



Contractor Qualification Statement

(Standard Form, use for contracts exceeding \$20,000, for all projects with the US Government, and for all projects involving asbestos or other hazardous materials)

— Please complete in entirety —

Trane requires completion of this Statement prior to consideration of a bid from your organization and / or a contract award.

The undersigned certifies under oath to the truth and correctness of all statements and of all answers to questions made hereinafter.

DATE: _____

EXACT LEGAL NAME OF ORGANIZATION: _____

ADDRESS: _____

CITY, STATE & ZIP: _____

PHONE: _____ FAX: _____

WEBSITE: _____

EMAIL ADDRESS: _____

PRINCIPAL OFFICE: _____

SUBMITTED BY: _____

TITLE: _____

(NOTE: Attached Separate Sheets as Required)

1. How many years has your organization been in business as a contractor? _____
2. How many people does business employ? _____
3. What does the business specialize in? _____
4. If business specializes in electrical, indicate if focus is on low voltage controls, or higher voltage installations _____
5. How many years has your organization been in business under its present business name?

6. If a corporation, answer the following:
 - Date of incorporation: _____
 - State of incorporation: _____
 - President's Name: _____
 - Vice-President's Name: _____
 - Corporate Secretary Name: _____
 - Treasurer's Name: _____
 - Type of Corporation (e.g. business, L.L.C.): _____

7. If individual or partnership, answer the following:
 Date and state of organization: _____
 Type of partnership (general or limited partnership): _____
 Name & address of all partners (identify all general and limited): _____

8. If other than corporation or partnership, describe type of entity and name principals:
 Type of Entity _____
 Principal Names & addresses _____

9. If Subsidiary, provide name and address of parent company:
 Company Name _____
 Address _____
 City, State, Zip Code _____
 Phone Number _____
10. Location of other offices and services provided:
 Company Name _____
 Address _____
 City, State, Zip Code _____
 Services Provided _____

 Company Name _____
 Address _____
 City, State, Zip Code _____
 Services Provided _____

 Company Name _____
 Address _____
 City, State, Zip Code _____
 Services Provided _____

11. Business Concern Status – size and classification (See Page 13 for definitions or refer www.sba.gov for further information on business classification). **Mark all that apply.**

- Large Business (small business classification not applicable)
- Small Business
- Small Disadvantaged Business
- Women-Owned Small Business
- Historically Black Colleges and Universities (HBCU) and Minority Institutions (MI)
- HUB Zone Small Business
- Veteran-Owned Small Business
- Service-Disabled Veteran-Owned Small Business

12. The above enterprise is at least 51% owned, controlled, and operated by (see page 123):

- Not applicable; OR select one of the following
- African American
- Subcontinent Asian American
- Hispanic American
- Asian Pacific American
- Native American
- Alaskan Native Corporations (ANCs) and Indian Tribes that have not been certified by the small business administration as small disadvantage businesses (*dollar amount*)(see specific instructions)
- Alaskan Native Corporations (ANCs) and Indian Tribes that are not small businesses (*dollar amount*)(see specific instructions)
- Other:

13. Registered with Regional Minority Purchasing Council, Small Business Administration, or other organization?

- No
- Yes; Name: _____

14. Check the appropriate category or categories of your business:

- | | |
|--|--|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Affiliated with AFL/CIO |
| <input type="checkbox"/> Individual/Proprietorship | <input type="checkbox"/> Other Union Affiliation |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Non-Union |

Specify: _____

15. List the number of employees, by trade and experience level. (e.g. Apprentice, Journeyman, etc.)

<u>Trade</u>	<u>Apprentice</u>	<u>Journeymen</u>	<u>Other</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

16. Labor Agreements: List Union Agreements/Labor Contracts to which you are signatory:
Name of Union Expiration Date

17. Additional Significant information regarding business size and/or classification:

18. We normally perform _____% of the work with our own forces.
List trades below:

19. Have you ever failed to complete any work awarded to you or had contracts terminated by your customer?

- No
 Yes

If "Yes," specify customer and project name and answer the questions below:

When? _____

Where? _____

Why? _____

20. Do you have any litigation pending against or initiated by your firm?

- No
 Yes, Please describe the dispute(s) and provide case name(s) and jurisdiction(s):

21. Licensing:

Identify all jurisdictions in which your firm is licensed as an engineering, architectural, contracting and/or design/build contracting firm and provide the licensing classification and license numbers for each such license:

****(Use separate sheet and attach copy of each license.)*

Have you ever had any license(s) revoked or suspended?

