



THE NEW YORK CITY DEPARTMENT OF EDUCATION

JOEL I. KLEIN, *Chancellor*

DIVISION OF SCHOOL FACILITIES

MARTIN OESTREICHER, CHIEF EXECUTIVE, OFFICE OF SCHOOL SUPPORT SERVICES

44-36 Vernon Boulevard, Long Island City, NY 11101

Telephone: (718) 349-5799

Fax: (718) 349-5766

To All Applicants:

As per your request, attached is the Contractor's Application for Registration as a Responsible and Eligible Bidder. Please be advised of the following:

1. The Qualification Booklet must be completed in its entirety and returned to the **Contractor Qualification and Compliance Unit, 5th Floor 44-36 Vernon Boulevard, Long Island City, New York, 11101.**
2. Answer all questions. If the response does not apply to your firm, please note, **NOT APPLICABLE**, in the appropriate space.

The following enclosed documents must be completed and returned with your submission:

- Contractor's Application (Qualification Booklet)
- Labor Law Form (Section 220)
- Application for Listing as an Approved Contractor Form
- Acknowledgement Form
- Business Information Form Individuals, Partnerships or Corporations
- Required License Form (N/A if appropriate)
- Reference Form (Minimum of 5 for Open Market order, Minimum of 10 for Book Jobs)
- LBE/MBE/WBE Form
- Form W-9 Request for Taxpayer Identification Number and Certification (**Must Be Typed**)

The following documents must also be returned with your submission:

- Submit a Certified Public Accountant (C.P.A.) or a Licensed Public Accountant (L.P.A.) Review or Audit level financial analysis, a Compilation is not acceptable.
- If Corporation - Submit Certificate of Incorporation or filing receipt.
- If Partnership - Submit Certificate of Partnership and Certificate of Doing Business Under Assumed Name.
- If Individual Owner - Submit Certificate of Doing Business Under Assumed Name.
- Note: If business is registered out of New York State, a Certificate of Authority to do business in N.Y.S. is required.

Additional requirements for applicants to be a Responsible and Eligible Bidder.

- In order for a contractor to qualify as an eligible bidder with the Division of School Facilities (DSF), the applicant must demonstrate that the company has the skill and experience, as well as the necessary facilities, organization and general reliability to do the work in the trade for which qualification is sought, in a satisfactory manner and within any time period specified.
- The applicant must have all required license(s) in full compliance with the licensing and regulatory powers as set forth in the administrative code of the City of New York, and/or any control agency and governmental body.
- The applicant/firm must demonstrate a business history for a minimum of one year under the entity's name, prior to the filing of the application.
- To obtain an award of Contract issued under Contract No.1 or an Open Market Order (OMO), which is for a contract of \$49,999 or less, the applicant must demonstrate that the company has satisfactorily completed a minimum of five (5) contracts of similar type and nature in the trade (s) for which qualification is sought.
- The value of five contracts should be distributed as follows:
 - a) At least one (1) contract valued at least \$ 25,000
 - b) At least two (2) contracts valued at least \$15,000
 - c) At least two (2) contracts valued at least \$5,000
- To obtain the awards of contracts issued under BM29, or R/S29, (contracts over \$49,999) or Book Jobs, the applicant must demonstrate that it has satisfactorily completed a minimum of (10) contracts of a similar type and nature in the trade(s) for which qualification is sought.
- The value of the ten contracts should be distributed as follows:
 - a) At least two (2) contracts valued at least \$30,000
 - b) At least three (3) contracts valued at least \$20,000
 - c) At least five (5) contracts valued at least \$10,000

All projects submitted for consideration should have been performed as a prime contractor; however, if such projects were performed as a subcontractor then all pertinent information to contact the prime contractor and owner of the premises should be supplied. **This information should include names, addresses & telephone numbers.**

- If available, submit approval from other New York City Agencies, for whom the applicant has performed contract work of a similar type and nature, in the trade(s) for which qualification is sought.

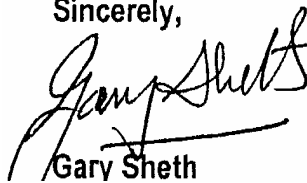
When your completed application is received, it will be reviewed and if found to be acceptable, an officer (or owner) of your firm will be required to appear for an interview. Please be advised that failure to submit properly executed documents may result in disqualification or extend the processing period for your application.

Please return all documents to:

Division of School Facilities
Contract Qualification and Compliance Unit
44-46 Vernon Blvd. 5th Floor
Long Island City, N.Y. 11101

Should you have any questions concerning the above, please call our office at (718) 610-0292.

Sincerely,

A handwritten signature in black ink, appearing to read "Gary Sheth", written over a light blue rectangular background.

Gary Sheth

Section Chief
Contract Qualification and Compliance Unit

Attachments
Rev. 09/04



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DIVISION OF SCHOOL FACILITIES
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44-36 Vernon Boulevard, Long Island City, NY 11101
Telephone: (718) 349-5799
Fax: (718) 349-576

April 5, 2004

Dear Contractor:

As a contractor seeking approval for awards of contracts with the Division of School Facilities, you should be aware of regulations pertinent to our contractual relationship.

