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SUBJECT: **CY21 ANNUAL CONTRACTOR ENROLLMENT APPLICATION – REQUIRED INFORMATION & DOCUMENTS**

DATE: **12/18/2020**

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## **AUBURN UNIVERSITY FACILITIES MANAGEMENT (AUFM)**

### **CY21 Annual Contractor Enrollment Application for All Public Works Construction Projects**

#### **What Information & Documents Are Required To Complete The AUFM Annual Contractor Enrollment Application?**

##### **GENERAL NOTICES:**

- *All contractors must be enrolled and pre-qualified by Facilities Management to perform work for any Public Works projects with Auburn University. Enrollment in this program must be updated annually starting January 1st of the current calendar year as any prior year's submission will expire by February 1st of the new calendar year.*
- *If you have not already requested or been granted access to this online system, please send an email to Facilities Management Project Support at [projsup@auburn.edu](mailto:projsup@auburn.edu) and provide your name, company name and primary email address to be used to access and complete the Annual Contractor Enrollment Application. Project Support will register your information and notify you via the email address provided when access has been granted to the CY21 Annual Contractor Enrollment Application.*
- *The CY21 Annual Contractor Enrollment Application for all Public Works Construction Projects is available through the following website:  
[https://auburn.qualtrics.com/jfe/form/SV\\_85DMEEHtWVrLEtT](https://auburn.qualtrics.com/jfe/form/SV_85DMEEHtWVrLEtT)*
- *By logging into this system through your email, applicants will be able to automatically return to their partially filled applications and complete later if necessary.*
- *Once you have submitted the completed and signed application, Facilities Management Project Support will review the application and once approved, will notify the applicant that they are on the approved contractor list for CY21 and are ready to start pre-qualifying for upcoming construction projects at Auburn University.*
- *Please continue to monitor the website below for future "Bid Opportunities" and to access the application to "Pre-Qualify" for specific construction projects at Auburn University throughout the current calendar year:  
<https://www.auburn.edu/administration/facilities/contractors/>*

##### **SECTION 1 – CONTRACTOR INFORMATION**

- Company information including name, address, phone numbers, web address, and principal office location
- Primary and secondary contact information, including name, email, and phone numbers

##### **SECTION 2 – GENERAL INFORMATION, ADDITIONAL CLARIFICATIONS, AND ACKNOWLEDGEMENTS**

##### **SECTION 3 – ORGANIZATION INFORMATION**

- Type of business
- How many years in business under current name; and if less than 3 years, previous company name
- If a corporation, information on date and state of incorporation; and names of the corporate officers
- If a partnership, date and type of partnership; and names of the general partners
- If owned by an individual, date of organization and owner's name

##### **SECTION 4 – LICENSING INFORMATION**

- In accordance with Section 34-8-1 of the Code of Alabama, any general contractor who undertakes to "construct or superintend or engage in construction, alteration, maintenance, repair, rehabilitation, remediation, reclamation or demolition of any building, highway, sewer, structure, site work, paving or project or any

improvement in the State of Alabama where the cost of the undertaking is fifty thousand dollars (\$50,000) or more,” must be properly licensed and in compliance with the Licensing Board of General Contractors of the State of Alabama.

- Therefore, for any single project whose value is less than Fifty Thousand Dollars (\$50,000), a general contractors license is not required.
- If an Alabama General Contractor’s License is required, provide license classifications and bid limit.
- If an Alabama General Contractor’s License is required, attach a current copy of your license.

[ DOCUMENT REQUIRED ]

**SECTION 5 – EXPERIENCE AND WORKLOAD**

- Provide the total worth of work in progress and under contract to date.
- Provide your company’s annual revenue for the past three (3) years.
- Provide your company’s annual volume for the past five (5) years.
- Provide information on your company’s largest contract to date.

**SECTION 6 – FINANCIAL INFORMATION**

- Confirmation that your bonding company has a Best Rating of A- or better.
- Provide information on Surety Company, including name, address, phone, contacts, rating, and bonding capacity
- If within the last 3 years, your surety company has completed any contract on the applicant’s behalf or paid for completion because the applicant was in default and/or terminated by a project owner, attach a compiled document with detailed information on each occurrence.

[ IF YES, DOCUMENT REQUIRED ]

- If within the last 3 years, your surety company has made any payments on its behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on the applicant’s behalf, in connection with any public or private construction project, attach a compiled document with detailed information on each occurrence.

[ IF YES, DOCUMENT REQUIRED ]

- Provide the name of CPA firm, or firms, who prepared certified financial statements for the applicant for the previous 3 years and are authorized to provide Auburn University or its agent verification of annual revenue.