- No
 Yes, please give details:

22. List any other applicable current licenses (with license numbers and issuing entity) held:

****(Use separate sheet and attach copy of each license.)*

23. Note Federal ID number here: _____

24. List the Major construction projects your organization has in process on this date:

<i>Project Contact</i>	<i>Contract Amount</i>	<i>Percent Complete</i>	<i>Scheduled Completion</i>	<i>General Contractor</i>	<i>Phone</i>

25. We have completed _____ projects in excess of \$ _____, in the past three years. List most notable projects:

<i>Project Contact</i>	<i>Contract Amount</i>	<i>Date</i>	<i>Own Forces</i>	<i>Contractor</i>	<i>Phone</i>

26. Existing building experience evaluation.

_____ % of our work is in existing buildings (retrofits).

Do you have experience with energy saving retrofits?

No

Yes, List projects and involvement:

Do you have any experience with guaranteed savings performance projects?

No

Yes, List Projects:

27. Supplier References:

<i>Company</i>	<i>Street Address</i>	<i>City, State Zip</i>	<i>Fax</i>

28. Bank References: (Include all requested info, please.)

<i>Financial Institution</i>	<i>Account #</i>	<i>Contact</i>	<i>Phone</i>	<i>Fax</i>

29. Bonding Company: _____

Address: _____

City, State, Zip: _____

Agent: _____

Phone Number: _____

What is your firm's bonding capacity? _____

Provide your premium (cost per \$1,000) for payment and performance bonds:

30. Insurance Company _____

Agent's Name _____

Address _____

City, State, Zip _____

Phone Number _____

(Attach Certificate Of Insurance)

Insurance Coverage Limits:	Each Occurrence	Aggregate
Worker's Compensation		
General Liability		
Bodily Injury		
Property Damage		
Automobile Liability		
Bodily Injury		
Property Damage		
Excess Liability (Umbrella)		

31. Experience Modification Rating (EMR) _____ Date of last Rating: _____

- Provide copy of statement from insurer
- Workers compensation agent/carrier: _____
Address: _____
Contact: _____ Phone: _____

32. Safety:

- Company Safety Manager/Contact _____
Phone number _____ Fax number _____
- Submit Company's written safety program, including Hazard Communication Program
- Submit safety forms and/or reports currently used by your company, including but not limited to;
 - orientation programs,
 - safety meetings,
 - safety inspections, and
 - accident investigations.
- Submit OSHA No. 200/300 log and OSHA 300A Summary for the last three years
- Has your company been inspected by local, state or Federal OSHA in the past five years?
 No
 Yes. If yes, were any citations issued, what was the date and nature of the cited violations and have these violations been corrected?

33. List Professional Trade Associations with which your organization is affiliated:

34. Job Planning and Scheduling: Do you use a planning and scheduling software program for labor, time, and cost control of your projects?

- No
- Yes, What program?

35. Provide a copy of your firm's Statement of Financial Condition; latest regular dated financial statement or balance sheet must contain the following items:

CURRENT ASSETS: (Cash, joint venture accounts, accounts receivable, notes receivable, accrued interest on notes, deposits, and materials and prepaid expenses), net fixed assets and other assets.

CURRENT LIABILITIES: (Accounts payable, notes payable, accrued interest on notes, provision for income taxes, advances received from owners, accrued payroll

taxes), other liabilities, and capital (capital stock, authorized and outstanding share par values, earned surplus).

36. Detail all, if any, specific exceptions your firm has to the provisions of the Trane Construction Subcontract Agreement. (attach separate sheet if necessary)

37. Provide list of projects performed with Trane or any affiliates, along with contact names, phone numbers and business addresses. (*Use separate sheet and attach*)

38. Acknowledge receipt of, understanding and acceptance of the following:

- Trane Construction Subcontract Agreement Template
- Trane Consulting Services Agreement Template
- Trane Construction Subcontractor General Safety Rules
- Trane Partial Conditional Lien Waiver Document
- Trane Final Conditional Lien Waiver Document

Read, complete and execute the attached Agreement and Certification of Compliance with Federal Laws and Regulations, and Certification Regarding Debarment, Suspension, Proposed Debarment, And Other Responsibility Matters. (Wherein the undersigned Contractor is referred to as "Subcontractor.")

Subcontractor

By: _____

(name)

Its: _____

(title)

Dated: _____

_____ being first duly sworn deposes and says that he/she is the _____ of _____, (Contractor) and has answered the foregoing questions and all statements herein contained are true and correct.

Subscribed and sworn before me this ____ day of _____, 20__.

Notary Public: _____

My commission expires: _____

AGREEMENT AND CERTIFICATION OF COMPLIANCE WITH FEDERAL LAWS AND REGULATIONS

The contractor agrees that the following provisions and certification shall form a part of and be deemed attached to every contract, agreement, and/or purchase order entered into between the Contractor and Trane for a period of one year from the date of this agreement and certification.

Executive Order 11246 – Equal Opportunity Clause (if the contract is for \$10,000 or more).

