



**APPLICATION
for
CONTRACTOR
PREQUALIFICATION
for
DEMOLITION**

**Submit to:
Arizona Department of Transportation Infrastructure
Delivery and Operations Contracts and Specifications
Section
1651 West Jackson Street, Room 121-F
Phoenix, Arizona 85007-3217**

NAME OF APPLICANT _____

MAILING ADDRESS _____

(CITY) **(STATE)** **(ZIP CODE)**

TELEPHONE NO. () _____

NAME OF CONTACT PERSON _____

(PRINT)

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INSTRUCTIONS AND INFORMATION FOR FILING APPLICATION FOR CONTRACTOR PREQUALIFICATION FOR DEMOLITION

APPLICATION FOR PREQUALIFICATION

All persons/firms desiring to offer bids for demolition work advertised by the Department must first make application for prequalification. Bids will not be accepted from anyone who has not been prequalified for demolition. Application forms are available from the Contracts and Specifications Section website on the internet at <http://www.azdot.gov/business/ContractsandSpecifications/prequal.asp>.

The completed application is intended to develop information relative to the contractor's experience, organization and other pertinent and material facts to acquaint the Department with the contractor's qualifications for performing demolition work of the type and magnitude that might be offered for bid. The application is to be accompanied by a full financial statement on the accountant's own forms provided that these forms are in substantial compliance with the American Institute of Certified Public Accountants Professional Standards, including the balance sheet and related statements of income, retained earnings and cash flows, that shows the current financial condition of the contractor.

PREQUALIFICATION FOR DEMOLITION

Contractors must be prequalified for Demolition prior to submitting a bid on a demolition project with the Department. In order to become prequalified to bid on a demolition contract, contractors must complete the Application for Contractor Prequalification for Demolition and be approved for all three (3) classes of Demolition: Residential Demolition; and Commercial Demolition; and Manufacturing Demolition.

Prequalification with Contracts and Specifications for "All Classes" does not qualify a contractor to bid on a demolition contract. Prequalification specific to Demolition is required.

FILING OF STATEMENTS

Prequalification applications may be filed with the Department at any time. Applicants will be notified of the Department's decision approximately 30 days after the Department reviews a complete application. The Department at any time may request additional information to supplement the statement submitted.

PERIOD OF PREQUALIFICATION

Prequalification applications will be reviewed by the Department and the parties making application will be notified of the Department's decision in writing. Prequalification applications will be considered valid for 15 months from the date of the financial statement.

SUBMITTAL OF FINANCIAL STATEMENTS

The contractor shall submit the financial statement on the accountant's letterhead. The financial statements must be in compliance with the American Institute of Certified Public Accountants Professional Standards.

Assets such as negotiable securities or construction equipment shall be reflected at cost or book value in the statement of financial condition. When assets are appraised by an independent appraiser, such value may be submitted as additional information.

The consideration of a financial statement is set forth in the Rules of Prequalification for Contractors, Subsection R17-3-202 E.

NESHAP

In order to be eligible for consideration for prequalification to bid on demolition projects advertised by the Department, firms must employ at least one AHERA-Certified individual. Individual(s) must have Arizona AHERA-Certification and the certification must be current. Firms without an AHERA-Certified individual employed and available to oversee demolition work will not be prequalified for demolition.

EXPERIENCE

In order to become prequalified with the Department for demolition, the contractor shall provide documented demolition project experience, with the contractor's own staff, for all three (3) types of demolition projects: Residential, Commercial (minimum 10,000 square feet) and Manufacturing (minimum 40,000 square feet) buildings.

The contractor's statement of experience of work for each contract completed as a prime contractor on demolition projects shall include information as to the contract amount, type of work performed, and date of completion, along with the contact information for the owner of the work. In lieu of any prime contract work, a similar statement of experience of work for each contract completed as a subcontractor on demolition projects should be provided for subcontractor demolition work successfully completed.

The completed demolition project experience record shall include the major demolition projects completed within three years from the date of application. Additional information covering experience may also be submitted.

SAFETY EXPERIENCE

In order to become prequalified with the Department for demolition, the contractor shall submit a statement of safety experience. The contractor's statement of safety experience shall include the following information:

A discussion of the applicant's approach to safety; and a discussion of the development of a project-specific safety plan. Include one project-specific safety plan.