Attached for your information is an Inspector General's Field Advisory which you should use as a guide should the occasion arise. Also included is a letter dated December 1, 2000 to contractors stating the requirement that the insurance coverage be maintained from the beginning of the contract until final payment is approved.

Enclosed are the following forms, which should be completed and submitted with your application:

- | | | | |
|----|----------------|---|---------------------------|
| 1. | Q1 | - | LBE/MBE/WBE Form |
| 2. | Q2 | - | Required Licenses Form |
| 3. | Q3 (A),(B)&(C) | - | Acknowledgement Form |
| 4. | Q4 | - | Business Information Form |
| 5. | Q5 | - | Labor Law 220 Form |
| 6. | Q6 | - | Worker Identification |
| 7. | Q7 | - | References Form |

Thank you for your attention to this matter.

Sincerely,

Sandra Bispham-Haywood
Manager
Contract Qualification and
Compliance Unit

Attachments
SBH: sbh



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Fax: (718) 349-5766

April 5, 2004

RE: Revised Qualification Procedures

Dear Contractors:

Please be advised that effective 7/19/01, the time period required for renewal of your qualification approval has been changed from an annual to a biennial period. All currently approved contractors; therefore, are required to renew qualification two years after the date of the last approval. Approval will be effective for two years from the renewal approval date.

If you have any questions, please contact me at (718) 349-5760.

Sincerely,

Sandra Bispham-Haywood
Manager
Contract Qualification and
Compliance Unit

SBH: sbh
cc: VolkertBraren
Mark David
Gary Sheth
Shelly Epstein



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44-36 Vernon Boulevard, Long Island City, NY 11101
Telephone: (718) 349-5799
Fax: (718) 349-576

May 10, 2004

Dear Contractor:

As you are aware, each contract between your company and the Department of Education requires that specific insurance coverage be provided for the duration of the project. This coverage is intended to protect both parties in the event of unforeseen circumstances, such as an accident or vandalism.

Although this coverage is an obligation of each contractor, it has been our experience that some contractors have allowed their insurance to lapse before the project was fully completed. Therefore, in order to eliminate this condition and insure that continual coverage is maintained this matter is brought to your attention.

As per the requirements of Article 40 of the contract, each specific type of insurance is required during the performance of the contract, and to the date of final acceptance by the Division of School Facilities (DSF), or for another period satisfactory to the Executive Director of Building Services or his designee. This means that unless specific permission is given by an authorized official of the DSF to alter certain aspects of insurance, such as the amount or period of coverage **all insurance's must be in effect from the beginning of the contract until the work is complete.**

All contractors must be aware that unless adequate proof of current insurance coverage can be provided, payment requests will not be processed.

If a contractor is of the opinion that, because of certain specific circumstances, an insurance policy should be canceled terminated or modified, he/she should bring this matter to the attention of the Executive Director of the Office of Building Services, in writing. The Director may then consent in writing to the cancellation, termination or modification of the policy.

Since it is the obligation of each company to comply with the insurance requirements, you should be aware that a failure to comply may result in the withholding of payment by the DSF and/or, a determination of default of contract. In addition DSF may pass the stated information on to the Mayor's Office of Contracts declaring the contractor "not responsible".

Hopefully, by bringing this matter to your attention, such actions will not be necessary.

If you have any questions concerning this matter, please contact Ms. Barbara Irving, Insurance Unit, at (718) 610-0290.

Mark David
Director
Administration



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44-36 Vernon Boulevard, Long Island City, NY 11101

Telephone: (718) 349-5799

Fax: (718) 349-5766

Reference No: 2004-62

June 07, 2004

MEMORANDUM

TO: All Prospective/Current DOE Vendors/Contractors

FROM: James Lonergan, Executive Director of School Facilities

SUBJECT: Reporting of Municipal Corruption

I am sure you share my concern about the potential for corruption amongst Department of Education (DOE) employees. While the vast majority of Department employees are honest and hard working, there is always a possibility that someone might attempt to use their position to wrongfully obtain financial gain. I ask that you join me in our continuing vigilance against municipal corruption. In the event a DOE employee attempts to solicit an unlawful payment from you, please follow the procedures provided in this Field Advisory.

As vendors/contractors, you will undoubtedly have numerous contacts with various Department of Education employees such as inspectors, purchasing agents, school district personnel, etc. Inspectors perform a very valuable and important role, helping to safeguard the public's health and safety. Purchasing agents also perform a valuable role in purchasing the goods and services required to sustain an agency as large and complex as the Department of Education. On occasion, however, an inspector/purchasing agent may stray from his or her duties by soliciting money or accepting a gratuity (a gift) to influence his judgment. Under no circumstances should you ever pay money or give a gift to any Department of Education employee. The payment of money or the giving of a gratuity to any Department of Education employee is a crime which could result in your arrest. If any Department of Education employee confronts you with what appears to you to be a corrupt intent, please take the following steps:

1. Attempt to clarify the situation - ask the employee to explain what s/he means and what s/he expects from you.
2. Do not accept or refuse the offer - attempt to stall for time by saying "I'll think it over and get back to you."

