



Today. Tomorrow. Together.

## Board of Lucas County Commissioners

### Responsible Contractor Prequalification Application

The following required forms and affidavits are included as exhibits in this application packet. These forms are provided by the County to ensure uniformity in required attestations and documentation.

Applicants must complete each applicable form in full (electronically or by hand) and submit all required forms together with their supporting documentation as part of the prequalification application.

**Required Forms (attached):**

- Local Workforce Worksheet (Exhibit A)
- Application Affidavit (Exhibit B)

**All other required documentation identified within the application must be supplied by the business** (e.g., insurance certificates, tax documentation, proof of local occupancy, etc.).

Completed and signed forms must be returned as part of your application packet. All required forms and supporting attachments must be submitted together for your application to be considered complete. **Incomplete or missing documentation may result in delays or disqualification** from consideration.

#### Contractor Information

Business Name

DBA

Type of Business

Corporation  
Subchapter S Corporation  
Partnership  
Sole Proprietor

EIN (for Sole Proprietorships, use SS#)

Business Address

Point of Contact

Address Line 1

First Name Last Name

Address Line 2

City State Zip

Business Phone Number

Email

Years in Existence

Total On-Site Workforce

Fiscal Year Start Date

Fiscal Year End Date

## Category A Requirements

To be approved, every applicant must meet **all of the responsibility prequalification requirements** listed in Section A. These are **mandatory**. These requirements help ensure that contractors working with **Lucas County** have the right insurance, licenses, training, and legal standing to do the work responsibly and safely.

1. Do you provide or contribute to a health insurance plan as defined in Section III(m) of the Lucas County Responsible Contractor Policy?

Yes

No

*Health Insurance. An adequate and affordable health insurance benefit provided by an employer to an employee. The employer must provide the benefit as part of an overall compensation plan and the benefit cannot be limited to a specific project. A health insurance benefit is "adequate and affordable" if it meets both the minimum value and affordability requirements established in rules promulgated pursuant to Public Law 111-148, The Patient Protection and Affordable Care Act or a successor to that law. The benefit must otherwise meet the requirements of a "bona fide" fringe benefit, as defined in 29 CFR 4.171 or a successor to that section. An employer may provide a health insurance benefit through the Small Business Health Options Program, pursuant to Public Law 111-148, so long as it otherwise meets the criteria of this definition. For the purposes of construction prequalification, the foregoing shall apply only to those persons performing construction service work, as defined by rule of the clerk of the board or designee.*

Please provide one of the following:

- A letter from the health insurance benefit provider stating the benefit provided and the "current as of" date (letter must be dated within the last 30 days); From the applicable Health and Welfare office.
- If benefits are provided through a multi-employer plan: a letter from the multi-employer plan noting the benefit provided and the current as of date or confirmation of good standing (dated within the last 30 days);

*Payroll registers and cancelled checks will not be accepted as proof of coverage.*

**2. Do you provide or contribute to a retirement or pension plan as defined in Section III(aa) of the Lucas County Responsible Contractor Policy?**

Yes

No

*Retirement or Pension Plan. A retirement or pension benefit provided by an employer to an employee as part of an overall compensation plan and not as a benefit limited to a specific project. The plan must meet the requirements of a "bona fide" fringe benefit, as defined in 29 CFR 4.171 or a successor to that section. For the purposes of construction prequalification, the foregoing shall apply only to those persons performing construction service work, as defined by rule of the clerk of the board or designee.*

Please provide one of the following:

- A letter from the retirement or pension plan provider stating the benefit provided and the "current as of" date (letter must be dated within the last 30 days);
- If benefits are provided through a union: a letter from the union noting the benefit provided and the current as of date or confirmation of good standing (dated within the last 30 days);

*Payroll registers and cancelled checks will not be accepted as proof of benefit contributions.*

**3. Does your company meet the Quality Training standard as defined in Section III(v) of the Lucas County Responsible Contractor Policy?**

Yes

No

*For the purposes of this application, Quality Training means that employees performing licensed construction trade work in Ohio have completed one of the following:*

*(1) Graduated from or are currently enrolled in a bona fide apprenticeship program approved by the Ohio State Apprenticeship Council or the U.S. Department of Labor; OR*

*(2) Have at least five (5) years of documented experience in specific trade work.*