The resume of the firm's safety officer(s), and a list of all OSHA-qualified "Competent Persons" employed by the firm; and documentation of the firm's safety record for the past five years, including a copy of the firm's OSHA Form 300A Summary of Work Related Injuries and Illnesses along with the Worker's Compensation Experience Modifier Rate (EMR) Certification for each of the last five years and providing an explanation for any EMR greater than 1.00.

LICENSING

A contractor's commercial license to do work in Arizona is required prior to award of a contract. License applications may be obtained from the Registrar of Contractors, 800 W. Washington, 6th Floor, Phoenix, AZ 85007, Phone (602) 542-1502.

EQUIPMENT

A list of the major items of construction equipment owned or controlled by the contractor shall be furnished including information as to age, purchase price, accumulated depreciation and net book value.

CORPORATION EVIDENCE OF AUTHORITY

List the individual(s) authorized to sign and submit proposals, contracts, and contract bonds on the Evidence of Authority form and provide original signatures for each individual.

BID SUBMITTAL

The contractor shall submit bid proposals using the exact name as shown on the contractor's Application for Contractor Prequalification for Demolition.

GENERAL INFORMATION

Conducting Business As:

Individual

Partnership

Corporation

Other (Specify) _____

MAIN OFFICE LOCATION

BUSINESS NAME: _____

STREET ADDRESS: _____

_____ City State Zip

MAILING ADDRESS: _____

_____ City State Zip

PHONE NO.: () _____

FAX NO.: () _____

EMAIL ADDRESS: _____

NAME OF CONTACT PERSON: _____

OTHER ADDRESSES AND PHONE NUMBERS: (If different than above)

1. Is this the applicant's first request for prequalification with the Arizona Department of Transportation?

Yes No

2. Does the applicant plan to bid an ADOT project as a prime contractor within the next 12 months?

Yes No

3. Has any officer or partner of the applicant ever applied for prequalification with the Arizona Department of Transportation under a different name?

Yes No

If yes, give details:

4. How long has the applicant been doing business as a contractor under the applicant name? _____

As a prime contractor? _____ As a subcontractor? _____

5. Is the applicant licensed as a contractor in Arizona?

Yes No

If yes, give License Number(s) and Classification(s):

Lic No. _____ Class _____ Lic No. _____ Class _____

Lic No. _____ Class _____ Lic No. _____ Class _____

6. Has the applicant, or any subsidiary or affiliate of the applicant, ever been denied contractor prequalification by any local, state, or federal agency?

Yes No

If yes, give details:

7. Has the applicant, or any subsidiary or affiliate of the applicant, ever been removed from the approved bidders list by any local, state or federal agency?

Yes No

If yes, give details:

8. Has any officer or partner of the applicant been an officer or partner in some other firm that has either been denied contractor prequalification or has been removed from the approved bidders list by any local, state, or federal agency?

Yes No

If yes, give details:

9. Does the applicant have a financial interest or affiliation with any other firm which engages in any of the following: demolition, highway construction, or related industry (supplier, vendor, design engineering company, etc.)?

Yes No

If yes, give details:

10. Does any officer or partner of the applicant have a financial interest in or serve, in whole or in part, as an officer or partner in any other demolition or highway construction firm or in a related industry?

Yes No

If yes, give details:

11. List all companies, firms, or organizations that own any part of the applicant:

12. Has the applicant ever failed to complete a contract?

Yes No

If yes, give details:

13. Has the applicant ever performed demolition work as a prime contractor for the Department?

Yes No

If yes, give the details in the Statement of Experience on this Prequalification application.

NOTE: If additional space is needed, attach a separate sheet

2. **AHERA-Certified Individual(s)** employed by the applicant with current AHERA Certification:

A.			
	Name of AHERA-Certified Employee	Present Position	AHERA Certification Number and Year
B.			
	Name of AHERA-Certified Employee	Present Position	AHERA Certification Number and Year
C.			
	Name of AHERA-Certified Employee	Present Position	AHERA Certification Number and Year

NOTE: Attach a copy of the AHERA Certification card for each AHERA Certified Employee listed on this application.