3. Terminate the conversation in an appropriate but unhurried manner and obtain a telephone number where you can reach the person. Never give your home phone number; if the employee is insistent, provide only your work number.
4. Write up notes of what happened for yourself.

If you have been approached by a Department of Education employee who solicits a gift or payment, keep the matter confidential, do not discuss the situation with anyone and immediately notify by phone or in person, the **Special Commissioner of Investigation, 80 Maiden Lane, 20th Floor, New York, New York 10038. Telephone: (212) 510-1500.**

Your assistance in successfully fighting municipal corruption is fundamental because the commission of corrupt acts by any City employee hurts all of us. You have my assurance that any information you provide in this effort will be kept strictly confidential. Thank you for your cooperation in this matter.



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Dear Contractor:

In order for the Division of School Facilities to process your purchase orders and/or payment requests, your company must be registered in the Financial Management System of the City of New York (known as FMS 2000).

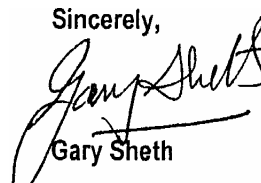
A typed Form W-9 (Request for Taxpayer Identification Number & Certification) **with an original signature** is required for registration by the Office of the Comptroller.

Please complete the attached Form W-9 and return with your Contractors Application to:

Division of School Facilities
Contract Qualification and Compliance Unit
44-36 Vernon Blvd. – 5th Floor
Long Island City, NY 11101

Be reminded that the Comptroller will only accept a typed form with an original signature. If you do not have access to a type-writer, request the W-9 form on line form from our office and fill it in on the computer, before printing and signing it.

Thank you for your cooperation.

Sincerely,

Gary Sheth

Section Chief
Contractor Qualification and
Compliance Unit

Attachment
GS:kl

Give Form to
Requesting
Agency

W-9 FORM
REQUEST FOR TAXPAYER
IDENTIFICATION NUMBER & CERTIFICATION

Part I: Vendor Information

1. Legal Business Name: _____

2. If you use DBA, Please List: _____

3. Entity Type (check only one)

Non-profit Corporation Corporation Government

Partnership Joint Venture Other Specify: _____

4. Taxpayer Identification Type (check appropriate box):

Employee ID Number Social Security Number Other (Specify) _____

Part II: Taxpayer Identification Number (TIN) _____

Part III: 1099 Administrative and Remittance Address

1. Primary 1099 Address: _____

2. Check here if this is also remittance Address:

3. If not remittance, Please Enter Address: _____

Contract Name: _____ Phone No.: _____

Number, Street and Apartment or Suite No: _____

City, State and 9 Digit Zip Code: _____

Part IV: Exemption from Backup Withholding

For Payee exempt from Backup withholding, write "exempt", Valid explanation required for exemption.

Part V: Certification

Under penalties of perjury, I certify: The number shown on this form is my correct taxpayer identification number, or I am waiting for a number to be issued to me.

Sign Here _____ Date _____

Preparer's name and phone number _____

FOR SUBMITTING AGENCY USE ONLY

Submitting Agency Code _____ | _____ | _____ | Submitting Agency Name: _____

Contact Person: _____ Telephone No.: _____

Please enter assigned Payee/Vendor Code. If Payee/Vendor Code is not accessible. Comptroller's Office will enter code.

_____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____

Corrected W-9

**RETURN THIS
ORIGINAL TO THE
DEPT. OF ED**

SUBMITTED BY

**COPY TO BE
RETAINED BY
CONTRACTOR**

**DEPARTMENT OF EDUCATION
OF THE CITY OF NEW YORK**

DIVISION OF SCHOOL FACILITIES

**44-36 Vernon Boulevard
Long Island City, New York 11101**

CONTRACTOR' S APPLICATION

FOR REGISTRATION AS A RESPONSIBLE AND ELIGIBLE BIDDER

FOR

GENERAL CONSTRUCTION, MECHANICAL TRADES

AND

MISCELLANEOUS SCHOOL CONSTRUCTION CONTRACTS

**PART 1 - RULES AND REGULATIONS
PART 2 – ORGANIZATION AND EXPERIENCE
PART 3 - FINANCIAL STATEMENT**

PART 1- RULES AND REGULATIONS - (QUALIFICATION & PREQUALIFICATION)

- (a) *In order to qualify as a contractor satisfactory to the Executive Director Division of School Facilities each bidder, in addition to the other requirements herein provided, must be prepared, upon demand, to prove to the satisfaction of the Executive Director that it has the skill and experience, as well as the necessary facilities, ample financial resources, organization and general reliability to do the work in a satisfactory manner and within the time specified.*

The Contractor is expected to be financed adequately so as to pay promptly for all labor and material as such obligations become due to avoid the necessity for assignment of any moneys payable to the contractor hereunder, and the filing of liens.