**SECTION 7 – INSURANCE REQUIREMENTS**

- Provide information on the company’s insurance carrier, including the name, address, phone, and contact name.
- Attach a letter from your insurance carrier identifying your insurance limits and attesting the financial strength and responsibility of your organization and your insurance carrier. This letter must (1) be dated within 30 days of the submittal date and specifically reference this Annual Contractor Enrollment Application; (2) specifically identify that your insurance coverages will meet the following minimum limits of liability for any work performed for Auburn University; and (3) Certificate of Insurance (COI) will include the indemnity/additional insurance clause as stated below:

"The policy must name Auburn University, its Board of Trustees, individually and collectively, Administrators, Faculty, Architect of Record, Department of Finance, Division of Construction Management, Staff, Employees and Agents are named as additional insureds in respect to General, Umbrella and Automobile Liability. Coverage afforded the Additional Insureds is Primary and Non-Contributory except for Employers’ Liability and contain no exclusions of the additional insureds relative to job accidents. Policies are endorsed to include a Waiver of Subrogation in favor of Auburn University. Thirty (30) days notices of cancellation applies (10-day notices for non-payment of premium) in favor of the Additional Insured."

Minimum limits of liability for any work performed for Auburn University:

**GENERAL LIABILITY:**

General Aggregate (per occurrence):	\$2,000,000
Products, Comp / OP Aggregate:	\$2,000,000

Personal and Advertising Injury:	\$1,000,000
Each Occurrence:	\$1,000,000
Contractual Liability:	\$1,000,000
Damage to Rented Premises:	\$300,000

UMBRELLA LIABILITY:

Aggregate:	\$5,000,000
Per Occurrence:	\$5,000,000

AUTOMOBILE LIABILITY:

Combined Single Limit:	\$1,000,000
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WORKERS COMPENSATION:

Each Accident:	\$1,000,000
Disease (each Employee):	\$1,000,000

ENVIRONMENTAL LIABILITY:

Per Claim:	\$1,000,000
Annual Aggregate:	\$2,000,000

[ DOCUMENT REQUIRED ]

**SECTION 8 – DISPUTES & SETTLEMENTS**

- If within the last 3 years, your company has been assessed and/or paid liquidated damages after completion of a project under a construction contract with either a public or private owner, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If within the last 3 years, your company has been denied an award of a public works contract based on a finding by a public agency that the firm was not a responsible bidder, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If within the last 3 years, your company has been involved in any claims or settlements against project owners for completed or current projects where the cumulative total equaled or exceeded 5% of the contract amount of the project involved, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If your company has any current claims or disputes against Auburn University for a single project where the cumulative total equals or exceeds 5% of the current contract amount, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If your company has any judgements, claims, arbitration proceedings or suits pending or outstanding against your organization or its officers, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If within the last 3 years, your company has filed any lawsuits or requested arbitration with regard to construction contracts, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If within the last 5 years, any officer or principal of your organization has been an officer or principal of another organization when it failed to complete a construction contract, attach a compiled document with detailed information on each occurrence.  
[ IF YES, DOCUMENT REQUIRED ]
- If within the last 5 years, any officer or principal of your organization has been convicted of a crime involving the awarding of a contract for any construction project, or for the bidding or performance of a construction contract, attach a compiled document with detailed information on each occurrence.

*[ IF YES, DOCUMENT REQUIRED ]*

- If your firm, or any firm with which any of its owners, officers or partners were associated in a management role have been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason, attach a compiled document with detailed information on each occurrence.

*[ IF YES, DOCUMENT REQUIRED ]***SECTION 9 – SAFETY INFORMATION**

- Provide your company’s current Total Recordable Incident Rate (TRIR).
- Provide your company’s current and past 5-year Experience Modification Rate (EMR).
- Indicate that you have reviewed and agree to comply with Auburn University’s safety requirements which are available to view through the application itself or through the Facilities Management Contractor website:  
<https://www.auburn.edu/administration/facilities/contractors/>
  - AU Form C-16 - Auburn University Safety Specification (09-2016)
  - AU Form C-16A - Appendix A to AU Safety Specification, Project Site Safety Plans (09-2016)
  - AU Form C-16B - Appendix B to AU Safety Specification, Activity Hazard Analysis (09-2016)
- Provide name of Corporate Safety Officer and verify that they have at least 2 years of experience in this position.
- If within the last 3 years, your company has ever been cited by OSHA and/or assessed penalties for any “serious”, “willful”, or “repeat” violations of its safety or health regulations, attach a compiled document with detailed information on each occurrence.

*[ IF YES, DOCUMENT REQUIRED ]*

- If within the last 3 years, your company has ever been cited and/or assessed penalties by the EPA, ADEM or another delegated agency or the owner of a project on which the applicant was the contractor, attach a compiled document with detailed information on each occurrence.

*[ IF YES, DOCUMENT REQUIRED ]*

- Provide a copy of your current OSHA 300 Log of Work-Related Injuries and Illnesses.
- Provide a copy of your current OSHA 300A Summary of Work-Related Injuries and Illnesses.

*[ DOCUMENT REQUIRED ]***SECTION 10 – FINAL SUBMISSION AND SIGNATURE**

- Provide the printed name, title, and digital signature for the company official who is legally authorized to sign contract documents on behalf of the applicant who is requesting enrollment in the Annual Contractor program so to be eligible for prequalification of construction projects at Auburn University in this calendar year.