3. **Residential Demolition:** Attach a representative list Residential Demolition projects completed with the applicant’s own staff. If the list includes an Arizona Department of Transportation Demolition Project, provide the Demolition number and the Parcel number.

Include a brief description of each project, including:

- type of the facility demolished
- number and square footage of buildings demolished
- major site improvements that were removed
- project location
- whether the work was performed as a prime contractor or subcontractor
- surface and subsurface conditions
- date of project completion
- contract amount
- client and owner name, address, telephone number and email address
- a discussion of the challenges specific to the project and how they were addressed

In evaluating the application for demolition prequalification, the Department will review the applicant’s experience in each of the following aspects of Residential Demolition:

- Demolition in restricted space where an adjacent or nearby structure was to remain in place
- Concrete foundations, slabs or driveways
- Perimeter fencing
- Sawcutting of block walls or structures
- Large trees and other landscaping
- Underground features such as sewer service lines, septic systems, pools

4. **Commercial Demolition:** Attach a representative list Commercial Demolition projects (minimum 10,000 square foot commercial building) completed with the applicant’s own staff. If the list includes an Arizona Department of Transportation Demolition Project, provide the Demolition number and the Parcel number.

Include a brief description of each project, including:

- type of the facility demolished
- number and square footage of buildings demolished
- major site improvements that were removed
- project location
- whether the work was performed as a prime contractor or subcontractor
- the surface and subsurface conditions
- date of project completion
- contract amount
- client and owner name, address, telephone number and email address
- a discussion of the challenges specific to the project and how they were addressed

In evaluating the application for demolition prequalification, the Department will review the applicant's experience in each of the following aspects of Commercial Demolition:

- Demolition in restricted space where an adjacent or nearby structure was to remain in place
- Concrete or asphalt foundations, built up foundations, slabs, parking areas or driveways
- Perimeter fencing
- Sawcutting of block walls or structures
- Concrete curbing and sidewalks
- Tilt-up walls
- Trusses; steel or wood
- Fire suppression systems
- Underground features such as sewer service lines, septic systems, pools

5. **Manufacturing Demolition:** Attach a representative list Manufacturing Demolition projects (minimum 40,000 square foot manufacturing building) completed with the applicant's own staff. If the list includes an Arizona Department of Transportation Demolition Project, provide the Demolition number and the Parcel number.

Include a brief description of each project, including:

- type of the facility demolished
- number and square footage of buildings demolished
- major site improvements that were removed
- project location
- whether the work was performed as a prime contractor or subcontractor
- the surface and subsurface conditions
- date of project completion
- contract amount
- client and owner name, address, telephone number and email address
- a discussion of the challenges specific to the project and how they were addressed

In evaluating the application for demolition prequalification, the Department will review the applicant's experience in each of the following aspects of Manufacturing Demolition:

- Demolition in restricted space where an adjacent or nearby structure was to remain in place
- Concrete or asphalt foundations, slabs, parking areas or driveways
- Perimeter fencing
- Sawcutting of block walls or structures
- Concrete, metal or tilt-up walls
- Trusses; steel or wood
- Fire suppression systems
- Underground features such as sewer service lines, septic systems, pools

6. **Safety Experience**

The contractor shall submit a statement of safety experience. The contractor's statement of safety experience shall include the following information:

- A discussion of the applicant's approach to safety.
- A discussion of the development of a project-specific safety plan. Include one project-specific safety plan.
- The resume of the firm's safety officer(s).
- A list of all OSHA-qualified "Competent Persons" employed by the firm.
- Documentation of the firm's safety record for the past five years. Include a copy of the firm's OSHA Form 300A Summary of Work Related Injuries and Illnesses along with the Worker's Compensation Experience Modifier Rate (EMR) Certification for each of the last five years. Provide an explanation for any EMR greater than 1.00.

FORMS

The applicant must show authority to submit and verify the application and to provide any additional information requested by the Department.

Affidavits are supplied for Individuals, Partnerships, and Corporations. If the applicant is not an individual, partnership or corporation then the applicant must supply a form that evidences the necessary authority.

AFFIDAVIT FOR INDIVIDUAL

STATE OF _____)
) ss:
COUNTY OF _____)

_____ being duly sworn, deposes and says that the foregoing application statements are true and that any depository, vendor or agency therein named is hereby authorized to furnish the Arizona Department of Transportation with any information necessary to verify this application.