- (b) *The Prospective Bidder must be prepared to prove to the satisfaction of the Director that it has net liquid assets available for the project upon which it is bidding, in an amount equal to 25% of the first \$25,000.00 of the amount of the bid, plus 15% of the next \$100,000.00 plus 10% of the next \$900,000.00 plus 5% of the remainder of the bid. The Department does not regard capital stock of an affiliate, subsidiary or treasury held by a contractor, nor a/c receivables against which assignments have been made, credit, borrowed money, equity in real estate, life insurance surrender value, reserves representing prepayment of taxes and other expenses, equipment, deposits held as security for other contracts, the capital of proposed sub-contractors and similar items, as liquid assets available for this work.*

In computing the amount of net liquid assets available to the prospective bidder, the Executive Director will take into consideration uncompleted contracts of prospective bidder, whether such uncompleted contracts are being performed for the Department or for others, and will deduct from available net liquid assets such amount as are necessary to adequately cover the uncompleted portions of such contracts. The deductions for such uncompleted portions will be made in the same proportion as is required with respect to the proposed contract, that is 25% of the first \$25,000.00, plus 15% of the next \$100,000.00; 10% of the next \$900,000.00, and 5% of the balance.

- (c) *The Bidder must show that it has satisfactorily completed a contract for work during the last five (5) years which, in the opinion of the Department is of similar type and which contract was for a sum not less than 50% of the amount of the proposed contract.*

The terms, "it" and "bidder", as used in this paragraph, shall apply to a firm or corporation which includes as a principal or an executive in active or responsible control thereof a person who either individually or as such principal or executive has successfully completed such a contract. Where the cost involved is not in excess of \$25,000.00 a bidder may be an individual who, as a principal or executive of a firm or corporation has had at least ten (10) years experience as a workman or mechanic in the particular field of work.

The Department may require that the bidder maintains a permanent place of business, and, along with the qualifications described above, will take into consideration whether or not it has previously failed to perform contracts properly or complete them on time, is in a position to undertake the contract or has, without just cause, habitually neglected the payment of bills or otherwise disregarded his obligations to sub-contractors, material men or employees.

- (d) *Each bidder must comply with all requests for information, or to appear for examination, and must actively cooperate with the Department in its efforts to determine whether the bidder is qualified to receive an award under all of the requirements hereof. Each bidder must submit within ten days after the demand of the Department therefore, proof concerning its qualifications to receive the award. Failure to submit such proof within this period, or within any extension or extensions thereof, will be deemed a default entitling the Department to enforce the obligations of the bidder's surety under the bid bond or any other security submitted with the Proposal and permit an award to another bidder or the re-advertisement of the work for new bids.*

- (e) *A bidder which is a corporation or an unincorporated association must file a Form #70 Certificate with the Department of State, Albany, N. Y., evidencing the fact that it is authorized to do business in the state of New York. A Bidder conducting business under an assumed name must file a county clerk's current certificate evidencing the filing with such clerk of a certificate to conduct business under such assumed name. A bidder conducting business as a partnership must file a county clerk's current certificate evidencing the filing with such clerk of a certificate of partnership.*
- (f) *For prequalified projects prospective bidders are required to submit requests prior to the advertising of bids; such pre-qualification is intended merely as a preliminary and tentative determination by the Department that the prospective bidders are presumptively qualified to become contractors satisfactory to the Department.*

Such pre-qualification shall not be deemed a determination by the Department that the bidders thus pre-qualified would in fact be satisfactory contractors, or be deemed a waiver by the Department of the right to make the investigations and to request the information required or permitted by this regulation. All of the obligations imposed upon the bidder and all the rights conferred upon the Department shall remain in full force and effect despite such pre qualification, and the Department shall have the right to reject or disqualify any bidder notwithstanding that such bidder has been pre qualified.

The above qualifications will be used by the Department in determining the reliability and reputation of the bidder. They may be modified when, in the interest of the Department, reliability and reputability can be better determined.

- (g) *Upon a finding of default in violation of a contract by the Department of Education's Executive Director, the Contractor shall be deemed not responsible and disqualified from bidding for a period of four years, unless in such finding of default, a lesser penalty is imposed by reason of mitigating circumstances.*

- (d) What portions of the work, on these projects, did your present organization do with its own forces, and what was the value of these portions?

- (e) What classifications of work does your organization ordinarily perform with its own forces?

- (f) If awarded a contract by the Department, what classifications of work would you propose to perform with your own forces?

4. State present number of continuously employed personnel in your concern:

State the number, names and experience of permanent employees in your organization falling into the following classifications:

Construction Superintendent _____

Field Engineer _____

Civil, Mechanical or Electrical Engineer _____

Administrative (Show number and type only) _____

5(a) **INDIVIDUAL DOING BUSINESS UNDER ASSUMED NAME**

If individual, answer this:

Name and address of individual

Has required certificate of doing business under assumed name been filed in the County Clerk's Office?

