

_____, 20____

Mr. Mark H. Yehlen
Commissioner of Public Works
730 Washington Avenue
Racine, Wisconsin

Dear Mr. Yehlen:

Re: Submission of Pre-qualification Forms for the Year _____

Submitted herewith, in accordance with the provisions of Section 66.0901(2) of the Wisconsin Statutes not less than five (5) days prior to the time set for the opening of bids, please find our statement for your consideration in determining whether our firm is qualified and capable to bid, perform and furnish the necessary labor, materials and skill on the basis of our work record, experience, equipment and staff as required to enter upon and complete those various types of projects indicated below as may be awarded by the City of Racine during the current calendar year.

It is understood that the determinations and decisions of the City of Racine with regard to qualifications shall be final, and further, that the information herein will be considered confidential. A finding of "qualified" for one project does not bind the City of Racine on other projects, and the City of Racine expressly reserves the right to review and reverse its findings on later projects.

Sincerely yours,

Officer

Firm

Address

PREQUALIFICATION STATEMENT

There is submitted herewith for your consideration, in accordance with the provisions of Section 66.0901(2) of the Wisconsin Statutes not less than five (5) days prior to the time set for the opening of bids, pursuant to Section 66.0901 Wisconsin Statutes, a statement of qualifications of the undersigned to furnish the necessary labor, materials and skills required to enter upon and complete public works contracts to be let by the Department of Public Works.

I. Identification

A. Official Firm Name _____

B. Telephone _____ Fax No. _____

C. Address _____
 (Street) (City) (State) (Zip Code)

D. Number of years in business under present firm name _____

E. Class of work in which firm is seeking qualification _____

F. Please check (1), (2), (3):

(1) A Corporation ____ (2) A Co-Partnership ____ (3) An Individual ____

G. Principal Individuals:

(If a Corporation, answer below.)

(If a Co-Partnership, answer below.)

President _____

Name of Partner _____

Vice-Pres. _____

Name of Partner _____

Secretary _____

(If a Sole Trader, answer below.)

Treasurer _____

Name of Sole Trader _____

H. If a corporation, answer below:

(1) Licensed to do business in Wisconsin _____

(2) When Incorporated _____ (3) In what state _____

A. Tabulation of major contracts which firm has completed during past five years:

Year	Class of Work	Contract Amount	Location of Work	For Whom Performed Name/Mailing Address

B. Tabulation of Construction Experience of Principal Individuals in Organization:

Individual's Name	Present Position or Office	Years of Experience	Class of Work

Average number of employees during the last 12 months:

Office _____ Skilled _____ Unskilled _____

3. Equipment

A. List below major pieces of equipment owned and available when needed for proposed work:

Quantity	Item	Description, Size, Capacity, etc.	Condition (Good or Fair)	Years of Service

4. Contractual Responsibility

A. Has firm ever failed in the past ten years to complete, on time, work awarded to it?

If so, state:

(1) Date _____ (2) Owner _____

(3) Owner's Mailing Address _____
(At that time, or now—preferably now, if there is a difference.)

(4) Full particulars in each instance: _____

B. Has any officer or partner of firm ever failed in the past ten years to complete, on time, a construction contract handled in his own name?

If so, State:

(1) Date _____ (2) or Partner _____
Name of Officer

(3) Owner _____

(4) Owner's Mailing Address _____
(At that time, or now—preferably now, if there is a difference.)

(5) Full particulars in each instance: _____

C. Has any officer or partner of firm ever been an officer or partner of some other organization during the past ten years that failed to complete, on time, a construction contract? _____

If so, state:

(1) Date _____ (2) or Partner _____
Name of Officer

(3) Name and Mailing Address of Organization _____

(4) Name and Mailing Address of Owner _____

(Above addresses at that time, or now—preferably now, if there is a difference.)

(5) Full particulars in each instance: _____

D. Has firm asked to be relieved from a bid submitted by it to a public awarding authority during the past ten Years? _____

If so, state:

(1) Date _____ (3) Owner _____

(3) Owner's Mailing Address _____
(At that time, or now—preferably now, if there is a difference.)

(4) Full particulars in each instance: _____

E. Has firm ever been charged with, or convicted of, a violation of any wage schedule? _____

If so, state:

(1) Date _____ (2) Claimant _____

(3) Claimant's Mailing Address _____
(At that time, or now—preferably now, if there is a difference.)

(4) Full particulars in each instance: _____

5. Bonding responsibility

A. (1) Names and addresses of bonding companies which generally execute bid and surety bonds: _____

(2) Names and addresses of all bonding companies other than those listed in A (1) above which have written bid and surety bonds during the last five years: _____

B. Has any bonding company ever taken over a contract, or made any payments, because of firm's failure to carry out a contract? _____

If so, state:

(1) Date _____ (2) Name of Bonding Co. _____

(3) Bonding Company's Mailing Address _____

(4) Full particulars in each instance _____

6. Contractor's Financial Statement

- A. Itemize your current assets as of latest balance sheet date. Give date _____
- B. Itemize your current liabilities as of latest balance sheet date. Give date. _____
- C. Who prepared such balance sheet? _____
- D. Are any of your assets assigned—if so, which are assigned? _____

For what purpose are they assigned? _____

7. Data

- A. Are you familiar with the provisions of the form of contract used by the City of Racine?