(Name of Firm)

(Signature)

(Title)

(Signer's name typed/printed)

Subscribed and sworn to before me this

_____ day of _____ 20 _____

My Commission Expires: _____

Notary Public

AFFIDAVIT FOR PARTNERSHIP

STATE OF _____)
) ss:
COUNTY OF _____)

_____ being duly sworn, deposes and says that he/she is
a member of _____
(Name of Firm)

and says that the foregoing application statements are true and that any depository, vendor or agency therein named
is hereby authorized to furnish the Arizona Department of Transportation with any information necessary to verify
this application.

(Name of Firm)

(Date of Organization)

(Signature of above named partner)

(Partner name typed or printed)

(Signature)

(Partner name typed or printed)

(Signature)

(Partner name typed or printed)

(Signature)

(Partner name typed or printed)

(Signature)

(Partner name typed or printed)

Subscribed and sworn to before me this
_____ day of _____ 20 _____

My Commission Expires: _____

Notary Public

AFFIDAVIT FOR CORPORATIONS

STATE OF _____)
COUNTY OF _____) ss:

_____ being duly sworn, deposes and says that

he/she is _____
(Title)

of _____ and says that the foregoing
(Name of Firm)

application statements are true and that any depository, vendor or agency therein named is hereby authorized to furnish the Arizona Department of Transportation with any information necessary to verify this application.

(Date Incorporated)

(Signature of above named Officer)

Subscribed and sworn to before me this

_____ day of _____ 20 _____

My Commission Expires: _____

Notary Public

President Name (Typed or Printed)

Vice President Name (Typed or Printed)

Secretary Name (Typed or Printed)

Treasurer Name (Typed or Printed)

NOTE:

If a corporation is incorporated in any state other than the State of Arizona, the corporation shall submit to the Department prior to the award of contract, proof from the Arizona Corporation Commission that it has been granted authority to do business in the State of Arizona.

**EVIDENCE OF AUTHORITY OF APPLICANT
FOR PREQUALIFICATION FOR DEMOLITION**

The following individual(s) are authorized to execute, sign and submit proposals, contracts and contract bonds on behalf of the applicant.

1.	_____	_____	_____
	(Print Name)	(Signature of Authorized Officer)	(Title)
2.	_____	_____	_____
	(Print Name)	(Signature of Authorized Officer)	(Title)
3.	_____	_____	_____
	(Print Name)	(Signature of Authorized Officer)	(Title)
4.	_____	_____	_____
	(Print Name)	(Signature of Authorized Officer)	(Title)
5.	_____	_____	_____
	(Print Name)	(Signature of Authorized Officer)	(Title)
6.	_____	_____	_____
	(Print Name)	(Signature of Authorized Officer)	(Title)

NOTE:

It is the responsibility of the applicant to notify the Department of any changes of signing authority.

ARIZONA DEPARTMENT OF TRANSPORTATION
INTERMODAL TRANSPORTATION DIVISION
RULES FOR PREQUALIFICATION OF CONTRACTORS
(R17-3-201 thru R17-3-204)

R17-3-201. General

A. Definitions

1. "Application" means a request for contractor prequalification, consisting of an application booklet available from the Department's office of Contracts and Specifications, and a financial statement prepared according to the requirements of this subsection and R17-3-202.
2. "Board" means the Contractor Prequalification Board.
3. "Compiled financial statement" means a financial statement prepared for form, appropriateness, and arithmetic accuracy. It does not express an opinion or provide any assurance regarding the financial statement.
4. "Contractor" means the individual, partnership, firm, corporation, joint venture, or any combination acceptable to the Department, that seeks to contract with the Department for constructing or reconstructing state transportation facilities, unless the context requires otherwise.
5. "Contractor prequalification" means the Department's process of review and evaluation of a contractor's work history and current financial condition before a contractor is allowed to submit a proposal for constructing or reconstructing state transportation facilities.
6. "Department" means the Arizona Department of Transportation.
7. "Examined financial statement" means a financial statement that includes the amounts and disclosures in the firm's financial statement, an assessment of the accounting principles used and the significant estimates made by management, and an evaluation of the overall financial statement presentation.
8. "Financial statement" means a financial report prepared according to generally accepted accounting principles by an independent certified public accountant or an independent public accountant. The financial statement includes a cover letter on the accountant's letterhead, a balance sheet, a statement of cash flows, an income statement, and all notes and appropriate supporting schedules.
9. "Joint venture" means the combination of two or more contractors for the purpose of submitting a proposal to the Department and performing a contract for constructing or reconstructing state transportation facilities.
10. "Prequalification amount" means the dollar limitation of each contract, based on the Department's estimate of contract value, for which a contractor may submit a proposal to the Department for constructing or reconstructing state transportation facilities.
11. "Reviewed financial statement" means a financial statement that includes an inquiry of company personnel, and a review of the analytical procedures applied to the financial data. It does not express an opinion regarding the financial statement taken as a whole.
12. "State Engineer" has the meaning in A.R.S. § 28-6901(3).

