



Cornell University

Engineering & Project Management

Cornell University

Facilities and Campus Services

102D Humphreys Service Building

639 Dryden Rd

Ithaca, NY 14853-3701

P: 607.255.0272

CONTRACTOR'S QUALIFICATION STATEMENT

Please complete this Contractor Qualification form and the information on the following link:

[Contractor Qualification Process](#)

Official Company Name:

1. ORGANIZATION

- 1.1 How many years has your organization been in business as a Contractor?
- 1.2 How many years has your organization been in business under its present business name?
 - 1.2.1 Under what other or former names has your organization operated?
- 1.3 If your organization is a corporation, provide the following:
 - 1.3.1 Date of incorporation:
 - 1.3.2 State of incorporation:
 - 1.3.3 President's name:
 - 1.3.4 Vice-President's name(s):
 - 1.3.5 Secretary's name:
 - 1.3.6 Treasurer's name:
- 1.4 If your organization is a partnership, provide the following:
 - 1.4.1 Date of organization:
 - 1.4.2 Type of Partnership (if applicable):
 - 1.4.3 Name(s) of general partner(s):
- 1.5 If your organization is a sole proprietor, provide the following:
 - 1.5.1 Date of organization:
 - 1.5.2 Name of Owner:
- 1.6 If the form of your organization is other than those listed above, describe it and name the principals:
- 1.7 What is your organization's current Union Status? Please list current trade affiliations.
*(This information is optional here as it is required to be provided electronically via the data fields titled **Trade Status and Trade Affiliation.**)*
- 1.8 Diversity:
 - 1.8.1 Are you a minority or disadvantaged business?
If yes, please include a copy of your certification or application for certification.

2. LICENSING

- 2.1 List jurisdictions and trade categories in which your organization is legally qualified to do business, and indicate registration or license numbers, if applicable.
- 2.2 List jurisdictions in which your organization's partnership or trade name is on file.

3. EXPERIENCE

- 3.1 List the categories of work that your organization normally performs with its own forces. *(This information is optional here as it is required to be provided electronically via the multi-pick list data field titled **Secondary Specialty**.)*
- 3.2 Claims and Suits. (If the answer to any of the questions below is yes, please attach details).
 - 3.2.1 Has your organization ever failed to complete any work awarded to it?
 - 3.2.2 Are there any judgements, claims, arbitration proceedings or suits pending or outstanding against your organization or its officers?
 - 3.2.3 Has your organization filed any lawsuits or requested arbitration with regard to construction contracts within the last five years?
 - 3.2.4 Have you ever failed to complete a contract, been defaulted, or had a contract terminated? (If the answer is yes, please attach details.)
 - 3.2.5 In the past five years, have you had liquidated damages assessed against you upon completion of a project? (If the answer is yes, please attach details.)
 - 3.2.6 In the past five years, has your company, or any of its key personnel, been investigated for or found to have committed a violation of any labor law? (If the answer is yes, please attach details.)
 - 3.2.7 In the past five years, has your company, or any of its key personnel, been investigated for or found to have committed a serious OSHA violation? (If the answer is yes, please attach details.)
 - 3.2.8 In the past five years, has your company, or any of its key personnel, been investigated for or found to have committed a violation of state, federal or local environmental protection laws? (If the answer is yes, please attach details.)
- 3.3 Within the last five years, has any officer or principal of your organization ever been an officer or principal of another organization when it failed to complete a construction contract? (If the answer is yes, please attach details.)
- 3.4 On a separate sheet, list five (5) major construction projects your organization has in progress, giving the name of project, owner, architect, general contractor, contract amount, percent complete and scheduled completion date. **(Please include email address for each contact person listed.)**
 - 3.4.1 State total worth of work in progress and under contract.

- 3.5 On a separate sheet, list the five (5) major projects your organization has completed in the past two years, giving the name of project, owner, architect, general contractor, contract amount, date of completion and percentage of the cost of the work performed with your own forces. **(Please include email address for each contact person listed.)**
- 3.5.1 State average annual amount of construction work performed during the past five years.
- 3.6 On a separate sheet, list the construction experience and present commitments of the key individuals of your organization.
- 3.7 Provide at least three (3) firms that you consider competitors in the market place.