If so, when and in which County? _____

(b) **PARTNERSHIP**

If a Partnership, answer this:

Date of organization _____

State whether partnership is general or limited _____

Has the partnership filed a certificate of partnership in the County Clerk's Office? _____

If so, when and in which County? _____

If the partnership is doing business under an assumed name, has the required certificate of doing business under an assumed name been filed in the County Clerk's Office? _____

If so, when and in which County? _____

Name and address of each Partner: (Designate whether a general or limited partner, and, with respect to the latter the amount of limitation).

(c) **CORPORATION**

If a corporation, answer this:

When incorporated _____

In what State _____

If incorporated in a state other than New York, has a certificate of authority to do business within the State of New York been obtained from the Secretary of State?

If so when? _____

President's Name _____

Address _____

Vice-President's Name _____

Address _____

Secretary's Name _____

Address _____

Treasurer's Name _____

Address _____

10. (a) Has your present organization ever failed to complete any contract awarded?
If so, give details.

(b) Has your present organization ever failed to complete on time (after allowance for authorized time extensions) any contract awarded? If so, give details.

(c) Has your present organization ever been refused the award of any contract on which you were the low bidder in competitive bidding? If so, give details such as project name, amount of bid, amount of bid on which award was made, name of owner rejecting your bid, and reasons for your rejection. _____

(d) On what contracts performed by your present organization has final payment been the subject of litigation? (List details on separate sheet if necessary.) _____

(e) On what contracts performed by your present organization were liens filed by sub-contractors or material suppliers? (List details on separate sheet if necessary)

11. Has any officer or partner of your present organization ever been an officer or partner of some other organization that failed to complete any contracts? _____
If so, state name of individual and the facts and give details why contracts were not performed.

12. Has any officer or partner of your present organization ever failed to complete any contracts handled in his own name? _____
If so, state name and address of individual, name and address of owner, date and other information to identify contracts, and reason for failure to complete the contracts

13. Are any actions or proceeding pending in this State or in any jurisdictions against your present organization, against any of the partners, if a partnership, or against any of the officers or principals, if a corporation? If so, state the details _____

14. In what other lines of business is your company interested? _____

15. What is the particular experience of the principal individuals of your present organization in the proposed work? _____

Individual's Name	Present Position or Office	Years of Particular Experience	Magnitude and Type of Work	In What Capacity

16. Are there any outstanding or unsatisfied claims or causes of action now pending, or which will accrue hereafter, against your organization, its partners, if a partnership, or its officers or principals, if a corporation? If so, state the details.

17. What equipment do you own that is available for proposed work?

Quantity	Item	Description	Size	Condition	Years of Service	Present Location

18. Do you maintain a shop? _____ Type of shop _____
Types of machinery owned/rented/ or leased: _____
Location of shop _____

19. The undersigned hereby authorizes and requests any public official, engineer, architect, surety, bank, bank depository, material or equipment manufacturer or distributor or other persons, firms or corporations to furnish any pertinent information requested by the Department which it deems necessary to certify the statements contained in this questionnaire regarding the standing and general reputation of their firm.

20. The undersigned further authorizes the Department of Education to secure any information in the files of or given by the undersigned to Credit Agencies or Trade Associations relating to the undersigned's business or its members or officers and such information may be used by the Department in determining the undersigned's responsibility as a bidder.

Dated at _____ this _____ day _____
_____ 20 _____

Name of Organization

by: _____
Title of Person Signing

State of _____ }
County of _____ } SS:

_____ being duly sworn deposes and says: that it is
_____ of _____ and
Title Name of Organization

that it executed the foregoing statement, and that all answers and all statements herein contained are true and correct.

Signature and Title

Notary Public _____ County
Commissioner of Deeds, City of New York

Part 3

The following Financial Statement must be completed, unless separate Financial Statement is being submitted.

**Financial Statement
of BIDDERS to
DEPARTMENT OF EDUCATION
of The City of New York**

TRADE: _____

Submitted by _____

Address _____

Date _____

Give current financial statement (assets and liabilities to be complete);

DATE OF FINANCIAL STATEMENT:

ASSETS	DOLLARS	CENTS
1. Cash: (a) on Hand \$ _____ (b) In Bank \$ _____ (c) Elsewhere \$ _____ 2. Notes receivable: (a) Due within 90 days _____ (b) Due after 90 days _____ (c) Past due _____ 3. Accounts receivable from completed contracts _____ _____ 4. Sums earned on uncompleted contracts: (a) Amount receivable after deducting retainage _____ (b) Retainage to date, due upon completion of contracts _____ 5. Accounts receivable from other sources _____ 6. Deposits for bids or other guarantees _____ 7. Interest accrued on loans, securities, etc. _____ 7. Real Estate: (a) Used for business purposes _____ (b) Not used for business purposes _____ 8. Stocks and Bonds: (a) Listed – Present Market Value _____ (b) Unlisted – Present Value _____ 10. Equipment, book value _____ 11. Furniture and Fixtures, book value _____ 12. Other Assets _____ Total Assets _____		
LIABILITIES 1. Notes payable: (a) To banks regular _____ (b) To banks for certified checks _____ (c) To others for equipment obligations _____ (d) To others exclusive of equipment obligation _____ (e) List any notes payable past due _____ 2. Accounts payable: (a) Not past due _____ (b) Past due _____ 3. Other Liabilities: (a) Not past due _____ (b) List any other liabilities past due _____ 4. Reserves _____ 5. Capital stock paid up: (a) Common _____ a. Common _____ b. Preferred _____ c. Preferred _____ 6. Surplus (net worth): Earned\$ _____ Unearned\$ _____ TOTAL Liabilities _____		
CONTINGENT LIABILITIES 1. Liability on notes receivable, discounted or sold _____ 2. Liability on accounts receivable, pledged, assigned or sold _____ 3. Liability on bondsman _____ 4. Liability as guarantor on contracts or on accounts of others _____ 5. Other contingent liabilities including any pending claims or litigation _____ TOTAL CONTINGENT LIABILITIES _____		

