of \$150,000, subject to a single job limit of \$_____, and an aggregate limit of \$_____for bonded work in progress.

Sincerely,

Signatory for Bonding Company

***MUST BE A NOTARIZED ORIGINAL
*MUST HAVE POWER-OF-ATTORNEY ATTACHED**