*Verification from the State of Ohio proving certification or an affidavit affirming that employees have at least 5 years of experience, must be provided.*

**4. Do you have a current/valid workers compensation policy through the Ohio Bureau of Workers Compensation?**

Yes

No

Legally self-insured

If yes, please provide a current copy of the Ohio Bureau of Workers Compensation (BWC) Certificate  
If self-insured, please provide a current copy of the "Certificate of Employer's Right to Pay Compensation Directly" from Ohio BWC

**5. Do you have a current/valid unemployment insurance compensation policy?**

Yes

No

If yes, please provide one of the following:

- A current ODJFS Employer Registration Certificate or Letter of Good Standing (dated within the last 30-60 days); OR

- A recent ODJFS contribution statement, payment confirmation, or quarterly filing acknowledgment (Form UCO-101 or equivalent); OR
- A letter from a certified PEO (Professional Employer Organization) confirming active unemployment insurance coverage and good standing; OR
- Equivalent proof of unemployment insurance coverage for out-of-state employers registered to do business in Ohio.

*Additional documentation (such as a CPA or attorney attestation, or official ODJFS email verification) may be accepted at the County's discretion.*

6. Do you agree to make the business entity's financial statement for the most recently completed fiscal year available to the County for viewing upon request?

Yes  
No

7. Are you currently debarred or otherwise disqualified from bidding on or completing work on any government agency or public works project?

Yes  
No

8. Does the business entity posses and maintain any applicable licensure(s) issued by the Ohio Construction Industry Licensing Board, State Fire Marshall, and/or other State and local entities?

Yes  
No  
N/A

9. Do your employees possess and maintain any licensure(s) required by any state or local laws?

Yes  
No  
N/A

10. Do you have a current/valid liability insurance policy?

Yes  
No

If yes, please provide one of the following:

- Certificate of Liability Insurance (COI) issued by the insurer or broker, showing active coverage, policy numbers, limits, effective and expiration dates, and naming the insured business; OR
- Policy Declaration Page confirming active coverage and policy limits; OR
- Insurance Binder issued by the insurance provider as temporary proof of coverage; OR
- Letter of coverage or verification from the insurer or broker on official letterhead confirming active coverage and limits.

*The County reserves the right to request endorsements, renewal confirmations, or other supporting documentation as needed to verify active coverage and compliance with County requirements.*

## Category B Requirements

If a business entity meets all of the **mandatory responsibility criteria listed in section A**, the following factors will then be **evaluated and scored** to help determine overall responsibility prequalification. These criteria will be used to assess an applicant's **experience, performance history, safety record, and compliance with laws and regulations**. Each factor will be reviewed carefully, and the total score will be used to determine whether the applicant qualifies for responsibility prequalification with Lucas County. Applicants may be asked to provide additional documentation or explanation to support their responses.

### 11. Does the entity have a local workforce as defined in Section III(p) of the Lucas County Responsible Contractor Policy?

Yes

No

Sole Proprietor

*A workforce whereby at least fifteen (15) percent of the business entity's full-time equivalent employees reside in Lucas County, Ohio as determined by the clerk of the board or designee.*

If yes, please attach the local workforce worksheet

### 12. Does the entity qualify as a Local Business as defined in Section III(o) of the Lucas County Responsible Contractor Policy?

Yes

No

Sole Proprietor

*A business entity that has a current and fixed local occupancy and is a taxpayer in good standing, as determined by the clerk of the board or designee.*

**1. Current and Fixed Local Occupancy.** A business entity that submits proof to the county demonstrating that it owns or leases office space within the geographical limits of Lucas County and that such office space meets all the following criteria: i. Is occupied and used by at least one (1) executive officer of the business entity; and ii. Has been owned or leased by the business entity for no less than twenty-four (24) consecutive months immediately preceding the date such proof is submitted; or if a business entity has relocated within Lucas County during the preceding twenty-four (24) months, it has owned or leased otherwise eligible office space for twenty-four (24) consecutive months immediately preceding the date such proof is submitted; and iii. Is none of the following: Post office boxes or similar mailing addresses; moveable work sites, such as construction trailers or offices at a construction job site; locations zoned for residential use, unless such location is the sole office space owned and/or leased by the business entity; or locations occasionally rented or used by the business entity for temporary business functions, such as office meetings or teleconferences.