Contractor agrees to include the Equal Employment Opportunity Clause by reference in every contract, agreement and purchase order entered into with subcontractors or suppliers as required by 41 CFR 60 –1.4(d).

Certification of Nonsegregated Facilities – (if the contract exceeds or will exceed \$10,000)

Contractor certifies that it does not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. It certifies further that it will not maintain or provide for its employees any segregated facilities at any of its establishments, and it will not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. Contractor agrees that a breach of its certification is a violation of the Equal Opportunity Clause in this contract. As used in this certification, the term “segregated facility” means any waiting rooms, work areas, rest rooms, and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom or otherwise. It further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will obtain identical certifications from proposed subcontractors prior to the award of such subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause, that it will retain such certification in its files, and that it will forward notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods): NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENTS FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES. A certification on Nonsegregated Facilities is required by the May 21, 1968, order on Elimination of Segregated Facilities by the Secretary of Labor (33 Fed. Reg. 7804, May 28, 1968), must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e. quarterly, semi-annually or annually)

Employer Information Report EEO-1

The undersigned Contractor further agrees and certifies that, if the value of any contract or purchase order is \$50,000 or more and the Contractor has 50 or more employees, Contractor will file a complete and accurate report on Standard Form 100 (EEO-1) with the Joint Reporting Committee at the appropriate address per the current instructions within thirty (30) days of the contract award and otherwise comply with and file such other compliance reports as may be required under Executive Order 11246, as amended, and Rules and Regulations adopted thereunder.

Written Affirmative Action Plans

The undersigned Contractor further agrees and certifies that if the value of any contract or purchase order is \$50,000 or more and the Contractor has 50 or more employees, contractor will develop a written affirmative action compliance program for each of its establishments as required by Title 41, Code of Federal Regulations, Section 60-1.40 and Section 60-2.

Veterans Employment Clause (if the contract is for \$10,000 or more)

Contractor agrees to abide by and comply with the provisions of the Affirmative Action Clause, Section 60-250.4 of 41 CFR unless exempted as therein provided and which provisions are incorporated herein by reference to the same extent as though set forth herein in full.

Executive Order 11758 – Employment of Handicapped Persons (if the contract is for \$2,500 or more)

Contractor agrees that it will abide by and comply with the provisions of the Affirmative Action Clause, Section 60-741.4 of 41 CFR (41 Fed. Reg. 16150, April 16, 1976), Affirmative Action for Handicapped Workers, which provisions are incorporated herein by reference to the same extent as though set forth herein in full.

Executive Order 11458 – Utilization of Minority Business Enterprises

For contracts of \$5,000 or more, where applicable, the Contractor recognizes the policy of the government that minority business enterprises shall have the maximum practicable opportunity to participate in the award of subcontracts, consistent with efficient performance, the Contractor agrees to use best efforts. The term "Minority Business Enterprise" means a business of 50 percent owned by minority group members.

For contracts of \$500,000 or more, the Contractor agrees to conduct a program, where applicable, to enable minority business utilization as set forth in items 1 through 7 of Executive Order, Subpart B, incorporated by reference herein.

_____ Name of Contractor	_____ Authorized Representative Signature
_____ Address	_____ Title
_____ City, State, Zip Code	_____ Date of Execution

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS. (FAR 52.209-5 MAR 1996)

- (a) The Subcontractor certifies:
 - (1) to the best of its knowledge and belief, that:
 - (i) The Subcontractor and/or any of its Principals:
 - (A) Are are not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency:
 - (B) Have have not been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and
 - (C) Are are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in subdivision (a)(1)(i)(B) of this provision.
 - (ii) The Subcontractor has has not , within a 3-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.
 - (2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

This certification concerns a matter within the jurisdiction of an agency of the United States and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under section 1001, title 18, United States Code.

(b) The Subcontractor shall provide immediate written notice to the Contractor if, at any time prior to contract award, the Subcontractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Subcontractor's responsibility. Failure of the Subcontractor to furnish a certification or provide such additional information as requested by the Contractor may render the Subcontractor nonresponsible.

Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Subcontractor is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Subcontractor knowingly rendered an erroneous certification, in addition to other remedies available to the Contractor or Government, the Contractor may terminate the contract resulting from this solicitation for default.

Subcontractor

By: _____

(name)

Its: _____

(title)

Dated: _____

Return to Business Classification

“HUBZone small business concern” means a business located in a historically underutilized business zone, which is an area located within one or more qualified census tracts, qualified non-metropolitan counties, or lands within the external boundaries of an Indian reservation. The HUBZone small business concern must appear on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration. The company must maintain a "principal office" in one of these specially designated areas. The program resulted from provisions contained in the Small Business Reauthorization Act of 1997. For SBA HUBZone information visit: <https://eweb1.sba.gov/hubzone/internet>.