B. Contractor Prequalification Board

1. The State Engineer shall appoint the Board to consider and decide on applications for contractor prequalification.
2. The Board will be comprised of three Department employees, one of whom shall be a professional engineer, registered by the Arizona Board of Technical Registration, and one a certified or licensed public accountant.
3. The Board's authority to determine prequalification does not limit the Department's ability to establish additional criteria for contracts.

R17-3-202. Contractor Prequalification

A. Criteria. An applicant for contractor prequalification shall include on the application and the Board shall consider the following information in determining the prequalification amount for a contractor:

1. Key personnel and their work experience.
2. Organizational structure.
3. History of past or current projects and contracts.
4. Company affiliations.
5. Equipment owned or controlled.
6. Any applicable licenses.
7. Type of work requested.
8. Individuals authorized to act on behalf of the contractor.
9. Any prequalification or bidding disputes with a government agency, and
10. Financial condition.

~~B. Joint Ventures.~~ NOT APPLICABLE TO DEMOLITION

- ~~1. Each contractor in a proposed joint venture shall be prequalified. The joint venture shall submit a joint venture statement of intent at least 5 calendar days before the applicable bid opening date.~~
- ~~2. If one or more of the parties to the joint venture are corporations, a copy of a resolution from the Board of Directors authorizing the corporation to enter into the joint venture and execute all contract documents shall be submitted with the statement of intent.~~
- ~~3. Contractors operating as a joint venture on a continuing basis may file for prequalification as a joint venture.~~
- ~~4. The Board may allow a contractor operating as a joint venture to prequalify for a pro rata share of the entire contract amount. The percentage share of work shall not exceed each individual contractor's prequalification amount.~~

C. Prequalification Expiration and Extension.

1. Prequalification expires 15 months after the end of a contractor's fiscal year, as reflected on the financial statement. Due to the time necessary to prepare an examined financial statement, the Board may grant up to a 60 day extension on the expiration of prequalification, if:
 - a) The contractor submits a letter from its accountant stating the reasons for delay in preparing the examined financial statement, and
 - b) The letter from the accountant states the anticipated completion date of the examined financial statement, and
 - c) The contractor submits an interim compiled or reviewed financial statement that was prepared within the previous six months.
2. The Board will notify each contractor in writing of its decision on the contractor's prequalification amount.

~~D. Classification of Contractors.~~ NOT APPLICABLE TO DEMOLITION

~~The Board shall categorize contractors into the following classifications:~~

- ~~1. **Inexperienced firms:** Firms that have no experience as contractors in transportation facilities construction work.~~
- ~~2. **New firms:** Recently organized firms that have officers with experience with other contractors in positions of responsibility for transportation facilities construction.~~
- ~~3. **Unknown firms:** Firms that have experience as contractors but have not completed a transportation facilities construction contract as a contractor for the Department within the past five years or at any time.~~
- ~~4. **Known firms:** Firms that have successfully completed at least one transportation facilities construction contract within the past five years as a contractor for the Department.~~

E. Classification of Financial Statements.

1. All financial statements shall be examined, reviewed, or compiled according to generally accepted accounting principles, by either an independent certified public accountant or an independent public accountant, registered and licensed under the laws of any state. A contractor shall not submit a financial statement prepared by either a certified or public accountant who is directly or indirectly interested in or affiliated with the business of the contractor.
2. A contractor that submits a compiled financial statement will be limited to a maximum prequalification amount of \$300,000.
3. A contractor that submits a reviewed financial statement will be limited to a maximum prequalification amount of \$1.5 million.
4. A contractor that desires a prequalification amount in excess of \$1.5 million shall submit an examined financial statement.

