



# Contractor's Qualification Statement and Experience Questionnaire

Submitted by \_\_\_\_\_  
The name as indicated herein must conform in all respects to the name of the contractor referred to in the Report of the Independent CPA, and the name to be included on potential contractual agreements with the Department.

Federal Employer Identification No. \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_

State \_\_\_\_\_ Zip \_\_\_\_\_

email \_\_\_\_\_

Telephone No. \_\_\_\_\_ Fax No. \_\_\_\_\_

Date of Statement \_\_\_\_\_ 20 \_\_\_\_\_

**MAIL TO:**  
**DIRECTOR OF OPERATIONS**  
**DEPARTMENT OF TRANSPORTATION**  
**DWIGHT D. EISENHOWER STATE OFFICE BUILDING**  
**700 S.W. Harrison, 8th Floor**  
**Topeka, Kansas**  
**66603-3754**  
**(785) 296-2235**  
**Fax: (785) 296-2799**  
**Email Address: [KDOT.Operations@ks.gov](mailto:KDOT.Operations@ks.gov)**

# **INSTRUCTIONS FOR FILING STATEMENT OF EXPERIENCE AND FINANCIAL CONDITION**

This statement is to be filed with the Director of Operations, Kansas Department of Transportation (hereafter called Director) for the purpose of qualifying to bid on construction and is considered to be strictly confidential and shall not be made public.

The Qualification Statement must be filled out in accordance with all instructions. An incomplete statement may result in a lower rating than would otherwise result. Attach supplemental information if the spaces provided do not suffice. Statements on forms other than those provided by the DOT will not be accepted. The Qualification Statement should be reassembled using page numbers provided.

The Contractor, as evidenced by the sworn affidavit required herein, guarantees the truth and accuracy of all statements and answers hereinafter made.

Kansas Statutes Annotated 68-410 provides that, "No contract shall be awarded (by the Secretary) to a nonresident individual, partnership or corporation unless the same has established a permanent office in the State of Kansas so that service can be had and taxes collected from said nonresident." In addition any foreign corporation shall comply with K.S.A. 17-7301 and obtain authority from the Secretary of State to engage in the state as a foreign corporation. All out-of-state contractors, shall complete the "Contractor's Certificate (Corporation)" or "Contractor's Certificate (Individual or Co-Partnership)," whichever is applicable.

In order to qualify to bid on state projects the bidder shall submit a complete **Qualification Statement to the Director at least ten (10) days prior to the date set for the opening of bids** on the project or projects on which the bidder desires to bid. In order to remain qualified the contractor shall file a new statement at least annually, and at such other times as may be requested by the Director. Unless otherwise notified, the qualification shall continue for a period of twelve (12) months from the date of the Qualification Letter signed by the Prequalification Committee Chair.

The Director reserves the right to reject any Qualification Statement which is as of a date six months or more prior to the date of filing, and in no event will a statement be accepted which is more than one year old.

The qualification rating shall determine the total amount of work in dollars allowable in any one or more classifications of all states, counties, municipalities, or individuals at the time when a bidding proposal is requested. The Contractor shall indicate in Section A, the classification(s) of work on which the Contractor desires to bid.

Any bidder not satisfied with the findings of the Prequalification Committee may file a notice as described in 102.2(f) of the Standard Specifications for Road and Bridge Construction (latest edition).

## **NOTICE TO CONTRACTORS**

The Standard Specifications require that Contractors shall be qualified for various classifications of state highway work on the basis of their financial rating, the amount of required equipment, and previous experience of their organization and key personnel on highway construction or other comparable projects.

It is extremely important that the Contractor list in his statement both equipment and experience that would warrant the Committee qualifying the Contractor in the classification or classifications of work requested. Requested classifications of work that are not substantiated by sufficient equipment and experience will not be considered by the Committee.

If equipment is to be leased or otherwise obtained, this information must be submitted in writing to the Committee. Leasing arrangements should be specific to the leasing company and the types of equipment to be leased. This information is to be submitted on the letterhead of the leasing company and signed by the appropriate person for the leasing company.