DETAILS RELATIVE TO ASSETS

1. Cash (a) On hand _____ \$ _____
 (b) Deposited in banks named below _____ \$ _____
 (c) Elsewhere (Name where) _____ \$ _____

Name and Address of Bank	Deposit in the Name Of	Amount

2. Notes receivable (a) Due within 90 days _____ \$ _____
 (b) Due after 90 days _____ \$ _____
 (c) Past Due _____ \$ _____

Receivable from: Name and Address	For What	Date of Maturity	How Secured	Amount

Have any of the above been discounted or sold? _____ If so, state amount, to whom, and reason _____

3. Accounts receivable from completed contracts _____ \$ _____

Name and Address of Owner	Nature of Contract	Amount of Contract	Amount Receivable

Have any of the above been assigned, sold, or pledged? _____ If so, state amount, to whom, and reason _____

4. Sums earned on uncompleted contracts
 (a) Amount receivable after deducting retainment _____ \$ _____
 (b) Retainment to date due upon completion of contract _____ \$ _____

Designation of Contract and Name and address of Owner	Amount of Contract	Amount Earned	Amount Received	Retainment		Amount Exclusive of Retainment
				When Due	Amount	

DETAILS RELATIVE TO ASSETS (Continued)

Have any of the above been sold, assigned, or pledged? _____, If so, state amount, to whom, and reason _____

***List separately each item amounting to 10 percent or more of the total and combine the remainder.**

5. Accounts receivable from other sources _____ \$ _____

Receivable From: Name and Address	For What	When due	Amount

What amount, if any, is past due _____ \$ _____

6. Deposits with bids or otherwise as guarantees _____ \$ _____

Deposited With: Name and Address	For What	When Recoverable	Amount

7. Interest Accrued on Loans, Securities, etc. _____ \$ _____

On What Accrued	To Be Paid When	Amount

8. Real Estate (a) Used for business purposes _____ \$ _____
 Book Value (b) Not used for business purposes _____ \$ _____

Description of Property	Improvements		Total Book Value
	Nature of Improvements	Book Value	
1			
2			
3			
4			
5			
6			
7			

Location	Held in Whose Name	Assessed Value	Amount of Encumbrances
1			
2			
3			
4			

DETAILS RELATIVE TO ASSETS (Continued)

9. Stocks and Bonds: (a) Listed—present marker value _____ \$ _____
 (b) Unlisted—present value _____ \$ _____

Description	Issuing Company	Last Int. or Div. Paid Date	%	Par Value	Present Market Value	Quantity	Amount
1							
2							
3							
4							
5							
6							
7							
Who Has Possession	If Any are Pledged or in Escrow, State for Whom and Reason					Amount Pledged	
1							
2							
3							
4							
5							
6							
7							

10. Equipment at book value _____ \$ _____

Quantity	Description and Capacity Of items	Age of Items	Purchase Price	Depreciation Charged off	Book Value

Are there any liens against the above? _____
 If so, state total amount _____ \$ _____

*If two or more items are lumped above, give the average of their ages

AFFIDAVIT FOR INDIVIDUAL

State of _____

County of _____ ss.:

_____ being duly sworn deposes and says that the foregoing financial statement, taken from his books, is a true and accurate statement of his financial condition as of the date thereof and that the answers to the foregoing interrogatories are true.

Sworn to before me this

_____ day of _____ 20

(Applicant signature)

Notary Public

AFFIDAVIT FOR PARTNERSHIP

State of _____ }
County of _____ } ss.:

_____ being duly sworn deposes and says that it is a member of the firm of _____; that it is familiar with the books of the said firm showing its financial condition; that the foregoing financial statement, taken from the books of the said firm, is a true and accurate statement of the financial corporation of the said firm as of the date thereof and that the answers to the foregoing interrogatories are true.