4. REFERENCES

- 4.1 Trade References (provide at least 3):
- 4.2 Bank References:
- 4.3 Surety:
- 4.3.1 Name of bonding company: *(This information is optional here as it is required to be provided electronically via the data field titled **Bonding Surety Company**.)*
- 4.3.2 Bonding capacity: *(This information is optional here as it is required to be provided electronically via the e-Builder Contractor Qualification process.)*
- 4.3.2.1 Per Project \$ _____
- 4.3.2.2 Aggregate \$ _____
- 4.3.3 Name and address of agent:

5. FINANCES

All information submitted under this section is handled as confidential materials.

5.1 Financial Statement:

- 5.1.1 Attach an **audited** financial statement with applicable notes, including your organization's latest balance sheet and income statement showing the following items:

Current Assets (e.g., cash, joint venture accounts, accounts receivable, notes receivable, accrued income, deposits, materials inventory and prepaid expenses);

Net Fixed Assets;

Other Assets;

Current Liabilities (e.g., accounts payable, notes payable, accrued expenses, provision for income taxes, advances, accrued salaries and accrued payroll taxes);

Other Liabilities (e.g., capital stock, authorized and outstanding shares par values, earned surplus and retained earnings.);

Retained Earnings;

Shareholders Equity;

Sales.

If your firm **does not have** an audited financial statement, please call FCS Finance and Administration at 607-255-5699 for further instruction.

- 5.1.2 Name and address of firm preparing attached financial statement, and date thereof:
- 5.1.3 Is the attached financial statement for the organization named on Page 1?
- 5.1.4 If not, explain the relationship and financial responsibility of the organization whose financial statement is provided (e.g., parent, subsidiary).
- 5.2 Will the organization whose financial statement is attached act as guarantor of the contract for construction?

6. INSURANCE

- 6.1 Provide a Certificate of Insurance evidencing coverage's for General Liability, Automobile, Workers' Compensation and Excess liability. Such Certificate shall name Cornell University as an additional insured with respect to General Liability coverage and shall be applicable to all projects performed for the University. Such certificate shall include the following language:

This certificate shall cover any and all projects and/or services performed at Cornell University during the policy period. Cornell shall be an additional insured with respect to General Liability.

- 6.2 Insurance Policies

Upon the formal written request of the University, Contractor is required to submit a copy of its insurance policies and all riders, exclusions, and other policy attachments. Contractor shall have ten (10) business days to produce such documents unless prevented by circumstances beyond its control in which case the University shall extend the ten (10) days by a reasonable period of time upon the request of the Contractor. After ten (10) business days or the longer extended time as directed by the University, any failure of the Contractor to provide the requested documents or the provision of invalid documents shall be a material breach of the agreement and Contractor agrees to hold University harmless from any such breach including the cost of contract termination, University legal fees, work stoppage, schedule delays, and the increased cost of hiring of another Contractor to complete the contract.

7. HEALTH & SAFETY

- 7.1 List below your Company Worker's Compensation Insurance Experience Modification Rate (EMR) for the past three (3) years:

2 0 ____
2 0 ____
2 0 ____

- 7.3 Please identify the individual Cornell should contact if we have questions or need copies of reports relating to Health & Safety:

- 7.4 How often are site safety meetings held for field superintendents/foreman?

- 7.5 Please identify the individual responsible for Project Safety Inspections.

8. SIGNATURE

The undersigned certifies under oath that the information provided herein including any data fields entered into the electronic Contractor Pre-Qualification process, is true and sufficiently complete so as not to be misleading.

8.1 Dated at this _____ day of _____ 20____

Name of Organization: _____

Signature: _____

Title: _____

8.2 _____ being duly sworn deposes and says that the information provided herein is true and sufficiently complete so as not to be misleading.

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

Notary Public: _____

My Commission Expires: _____

Please combine this form and all other non financial documentation into one PDF, then upload to the Qualification Statement file field on the [Contractor Qualification Process](#)

Please upload your Financial Statement to the Financial Statement file field on the [Contractor Qualification Process](#)

Take the submit action in the process; this will send your information to us via e-Builder.