## **CONTRACTOR'S QUALIFICATION STATEMENT SECTION AND INDEX**

SECTION A	Desired Classification(s) of Work
SECTION B	Contractor's Financial Statements
SECTION C	Independent CPA, Certificate and Permit Numbers
SECTION D	Affidavit of Individual, Co-Partnership, Corporation
SECTION E	Contractor's Experience Questionnaire
SECTION F	Contractor's Certificate

## DESIRED CLASSIFICATION(S) OF WORK

INDICATE CLASSIFICATION OR CLASSIFICATIONS OF WORK ON WHICH YOU DESIRE TO BE QUALIFIED

CLASSIFICATION OF WORK	√	YEARS OF EXPERIENCE	WHERE – States
A. <b>All Earthwork</b>			
B. <b>Earthwork-Minor:</b> Less than 10,000 CU YD			
C. <b>Stabilized Subgrades and Base Courses:</b> Subgrade Modification, Lime Treated Subgrade, Cement or Fly Ash Treated Subgrade, Crushed Stone Subgrade, Aggregate Base, Cement Treated Base, Granular Base.			
D. <b>All Structures:</b> (Open Span Bridges)			
E. <b>Bridge Repair:</b> Bridge Repair, Area Prepared for Patching, Multi-Layer Polymer Overlay, Slurry Polymer Concrete Overlay, Polymer Overlay Repair, Bridge Expansion Devices.			
F. <b>Reinforced Concrete Box Structures</b>			
G. <b>Retaining Wall Systems:</b> MBW and MSEW Precast Panels			
H. <b>Retaining Walls:</b> Cast-in-place and Landscape Retaining Wall Systems (less than 6 feet high)			
I. <b>Misc. Concrete:</b> Curb and Gutter, Sidewalk, Concrete Ditching Lining, Concrete Riprap, Flumes, Inlets			
J. <b>Pipe:</b> Entrance, Cross Road, Erosion and Liner Pipe, Storm and Sanitary Sewer, Underdrains, Edge Drains			
K. <b>All Portland Cement Concrete Pavement</b>			
L. <b>Portland Cement Concrete Pavement-Minor:</b> Less than 10,000 SQ YD, Pavement Patching (Excluding Asphalt Patching)			

<b>M. All Hot Mix Asphalt</b>			
<b>N. Hot Mix Asphalt-Minor: Less than 2000 Tons</b>			
<b>O. Asphalt Treatments (Check all that apply)</b> <input type="checkbox"/> Cold Recycled Asphalt Construction <input type="checkbox"/> Asphalt Sealing <input type="checkbox"/> Surface Recycled Asphalt Construction <input type="checkbox"/> Asphalt Surface Treatment <input type="checkbox"/> Microsurfacing <input type="checkbox"/> Ultrathin Bonded Asphalt Surfaces <input type="checkbox"/> Asphalt Prime Coat <input type="checkbox"/> Crack Seals <input type="checkbox"/> Crack Repairs			
<b>P. Aggregate Drainage Improvements (Slope Protection)</b>			
<b>Q. Painting Structural Steel</b>			
<b>R. Guardrail and Fencing</b>			
<b>S. Pavement Marking</b>			
<b>T. Signing and Delineation: Structural Signs</b>			
<b>U. Signing-Minor: Post Mounted Signs, Excluding Structural Signs</b>			
<b>V. Electric Lighting and Traffic Signals</b>			
<b>W. Rest Area Structures and Buildings</b>			
<b>X. Planting and Seeding: Temporary Erosion and Pollution Control, Seeding, Mulching, Topsoil, Trees, Shrubs and Other Plants</b>			
<b>Y. Miscellaneous (Construction not otherwise classified)</b>			
<b>Z. Stabilized Subgrades and Base Courses:</b> Less than 20,000sqyd. Subgrade Modification, Lime Treated Subgrade, Cement or Fly Ash Treated Subgrade, Crushed Stone Subgrade, Aggregate Base, Cement Treated Base, Granular Base.			

KANSAS DEPARTMENT OF  
TRANSPORTATION  
CONTRACTOR'S  
FINANCIAL STATEMENTS

Alternatives pertaining to Contractor's financial statements

**Alternative No. 1**

If a contractor seeks a maximum prequalification of \$3,000,000 then an audit by an independent certified public accountant is not necessary. In addition to completing other relevant sections of the prequalification packet, the contractor needs to complete and submit pages two through six of Section B in the prequalification application.

If a contractor seeks a maximum prequalification in excess of \$3,000,000 then the following alternatives are relevant.

**Alternative No. 2**

Include the contractor's audited financial statements prepared in accordance with U.S. Generally Accepted Accounting Principles (GAAP) accompanying footnotes and the report of an independent certified public accountant with the prequalification application. The entity named on the financial statements and in the auditor's report should be identical to the entity named in the prequalification application. It is not necessary to complete pages two through six of Section B, when this alternative is selected.