“Minority-owned business” is a for-profit enterprise, regardless of size, physically located in the United States or its trust territories, which is owned, operated and controlled by minority group members. "Minority group members" are United States citizens who are Asian, Black, Hispanic and Native American. Ownership by minority individuals means the business is at least 51% owned by such individuals or, in the case of a publicly-owned business, at least 51% of the stock is owned by one or more such individuals. Further, the management and daily operations are controlled by those minority group members.

Asian-American

A U.S. citizen whose origins are from India, Pakistan and Bangladesh, Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the U.S. Trust Territories of the Pacific or the Northern Marianas.

African-American

A U.S. citizen having origins in any of the Black racial groups of Africa.

Hispanic-American

A U.S. citizen of true-born Hispanic heritage, from any of the Spanish-speaking areas of Latin America or the following regions: Mexico, Central America, South America and the Caribbean Basin only.

Native-American

A person who is an American Indian, Eskimo, Aleut or Native Hawaiian, and regarded as such by the community of which the person claims to be a part. Native Americans must be documented members of a North American tribe, band or otherwise organized group of native people who are indigenous to the continental United States and proof can be provided through a Native American Blood Degree Certificate (i.e., tribal registry letter, tribal roll register number).

The minority business must obtain certification by an affiliate council of the National Minority Supplier Development Council (NMSDC) before it will be recognized by TRANE as minority owned.

“Service-disabled veteran-owned small business concern”—

(1) Means a small business concern—

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

“Small business concern” means a small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto.

“Small Business Concern” is one that is independently owned and operated, not dominant in its field of operation and qualified as a small business under the criteria and size standards in 13 CFR Part 121. Such a concern is “not dominant in its field of operation” when it does not exercise a controlling or major influence on a national basis in a kind of business activity in which a number of business concerns are primarily engaged. In determining whether dominance exists, consideration shall be given to all appropriate factors, including volume of business, number of employees, financial resources, competitive status or position, ownership or control of materials, processes, patents, license agreements, facilities, sales territory, and nature of business activity. The law also states that in determining what constitutes a small business, the definition will vary from industry to industry to reflect industry differences accurately. SBA's Small Business Size Regulations implement the Small Business Act's mandate to SBA. SBA has also established a table of size standards, matched to North American Industry Classification System (NAICS) industries. When the U.S. Congress first established SBA, the fundamental question was just what numerical definition should SBA use to define small businesses, industry by industry, to determine what businesses were eligible for SBA's programs. Over the years SBA has established and revised numerical definitions for all for-profit industries, and this numerical definition is called a "size standard." It is almost always stated either as the number of employees or average annual receipts of a business concern. In addition to establishing eligibility for SBA programs, all federal agencies must use SBA's size standards for its Federal Government contracts if it identifies as a small business. Agencies must also use SBA's size standards for their other programs and regulations, unless they are authorized by Federal statute to use something else. SBA's Office of Size Standards develops and recommends small business size standards to the Size Policy Board and to the Administrator of SBA. These include recommendations on small business definitions that other Federal agencies propose. Under the Small Business Act, Federal agencies must obtain the approval of the SBA Administrator before adopting a size standard different from SBA's size standard. The Office of Government Contracting makes formal "size determinations" on whether a business qualifies as an eligible small business for SBA programs. NOTICE: In accordance with U.S.C. 645(d), any person who misrepresents a firm's proper size classification shall (1) be punished by imposition of a fine, imprisonment, or both; (2) be subject to administrative remedies; and (3) be ineligible for participation in programs conducted under the authority of the Small Business Act.

“Small disadvantaged business concern” means a small business concern that represents, as part of its offer that—

- (1) It has received certification as a small disadvantaged business concern consistent with 13 CFR Part 124, Subpart B;
- (2) No material change in disadvantaged ownership and control has occurred since its certification;
- (3) Where the concern is owned by one or more individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and
- (4) It is identified, on the date of its representation, as a certified small disadvantaged business in the database maintained by the Small Business Administration (PRO-Net).

“Veteran-owned small business concern” means a small business concern—

- (1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
- (2) The management and daily business operations of which are controlled by one or more veterans.

“Women-owned small business concern” means a small business concern—

- (1) That is at least 51 percent owned by one or more women, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
- (2) Whose management and daily business operations are controlled by one or more women.

Your Company certifies that it will promptly notify Trane if there are any changes in its status as stated above. The signer recognizes that this form will be relied upon in fulfilling legal

requirements of Trane.

NOTICE: False certifications or misrepresentations regarding MBE status or business size classification are subject to (1) imposition of a fine, imprisonment, or both; (2) administrative remedies; (3) and are ineligible for participation in any programs conducted under the authority of the SBA. Valid certification in accordance with the rules established by the applicable governing agency is a condition precedent to any contract award by Trane U.S. Inc.