Sworn to before me this

_____ day of _____ 20

(Firm Officer signature)

Notary Public

AFFIDAVIT FOR CORPORATION

State of _____ }
County of _____ } ss.:

_____ being duly sworn deposes and says that it is _____ of the _____ the corporation described in and which executed the foregoing statement: that it knows the seal of said corporation and that the seal affixed is such corporate seal and that it was so affixed by order of the said corporation and that by the like order it thereto signed his name and official designation; that it is familiar with the books of the said corporation showing its financial condition: that the foregoing financial statement, taken from the books of the said corporation, is a true and accurate statement of the financial condition of said corporation as of the date thereof and that the answers to the foregoing interrogatories are true.

Sworn to before me this

_____ day of _____ 20

(Firm Officer Signature)

Notary Public

Corporate Seal Required

DO NOT WRITE BELOW: FOR OFFICE USE ONLY

Net Liquid Assets _____

Value of Unfinished Work on Hand _____

Approved _____
Date

Disapproved _____
Date

Remarks: _____

Signature of Reviewing Officer: _____

**DEPARTMENT OF EDUCATION
DIVISION OF SCHOOL FACILITIES
CONTRACTOR QUALIFICATION AND COMPLIANCE UNIT**

REQUIRED LICENSES FORM

NAME _____ TELEPHONE # _____

ADDRESS _____ FAX # _____

_____ E-MAIL ADDRESS _____

City State Zip Code

Each contractor requesting Department of Education approval shall obtain all licenses required from the public agencies having jurisdiction over his work and must submit a copy of the license with this form. (If not applicable, please indicate as such).

Check the appropriate box and list the number of the required license(s).

- | | | |
|--------------------------|---------------------------------|-------------------------|
| <input type="checkbox"/> | Plumber's License | No. _____ |
| <input type="checkbox"/> | Master Fire Suppression License | No. _____ |
| <input type="checkbox"/> | Electrician's License | No. _____ |
| <input type="checkbox"/> | Riggers License | No. _____ |
| <input type="checkbox"/> | Asbestos Handlers License | No. _____ |
| <input type="checkbox"/> | Additional Licenses | Type _____
No. _____ |
| <input type="checkbox"/> | Copies Attached | |

The license must be in the name of the qualifying concern and an officer of that concern.

FOR NYC DEPARTMENT OF EDUCATION OFFICIAL USE ONLY

Above license (s) attached.

(Check)

VERIFIED BY: _____

APPLICATION
for
Listing as an Approved Contractor
For Maintenance, Repairs, Etc. in the
New York City Public Schools

REVISED – JUNE 14, 2004

TO THE DEPARTMENT OF EDUCATION OF THE CITY OF NEW YORK:

The undersigned requests the Department of Education of the City of New York to be approved and listed as a Contractor qualified to bid for contracts for maintenance, repairs, etc., work in the public schools of The City of New York.

In consideration of said Department approving the undersigned contractor and awarding to the undersigned any contract for maintenance, the repairs, etc. in the public schools in The City of New York for which the undersigned shall submit bids, the undersigned agrees to supply materials and labor, and agrees to abide by and comply with the provisions of the Department of Education's standard form of contract known as Contract No. I, dated June 14, 2004 and as revised thereafter, copies of which are on file in the Division of School Facilities, Office of Building Services as if said form of contract has been signed by the undersigned and by the Executive Director for School Facilities, and as if the proposal for bids, and the accepted bid, and the plans and specifications for such work, had been annexed to said form of contract.

Notice by mail by the Executive Director for School Facilities, of the Department of Education to the undersigned, that the Department has accepted a bid of the undersigned for maintenance, repairs, etc., work shall constitute a contract between the undersigned as contractor, and the Department of Education.

The undersigned declares and certifies:

FIRST: That the statement as to qualifications and financial status of the undersigned accompanying this application is correct and true, and in case of any changes in the matters certified therein, immediate written notice thereof will be given to the Department of Education.

Q – 3(A)

SECOND: That no other than the undersigned will be interested in bids proposed to be submitted to the Department of Education of the City of New York.

THIRD: That this application to the Department for listing as approved contractor for work of maintenance, repairs, etc., in the schools under the jurisdiction of the Department of Education is made without any previous understanding, agreement or connection with any other person, firm or corporation, and is in all respects true: that the bids to be submitted to the Department for proposed work will be as low as the net prices charged to others for the same kind, quality and quantity of work.

FOURTH: That the undersigned is not in arrears to The City of New York or to the Department of Education of the City of New York.

FIFTH: That the undersigned has carefully examined the Department of Education Standard Form of Contract known as Contract No. I, dated June 14, 2004 and as revised thereafter and will perform all work orders that shall be awarded to the undersigned, in strict conformity with the specification and plans for such work, in accordance with all its terms, covenants, conditions, and within the stated time in the work order and form of Contract No. I dated June 14, 2004 and revised thereafter.

DATED: _____, 20__

(Full Name of Concern)

By: _____
(Signature and Title)

Corporate Seal Required

Q- 3 (B)

ACKNOWLEDGMENT

(By an Individual)

State of _____ }
County of _____ } ss:

On this _____ day of _____, in the year two thousand and _____ before me personally came _____ to me known and known to me to be the same person described in and who executed the foregoing application and acknowledged to me that it had executed the same.