Audited financial statements, together with an unmodified report (i.e. a "clean opinion") of an independent CPA provide confidence that the figures and disclosures are reliable. Some companies have created special purpose entities (Variable Interest Entities) to remove assets and liabilities from their balance sheet. The independent CPA must issue a modified opinion with the qualification based on the fact a VIE exists and the audited financial statements are not consolidated.

When a VIE exists and the independent CPA issues modified opinion with a qualification, then the maximum prequalification amount will be \$3,000,000 unless the following conditions exist.

- The audit report qualification is due exclusively to the absence of a consolidated financial statement;
- and**
- The contractor provides audited financial statements together with an unmodified report of an independent CPA on the construction company component of the contractor. Then in this situation, the entity prequalified will be the construction company and it is the financial statement of the construction company that influences the maximum prequalification amount. Any contract awarded by the Department will be in the name of the construction company component of the contractor.

**Alternative No. 3**

When the independent CPA provides an unmodified opinion on consolidated financial statements which include a wholly owned construction company that is material to the financial statements taken as a whole, then the construction company (in lieu of the consolidated entity) maybe prequalified if the schedule of consolidation is included in the financial statements and such schedule clearly reflects the assets, liabilities and owner's equity of the construction company.

**Alternative No. 4**

The Department will accept a contractor's submittal of Exhibit B-1, Section B. That exhibit reflects in the first column the balance sheet amounts as audited and reported upon by the independent CPA. The appraisal increase or decrease should be reported in the second column of the exhibit. The last column of the exhibit is the summations of the first two columns. When this alternative is selected, it is necessary to provide the audited financial statement, accompany footnotes, and report of the independent CPA.

When a contractor utilizes this alternative, a detailed listing of the assets being appraised shall be included. That listing shall contain for each appraised asset: description, date of acquisition, accumulated depreciation, net book value, appraised value, and increase or decrease in net book value attributed to the appraisal.

All appraisals must be prepared and signed by an Accredited Member or Accredited Senior Appraiser of the American Society of Appraisers or by an individual holding the Member of the Appraisal Institute (MAI) designation from the Appraisal Institute. An associate or affiliate member in either organization does not suffice.

# CONTRACTOR'S BALANCE SHEET

As of: \_\_\_\_\_

Exhibit B

CONTRACTOR'S NAME: \_\_\_\_\_

## ASSETS

**Current Assets :**

Cash	
Short-term Investments	
Accounts Receivable	
Other	
<b>Total Current Assets</b>	

**Other Assets :**

Marketable Securities	
Prepaid Expenses	
Deposits	
Other	
Property and Equipment	
Less Accumulated Depreciation	
<b>Total Other Assets</b>	
<b>Total Assets</b>	

## LIABILITIES AND OWNER'S EQUITY

**Current Liabilities:**

Accounts Payable	
Accrued Expenses	
Short-term Debt	
Current Portion of Long-term Debt	
Other	
<b>Total Current Liabilities</b>	

**Non-Current Liabilities :**

Deferred Expenses	
Long-Term Debt	
Other	
<b>Total Non-Current Liabilities</b>	

**OWNER'S EQUITY**

Preferred Stock	
Common Stock	
Capital in Excess of Par	
Retained Earnings	
Treasury Stock	
Other	
<b>Total Owner's Equity</b>	
<b>TOTAL LIABILITIES AND OWNER'S EQUITY</b>	

# CONTRACTOR'S BALANCE SHEET

(TO BE SUBMITTED WHEN ALTERNATIVE 3, IS SELECTED)

As of: \_\_\_\_\_ Exhibit B-1

CONTRACTOR'S NAME: \_\_\_\_\_

## ASSETS

**Current Assets :**

	ASSETS <small>In accordance with Generally Accepted Accounting Principals</small>	Appraisal Increase (Decrease)	GAAP with Appraisal Increase (Decrease)
Cash			
Short-term Investments			
Accounts Receivable			
Other			
<b>Total Current Assets</b>			

**Other Assets:**

Marketable Securities			
Prepaid Expenses			
Deposits			
Other			
Property and Equipment			
Less Accumulated Depreciation			
<b>Total Other Assets</b>			
<b>Total Assets</b>			