**2. Taxpayer in Good Standing.** A business entity that submits proof to the county demonstrating that it has filed returns for both net profits and payroll taxes with local, state, and federal taxing authorities

If yes, please provide one of the following for each criteria:

#### 1. Current and Fixed Local Occupancy

- Executed commercial lease or property deed showing location and term of occupancy; **OR**
- Property tax bills or utility bills covering a continuous 24-month period; **OR**
- Certificate of occupancy or local business registration/license; **OR**

- Notarized property owner/landlord verification (e.g., local business affidavit); **OR**
- HR or payroll records showing at least one (1) executive officer assigned to the location; **OR**
- Other official documentation demonstrating continuous occupancy within Lucas County.

*The County reserves the right to request additional records to confirm compliance with this requirement.*

**2. Taxpayer in Good Standing**

- Tax clearance certificate from local, state, or federal taxing authorities; **OR**
- Redacted copies of recent tax filings (e.g., IRS, State of Ohio, City of Toledo); **OR**
- IRS Form 941 or equivalent payroll tax documentation; **OR**
- Letter of good standing from the relevant tax authority; **OR**
- CPA or attorney attestation confirming compliance; **OR**
- Other official documentation demonstrating that the business is current and in good standing.

*The County reserves the right to request additional verification to confirm taxpayer status.*

**13. Has Contractor, within the past ten (10) years, received an unsatisfactory judgement for violating any applicable federal, state, or local laws, rules, or regulations?**

Yes

No

*Section III(cc) of the Lucas County Responsible Contractor Policy defines an "unsatisfactory judgement" as a final decision, order, or verdict in a judicial, quasi-judicial or administrative proceeding, after all available appeals have either been exhausted or waived, in which a determination of civil liability, criminal conviction, or administrative penalty was imposed upon the individual or entity for violating any applicable federal, state, or local laws, rules, or regulations.*

If yes, please provide a detailed explanation of the judgment(s), including the nature of the conviction(s), the date(s), and the final disposition or current status.

**14. Has the contractor, within the past five (5) years, received an unsatisfactory judgment in which civil liability was imposed relating to the applicant's bid for, or performance of, any public or private construction project?**

Yes

No

*Section III(cc) of the Lucas County Responsible Contractor Policy defines an "unsatisfactory judgement" as a final decision, order, or verdict in a judicial, quasi-judicial or administrative proceeding, after all available appeals have either been exhausted or waived, in which a determination of civil liability, criminal conviction, or administrative penalty was imposed upon the individual or entity for violating any applicable federal, state, or local laws, rules, or regulations.*

If yes, please provide a detailed explanation of the judgment(s), including the nature of the civil liability, the project(s) involved, the date(s) of the judgment(s), and the final disposition or current status.

**15. Has Contractor, within the past five (5) years, been involved in any litigation initiated by the County due to breach of contract or substandard performance on a project?**

Yes

No

*This includes any instances in which the County filed suit or other legal action alleging breach of contract, inferior workmanship, or failure to perform in accordance with contract terms.*

If yes, please provide a detailed explanation of the incident(s), including the nature of the breach or performance issue, the project(s) involved, the date(s) of the litigation, and the final disposition or current status.

**16. Has the contractor, within the past five (5) years, had any claims filed against bonds secured on a public construction project?**

Yes

No

If yes, please provide a detailed explanation of the claim(s), including the nature of the claim, the project(s) involved, the date(s) of the claim(s), and the final disposition or current status.

**17. Has the contractor, within the past five (5) years, been assessed or required to pay liquidated damages on any construction project with a public or private owner?**

Yes

No

If yes, please provide a detailed explanation of the assessment(s), including the nature of the liquidated damages, the project(s) involved, the date(s) assessed, and the final disposition or current status.

**18. Has the contractor, within the past five (5) years, received an unsatisfactory judgment related to violations of any federal, state, or local laws or regulations prohibiting discrimination?**

Yes

No

*Section III(cc) of the Lucas County Responsible Contractor Policy defines an "unsatisfactory judgement" as a final decision, order, or verdict in a judicial, quasi-judicial or administrative proceeding, after all available appeals have either been exhausted or waived, in which a determination of civil liability, criminal conviction, or administrative penalty was imposed upon the individual or entity for violating any applicable federal, state, or local laws, rules, or regulations.*

If yes, please provide a detailed explanation of the judgment(s), including the nature of the violation(s), the law(s) or regulation(s) involved, the date(s) of the judgment(s), and the final disposition or current status.