Notary Public or Commissioner of Deeds

(By a Partnership)

State of _____ }
County of _____ } ss:

On this _____ day of _____ in the year two thousand and _____ before me personally came _____ to me known, who being by me duly sworn, did depose and say that it is a member of the firm described in and which executed the foregoing application on behalf of said firm , and that the several matters therein stated are in all respects true.

Notary Public or Commissioner of Deeds

(By a Corporation)

State of _____ }
County of _____ } ss:

On this _____ day of _____ in the year two thousand and ____ before me personally came _____ to me known, who being by me duly sworn, did depose and say that it resided in the City of _____ and is the _____ of _____ the corporation described in and which executed the foregoing applications: that it knows the seal of the said corporation and that the seal affixed to the foregoing in such corporate seal that it was so affixed by the order of the Board of Directors of said corporation and that by like order it thereto signed his name and official designation.

Notary Public or Commissioner of Deeds

**DEPARTMENT OF EDUCATION
DIVISION OF SCHOOL FACILITIES
CONTRACTOR QUALIFICATION AND COMPLIANCE UNIT**

BUSINESS INFORMATION

NAME _____ TELEPHONE # _____

ADDRESS _____ FAX # _____

_____ EMAIL ADDRESS _____

City State Zip Code

I. Type of Business Organization
(Check one)

_____ Sole Proprietorship

_____ Partnership

_____ Corporation

II. List your Federal Taxpayer Identification Number
(Issued by the Internal Revenue Service)

No. _____

III. If you do not have a Federal Taxpayer Identification Number,
Please list your Social Security Number.

No. _____

Signed: _____

(Print Name)

(Title)

Return to: Contractor Qualification and Compliance Unit
Division of School Facilities
44-36 Vernon Blvd., 5th Floor
Long Island City, New York 11101

FOR SUBCONTRACTORS ONLY
If a Corporation, apply Corporate Seal
Here:

**DEPARTMENT OF EDUCATION
DIVISION OF SCHOOL FACILITIES
CONTRACTOR QUALIFICATION AND COMPLIANCE UNIT**

LABOR LAW FORM

CONTRACTOR'S NAME AND ADDRESS

Date: _____ 20 _____

Re: Prevailing Wages and
Supplemental Benefits

Dear Sir:

I certify that I pay and will continue to pay the prevailing rate of wages including all supplemental benefits as required by the New York State Labor Law-Section 220 and/or Labor Law-Section 230 and as prescribed by the Comptroller of the City of New York to all labor employed by me on New York City Department of Education contracts, and that I am ready to provide evidence on prevailing wages and supplemental benefit payments at any time upon request from the New York City Department of Education.

I certify that I will pay supplemental benefits to all labor employed by me in accordance with the category check below:

- | <u>CATEGORY</u> | <u>DESCRIPTION</u> |
|------------------|---|
| 1. () | Benefits paid through Union, Local No. _____
(Attach copy of agreement(s)). |
| 2. () | Approved welfare/pension plan (attach copies). |
| 3. () | No work on site. Law not applicable. |
| 4. () | Self employed partners or officers are only workers. |
| 5. () | Section 230 applies. Check other appropriate category. |
| 6. () | Cash Payments in form of checks at Comptroller approved rates. |

Sworn to this day:

(Notary Public)

(Signature)

(Print Name and Title)

YOUR QUALIFICATION STATEMENT WILL NOT BE APPROVED WITHOUT THIS DECLARATION.

**DEPARTMENT OF EDUCATION
DIVISION OF SCHOOL FACILITIES
CONTRACTOR QUALIFICATION AND COMPLIANCE UNIT**

WORKER IDENTIFICATION IN OCCUPIED FACILITIES FORM

Standards and Specifications include a general statement which pertains to employee identification. This requires that the contractor provide identification badges for all employees, including those of sub-contractors.

The badges must be worn on outer clothing and be conspicuous at all times when workmen are in the facility. The badge must include the contractor's name and specific employee identification. Any employee not wearing identification while on site **may be** barred from further work in schools.

Whenever your employees are working in an occupied facility, the requirement for employee identification will be strictly enforced. No employee of your company or any sub-contractor will be permitted in the facility without proper identification.

Your compliance with these regulations will do much to relieve the concerns of principals and parents in various schools.

(Print Name)

Signature
Contractor/Subcontractor

Name of Business

Date

**Return to: Division of School Facilities
Contractor Qualification and Compliance Unit
44-36 Vernon Blvd., 5th Floor
Long Island City, New York 11101**

**DEPARTMENT OF EDUCATION
DIVISION OF SCHOOL FACILITIES
CONTRACTOR QUALIFICATION AND COMPLIANCE UNIT**

REFERENCES LIST FOR: _____
(COMPANY NAME)

No.	Contract Amount	Type of Work (Trade)	Date Work Completed	Contact Person	Work Location – Full mailing address, City, Zip Code & Tele	Client’s – Full Mailing Address, City, Zip Code, & Telephone
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

(PRINT CLEARLY OR SUBMIT ON SEPARATE SHEET)