**Current Liabilities:**

## LIABILITIES AND OWNER'S EQUITY

Accounts Payable			
Accrued Expenses			
Short-term Debt			
Current Portion of Long-term Debt			
Other			
<b>Total Current Liabilities</b>			

**Non-Current Liabilities:**

Deferred Expenses			
Long-Term Debt			
Other			
<b>Total Current Liabilities</b>			

**OWNER'S EQUITY**

Preferred Stock			
Common Stock			
Capital in Excess of Par			
Retained Earnings			
Treasury Stock			
Other			
<b>Total Owner's Equity</b>			
<b>TOTAL LIABILITIES AND OWNER'S EQUITY</b>			



## ITEMIZED DETAIL OF ASSETS

1. Cash on hand					AMOUNT
Name of Bank	Location	in whose name			
Total					
2. Notes receivable					AMOUNT
Name	For	Date of Origin	Due Date		
Total					
3. Accounts receivable, "Contract," approved estimates					AMOUNT
Name	Approved	Not Paid	Retained	Per Cent	
Total					
Cost accumulated since last estimate.					
Date of last approved estimate	Labor	Materials	Other		
Total					
4. Accounts receivable, other than contracts.					AMOUNT
Name	For	Date of Origin	Due Date		
Total					
5. Deposits submitted with bids.					AMOUNT
Deposited with	For	Letting Date			
Total					
6. Real Estate, land only.					Book Value
Description	Location	in whose name	Cost		
Total					







**If a corporation, answer this:**

Capital paid in cash, \$ \_\_\_\_\_  
When incorporated \_\_\_\_\_  
In what state \_\_\_\_\_  
President's name \_\_\_\_\_  
Vice-president's name \_\_\_\_\_  
Secretary's name \_\_\_\_\_  
Treasurer's name \_\_\_\_\_

**If a co-partnership, answer this:**

Date of organization \_\_\_\_\_  
State whether partnership is general, limited or association \_\_\_\_\_  
Name and address of partners: \_\_\_\_\_ Age \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Affidavit for Individual**

STATE OF \_\_\_\_\_ }  
COUNTY OF \_\_\_\_\_ } SS.

- WBE CONTRACTOR
  - DB CONTRACTOR
  - NON-MINORITY CONTRACTOR
- Check one of the above

\_\_\_\_\_ 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, that the answers to the foregoing interrogatories are true and the statements in the experience questionnaire are correct; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitter a contract; and that any depository vendor of other agency herein named is hereby authorized to supply such party any information necessary to verify this statement.

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
(Individual must sign here)

\_\_\_\_\_  
Notary Public

**Affidavit for Co-Partnership**

STATE OF \_\_\_\_\_ }  
COUNTY OF \_\_\_\_\_ } SS.

- WBE CONTRACTOR
  - DB CONTRACTOR
  - NON-MINORITY CONTRACTOR
- Check one of the above

\_\_\_\_\_ being duly sworn, deposes and says that he is a member of the firm of \* \_\_\_\_\_; that he is familiar with the books of said firm showing its financial condition; that the foregoing financial statement, taken from the books of said firm, is a true and accurate statement of said form as of the date thereof, that the answers to the foregoing interrogatories are true and the statements in the experience questionnaire are correct; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitter a contract; that any depository, vendor or other agency herein named is hereby authorized to supply such party with any information necessary to verify this statement.

\_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(All partners sign here)

\_\_\_\_\_  
Notary Public

**Affidavit for Corporation**

STATE OF \_\_\_\_\_ }  
COUNTY OF \_\_\_\_\_ } SS.

- WBE CONTRACTOR
  - DB CONTRACTOR
  - NON-MINORITY CONTRACTOR
- Check one of the above

\_\_\_\_\_ being duly sworn, deposes and says that he is \_\_\_\_\_ of the \* \_\_\_\_\_ that he is familiar with the books of the said corporation showing its financial condition; that the foregoing financial statements, taken from the books of said corporation, is a true and accurate statement of the financial condition of said corporation as of the date thereof, that the answers to the foregoing interrogatories are true and the statements in the experience questionnaire are correct; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitter a contract; and that any depository, vendor or other agency herein named is hereby authorized to supply such party with any information necessary to verify this statement.

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
(Officer must sign here)

\_\_\_\_\_  
Notary Public

A separate certification is required for WBE and DB contractor status; forms may be obtained from the "Office of Contract Compliance."