19. Does the contractor have a safety program that complies with Occupational Safety and Health Administration (OSHA) requirements?

Yes

No

*The safety program should meet applicable OSHA standards and include written policies or procedures addressing workplace safety and health practices.*

20. Does the contractor maintain an OSHA 300 Log in accordance with OSHA regulation 29 CFR 1904?

Yes

No

*The OSHA 300 Log records work-related injuries and illnesses as required under 29 CFR 1904*

21. Has the contractor ever been assessed penalties by the Occupational Safety and Health Administration (OSHA)?

Yes

No

If yes, how many penalties have been assessed against the contractor?

1

2-3

4 or more

22. Has the contractor ever been cited for any “willful” or “serious” violations of Occupational Safety and Health Administration (OSHA) standards within the last five (5) years?

Yes

No

If yes, how many violations has contractor been cited for?

1

2-3

4 or more

23. Has the contractor, within the past five (5) years, received an unsatisfactory judgment or entered into a settlement agreement with the U.S. Department of Labor or any federal, state, or local agency relating to violations of wage and hour laws or regulations (including prevailing wage, living wage, or worker classification/1099 violations)?

Yes

No

*Section III(cc) of the Lucas County Responsible Contractor Policy defines an "unsatisfactory judgement" as a final decision, order, or verdict in a judicial, quasi-judicial or administrative proceeding, after all available appeals have either been exhausted or waived, in which a determination of civil liability, criminal conviction, or administrative penalty was imposed upon the individual or entity for violating any applicable federal, state, or local laws, rules, or regulations.*

If yes, how many penalties have been assessed against the contractor?

1

2-3

4 or more

24. Has the contractor, within the past five (5) years, been cited for any violations of Environmental Protection Agency (EPA) regulations at the federal or state level?

Yes

No

If yes, how many penalties have been assessed against the contractor?

1

2-3

4 or more

25. Does the contractor have an active and compliant Drug-Free Workplace policy issued or certified through the State of Ohio?

Yes

No

*The policy must meet the requirements of the State of Ohio's Drug-Free Workplace Program and remain active and in good standing at the time of application.*

26. Has the contractor, within the past five (5) years, received an unsatisfactory judgment for noncompliance with Ohio's Drug-Free Workplace requirements pursuant to Ohio Revised Code Section 153.03 or any successor section?

Yes

No

*Section III(cc) of the Lucas County Responsible Contractor Policy defines an "unsatisfactory judgement" as a final decision, order, or verdict in a judicial, quasi-judicial or administrative proceeding, after all available appeals have either been*

exhausted or waived, in which a determination of civil liability, criminal conviction, or administrative penalty was imposed upon the individual or entity for violating any applicable federal, state, or local laws, rules, or regulations.

If yes, how many penalties have been assessed against the contractor?

- 1
- 2-3
- 4 or more

27. Does the contractor possess a Certificate of Good Standing from the Ohio Secretary of State demonstrating its right to conduct business in the state of Ohio and/or any applicable local authorities?

- Yes
- No

If yes, please attach the Certificate of Good Standing

28. How many years of relevant experience does the contractor demonstrate in business under its present and any former business names?

- 0-1 year
- 2-4 years
- 5+ years

*Include experience under all current and previous business names that perform or have performed similar work.*

29. How many public and private construction projects has the contractor completed in the past three (3) years?

- 0-1 projects
- 2-4 projects
- 5+ projects

Please provide a complete listing of all ongoing and completed public and private construction projects of the applicant in the last three (3) years, including the nature and value of each contract and the name, address, and phone number/email for a representative of the owner of the projects.

30. How many years of management experience are demonstrated by the applicant's project manager(s) and superintendent(s)?

- 0-1 years
- 2-4 years
- 5+ years

*Include experience under all current and previous business names that perform or have performed similar work.*

31. Does the contractor have an average Bureau of Workers' Compensation (BWC) Experience Modification Rating (EMR) of 1.5 or less?

Yes

No

## Application Submission

Please attach the signed and notarized Application Affidavit

Thank you for submitting your application. You'll receive a written notification of your prequalification status within **30 calendar days or less**. If additional information is needed, we'll contact you. Status updates will be sent to the **email address listed on your application**.