- B. With its terms and conditions? _____
- C. With its specifications? _____
- D. With the regulations of the City of Racine relating to bidding and awarding of contracts? _____

8. Affidavit

STATE OF _____)

COUNTY OF _____)

_____ being duly sworn,
deposes

and says that he is the _____ of _____
(Name of firm)

and that the answers to the foregoing questions and all statements therein
contained are true and correct, and that any owner, bonding company, or other
agency, herein named is hereby authorized to supply the Municipality with any
information deemed necessary to verify this statement.

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

My commission expires _____, 20 _____.

(Notary Public)

FILED ORIGINALLY WITH _____

Department Date
PREQUALIFIED BY _____ DATE _____

CLASS OF WORK _____ DESCRIPTION OF JOB _____

LOCATION OF JOB _____ DEPARTMENT _____

APPROVED AS QUALIFIED _____ DATE _____

Commissioner of Public Works

CONTRACTOR'S BALANCE SHEET

This statement shall show the condition of business as determined under generally accepted accounting principles at the end of the contractor's fiscal year.
 Condition at End of Fiscal Year, _____, 20_____

Assets		Current	Non-Current	Total
1 Cash			XXXXXXXXXXXX	
2 Investments (state basis of valuation):	Market Value			
U.S. Government obligations				
Listed securities				
Securities of affiliated organizations				
partnerships or joint ventures				
Others				
Total Investment				
3 Notes Receivable:				
From officers, directors, stockholders or partners				
From affiliated companies, organizations, joint ventures, etc.				
From other contractors				
From others				
Less allowances for estimated losses in collection				
Net notes receivable:				
4 Accounts Receivable:				
From completed contracts, exclusive of claims not approved for payment				
From uncompleted contracts				
From officers, directors, stockholders or partners				
From affiliated companies, organizations, joint ventures, etc.				
From Others				
Less allowances for estimated losses in collection				
Net accounts receivable				
Deposits with bids or other guaranties				
5 Deferred cost on uncompleted contracts				
Inventories (state basis of valuation):				
Prepaid expenses, accrued interest, etc.				
Total Current Assets			XXXXXXXXXXXX	XXXXXXXXXXXX
Cash surrender value of life insurance				
6 Property, plant and equipment (state basis of valuation):				
Less reserve for depreciation				
Other Assets:				
Organization expenses				
Goodwill				
Deferred charges				
Total Non-Current Assets				XXXXXXXXXXXX
Total Assets				

CONTRACTOR'S BALANCE SHEET

Liabilities

7 Notes payable:			
To banks and other lending institutions			
To officers, directors, stockholders or partners			
To affiliated companies, organizations, joint ventures, etc.			
To other contractors			
To others for construction, plant and equipment			
To others			
Total notes payable			
8 Accounts payable:			
To officers, directors, stockholders or partners			
To affiliated companies, organizations, joint ventures, etc.			
To sub-contractors			
To trade suppliers			
To others			
Total accounts payable			
Accrued expenses:			
Wages, salaries and commissions			
Taxes, other than taxes on income			
Other			
9 Deferred credits from billings and collections on uncompleted contracts			
10 Taxes on income			
Other liabilities:			
Reserves:			
Total Current Liabilities		XXXXXXXXXXXX	XXXXXXXXXXXX
Total Non-Current Liabilities			
Total Liabilities			XXXXXXXXXXXX
Net Worth:			
11 Individual or partnership capital			
12 Capital stock:			
Preferred stock			
Common stock			
13 Surplus:			
Capital or paid-in surplus			
Appraisal surplus			
Retained earnings			
Total Net Worth			
Total Liabilities and Net Worth			

Instructions for Vendors:
Affirmative Action Requirements
Wisconsin Office of Contract Compliance

Exemption from Submitting Affirmative Action Plan

An Affirmative Action Plan is not required when:

1. The vendor receives a State contract for less than \$25,000
or
2. The vendor has less than twenty-five (25) employees regardless of the dollar amount of the contract
or
3. The vendor is a foreign company with a work force of less than twenty-five (25) employees in the United States
or
4. The vendor is a federal government agency or a Wisconsin municipality
or
5. The vendor has a balanced work force. (See page 13 for definition of "balanced work force").