**\*Name of Company making application**

# EXPERIENCE QUESTIONNAIRE

Submitted to Secretary of Transportation by \_\_\_\_\_  
Principal office at \_\_\_\_\_

- Individual
- Partnership
- Corporation

1. How many years has your organization been in business as a highway contractor under your present business name?  
\_\_\_\_\_
2. How many years' experience in \_\_\_\_\_ construction work has your organization had:  
(a) As a general Contractor? \_\_\_\_\_ (b) As a Sub-Contractor? \_\_\_\_\_
3. Have you ever failed to complete any work awarded to you? \_\_\_\_\_ If so, where and why? \_\_\_\_\_
4. Has any officer or partner of your organization ever been an officer or partner of some other organization that failed to complete a construction contract? \_\_\_\_\_ If so, state name of individual, other organization and reason therefore: \_\_\_\_\_
5. Has any officer or partner of your organization ever failed to complete a construction contract handled in his own name? \_\_\_\_\_ If so, state name of individual, name of owner and reason therefore: \_\_\_\_\_
6. In what other lines of business are you financially interested? \_\_\_\_\_
7. Has your firm ever been denied prequalification from this state or any other state, or in any federal project? \_\_\_\_\_ If so, where and why? \_\_\_\_\_
8. Has your firm ever been removed from approved bidders list in this state or any other state, or from the federal government list? \_\_\_\_\_ If so, where and why? \_\_\_\_\_
9. Has any officer or partner of your organization been an officer or partner of some other organization that has been denied prequalification, or removed from the approved bidders list from this state or any other state, or the federal government list? \_\_\_\_\_ If so, where and why? \_\_\_\_\_









(Out of State Contractors Only)

CONTRACTOR'S CERTIFICATE  
(Corporation)

KNOW ALL MEN BY THESE PRESENTS, That the \_\_\_\_\_  
a corporation organized and existing under the laws of the State of \_\_\_\_\_, and having its principal  
place of business at \_\_\_\_\_, and having authority to do business in  
Kansas, and maintaining a permanent office at \_\_\_\_\_, \_\_\_\_\_, Kansas,  
(Address) (City)  
and having \_\_\_\_\_ in charge, does hereby constitute and appoint  
\_\_\_\_\_, whose residence address is \_\_\_\_\_ Street in said city,  
county and state, its true and lawful process agent for it and in its stead to accept service of any process or notice  
in any civil action issued by any court of record or justice of the peace; and it is agreed that the service of such  
process or notice upon the person above designated in any civil action shall be as effectual and complete as if  
service of such process were made upon the said contracting company or corporation itself.

IN WITNESS WHEREOF, the said \_\_\_\_\_  
has hereunto caused its corporate name to be signed and its corporate seal to be affixed by its \_\_\_\_\_,  
all being done in the City of \_\_\_\_\_, and State of \_\_\_\_\_, on this \_\_\_\_\_ day of  
\_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Contractor

By \_\_\_\_\_

\_\_\_\_\_  
(Official Title)

SUBSCRIBED BEFORE ME THIS \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(SEAL)

\_\_\_\_\_  
Notary Public

My commission expires \_\_\_\_\_

(Out of State Contractors Only)

CONTRACTOR'S CERTIFICATE  
(Individual or Co-Partnership)

KNOW ALL MEN BY THESE PRESENTS, That \_\_\_\_\_

doing business as \_\_\_\_\_

and resident of \_\_\_\_\_, State of \_\_\_\_\_, maintaining a permanent office at \_\_\_\_\_  
(Address)

\_\_\_\_\_, \_\_\_\_\_, Kansas said office being in charge of \_\_\_\_\_, does

hereby constitute and appoint \_\_\_\_\_ whose residence address is \_\_\_\_\_

Street in said city, county and state, his/their true and lawful process agent for him/them and his/their name and stead to accept service of any process or notice in any civil action issued by any court of record or justice of the peace; and it is agreed that the service of such process or notice upon the person above designated in any civil action shall be as effectual and complete as if service of such process were made upon the said contractor or contracting company itself.

IN WITNESS WHEREOF, the said \_\_\_\_\_ has hereunto set \_\_\_\_\_ hand \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Contractor

By \_\_\_\_\_

\_\_\_\_\_  
(Official Title)

SUBSCRIBED BEFORE ME THIS \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(SEAL)

\_\_\_\_\_  
Notary Public

My commission expires \_\_\_\_\_