F. ~~Prequalification Limits.~~ NOT APPLICABLE TO DEMOLITION

~~In determining the prequalification amount for each contractor, the amount set by the Board may be less than the maximum amount set out in this subsection due to the Board's evaluation of the contractor's information under R17-3-202(A).~~

- ~~1. **Inexperienced firms.** An inexperienced firm will be limited to a maximum prequalification amount of \$300,000 until the contractor has satisfactorily completed at least one transportation facilities construction contract for any public agency.~~
- ~~2. **New firms.** A new firm will be limited to a maximum prequalification amount of five times the firm's net worth.~~
- ~~3. **Unknown firms.** An unknown firm will be limited to a maximum prequalification amount of five times the firm's net worth or the amount of the largest transportation facilities construction contract it has successfully completed as a contractor for any other public agency, whichever is larger.~~
- ~~4. **Known firms.** A known firm will be limited to a maximum prequalification amount of ten times the firm's net worth. An unlimited prequalification amount may be granted if the product of ten times the firm's net worth exceeds \$100 million.~~
- ~~5. **All firms.** Evidence of additional assets pledged in behalf of a contractor or letters from a contractor's surety company may be considered in establishing higher prequalification amounts than stated in subsections (F)(2) through (F)(4). A parent company that pledges assets in behalf of a contractor shall submit a financial statement.~~

G. Reconsideration of Prequalification Determination

1. If a contractor is dissatisfied with the Board's decision, the contractor may request in writing a hearing, within 15 days of receiving the Board's decision. The hearing shall be conducted under A.R.S. § 41-1062. The letter shall indicate the basis for the request and shall provide supportive data. The Board shall review the request and accompanying information and decide on the request within 30 calendar days of its receipt.
2. If the contractor is still dissatisfied with the decision of the Board, the contractor may appeal to the State Engineer. The Board shall notify the contractor about the appeal procedures.

H. Issuance of Bidding Documents. A contractor shall not request bid documents for a contract for which it is not prequalified.

I. NOT APPLICABLE TO DEMOLITION

~~The Department may waive the prequalification requirement on an individual contract when it is in the best interest of the state. The advertisement for bids shall identify if prequalification is waived.~~

R17-3-203. Reduced Prequalification Amounts or Disqualifications

- A. The Board may reduce the prequalification amount of a contractor already prequalified or disqualify a contractor from bidding if a contractor:
1. Falsifies any document or misrepresents any material fact in the information furnished to the Department;
 2. Fails to enter into a contract with the Department;
 3. Defaults on a previous contract with any public agency;
 4. Has an unsatisfactory work performance record with the Department on the basis of workmanship, competent superintendence, adequate and proper equipment, timely completion, or failure to submit required documentation for closing out a contract; or
 5. Fails to provide notification to the Board, within 30 calendar days of occurrence, of any change in ownership, corporate officers or general partners, bankruptcy, receivership, court supervised reorganization, or the entry of a judgement in a judicial or administrative proceeding adverse to the contractor.
- B. The Board shall notify a contractor in writing of its intention to reduce the prequalification amount or to disqualify a contractor. The Board's notice to reduce prequalification or to disqualify a contractor shall become a final determination unless the contractor requests a hearing with the Board within 20 calendar days after receiving such notification. The Board shall notify the contractor about the hearing procedures.
- C. The contractor may appeal the Board's decision to the State Engineer. The Board shall notify the contractor about the appeal procedures.

R17-3-204. Access to Department Prequalification Files

Prequalification files are considered to be strictly confidential. The files will be available only to:

1. Members of the Board,
2. The Director of the Department or any authorized agents of the Department,
3. Members of the Arizona State Transportation Board,
4. The division administrator of the Federal Highway Administration or any authorized representatives,
5. Agents of surety upon the filing of an application for bond duly signed by an authorizing party of the prequalified firm contractor,
6. Members of the Arizona State Board of Accountancy or their duly authorized representatives, and
7. The contractor that is the subject of the file.