Procedures: Exemption from Submitting Affirmative Action Plan

If exempt from submitting an Affirmative Action Plan, the vendor must submit evidence of exemption as follows:

- If the vendor is exempt from submitting an Affirmative Action Plan based on criteria 2 through 4 above, the vendor still must submit a "Request for Exemption from Submitting Affirmative Action Plan" (Form DOA-3024, next page) and its "Vendor Subcontractor List" (Form DOA-3023, page 11).
- If the vendor is exempt from submitting an Affirmative Action Plan because it has a balanced work force (criteria 5), the vendor still must submit its "Vendor Work Force Analysis" (Form DOA-3022, Page 7), the "Request for Exemption from Submitting Affirmative Action Plan" (Form DOA-3024), *supporting labor market information, "Vendor Subcontractor List" (Form DOA-3023) and a copy of its Equal Employment Opportunity Policy Statement. See "Equal Employment Opportunity and Affirmative Action Policy Statement," Pages 4 & 5 for preparation instructions.

***Labor Market Data:** The vendor needs labor market data to determine if it has a balanced work force. If the vendor does not have this data already, the vendor may obtain this data from State Job Service Offices which are listed in local telephone directories under State Government "Job Service" or "Employment Security" or from the regional U.S. Office of Federal Contract Compliance (OFCC).

If a rare situation exists for an emergency or to meet special contracting requirements, the Director of the Wisconsin Office of Contract Compliance, on the recommendation of a contracting state agency, may exempt a vendor from Affirmative Action Plan requirements.

Alternative to Submitting Affirmative Action Plan

As an alternative to submitting an Affirmative Action Plan, if the U.S. Office of Federal Contract Compliance (OFCC) has audited the vendor's Affirmative Action Program within the last year, the vendor may send the contracting state agency:

- A copy of OFCC's Acceptance/Compliance Letter,
- The vendor's equal opportunity/affirmative action policy statement; and
- Its "Vendor Subcontractor List" (Form DOA-3023).

**REQUEST FOR EXEMPTION FROM SUBMITTING AFFIRMATIVE ACTION PLAN
 WISCONSIN OFFICE OF CONTRACT COMPLIANCE**

INSTRUCTIONS TO VENDOR: By satisfying one of the conditions below, the vendor may request an exemption from submitting an Affirmative Action Plan. Complete this form and return it to the contracting agency. Unless the vendor is notified otherwise by the contracting state agency, the vendor may assume that the exemption is approved.

Vendor Name		*Federal Employer Identification Number
Address (Street)		*Social Security Number
(City)		(P.O. Box)
Contact		(State) (Zip)
Commodity		Title
Total Contract Amount \$	Award Date	Telephone Number ()
Contracting State Agency		Bid Number

II. **EXEMPTION REQUEST:** The basis for requesting an exemption is that, as of the award date of the contract, the vendor: (Check as appropriate)

<input type="checkbox"/>	Has less than twenty-five (25) employees.
<input type="checkbox"/>	Is a foreign company with a work force in the United States of less than twenty-five (25).
<input type="checkbox"/>	Is an agency of the Federal Government or a Wisconsin municipality.
<input type="checkbox"/>	Has achieved a balanced work force. Vendor must submit 1) a completed Work Force Analysis [Form DOA-3022], 2) supporting labor market information if requesting an exemption based on this reason and 3) Equal Employment Opportunity Policy Statement.
<input type="checkbox"/>	Has undergone an audit of its Affirmative Action Program within the last year by the Office of Federal Contract Compliance (OFCC) and has received a letter of compliance. (Vendor must attach a copy of its OFCC letter and the vendor's Affirmative Action and Equal Employment Opportunity Policy Statement.)

III. We have posted the notice(s) explaining Wisconsin's contract compliance law. Yes No

Chief Executive Officer Signature	Date	Title
Printed Name		

Instructions to Contractors or Vendors
 City of Racine Human Resources Affirmative Action Department
 s.16.765, Wis. Stats, ADM 50
 DOA-3024, (R04/88)

WORK FORCE ANALYSIS: VENDOR

General Instructions: The vendor must include a work force analysis as a part of its Affirmative Action Plan or with its Request for an Exemption from Submitting an Affirmative Action Plan, if the vendor is requesting an exemption based on having achieved a balanced work force. As an alternative to submitting this document, a vendor may submit a copy of its federal EEO-1 form.

The reverse side has definitions for job categories and specific instructions for completing this worksheet.

Vendor		Bid Number		Date of Analysis		*Federal Employer Identification #			
						*Social Security #			
	EMPLOYEES	MALES		FEMALES		MINORITIES		PERSONS	
JOB CATEGORIES	TOTAL	TOTAL	%	TOTAL	%	TOTAL	%	TOTAL	%
OFFICIALS & MANAGERS									
PROFESSIONALS									
TECHNICIANS									
SALES WORKERS									
OFFICE & CLERICAL									
CRAFTSWORKERS (SKILLED)									
OPERATIVES (SEMISKILLED)									
LABORERS (UNSKILLED)									
SERVICE WORKERS									
TOTAL									
TOTAL EMPLOYMENT REPORTED IN PREVIOUS REPORT DATED: _____									

Prepared By:

_____	_____	_____
Signature	Date	Telephone Number
_____	_____	_____
Title		Printed Name