

# **PREQUALIFICATION QUESTIONNAIRE**

## **DESIGN-BUILD MAINTENANCE AND OPERATIONS COMPLEX**

**PALOMAR COLLEGE  
JULY 2015**

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**SECTION "A"**  
**GENERAL INFORMATION**  
**DESIGN-BUILD ENTITY MEMBERS**

**CONTACT INFORMATION**  
**GENERAL CONTRACTOR:**

Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

**DESIGN-BUILD ENTITY MEMBERS**

**List all individuals and legal entities that are Design-Build Entity Members of the Applicant:**  
**(Attach additional pages if necessary)**

<b>Trade or Profession</b> (i.e. general contractor, architect, engineer/discipline, electrical subcontractor, etc.)	<b>Name and Address</b>	<b>Legal Entity</b> (i.e. corporation, partnership, sole proprietor, etc.)

For each Design-Build Member listed above that is not a sole proprietorship or corporation (such as, but not limited to, a partnership or other association), please provide a copy of the agreement creating the partnership or other association.

**SECTION "B"**  
**GENERAL CONTRACTOR**

**NAME OF GENERAL CONTRACTOR:** \_\_\_\_\_

**Provide the following information about the General Contractor proposed by the Applicant. If the Applicant will serve as the General Contractor, then provide all information requested for the Applicant itself. Attach additional pages if necessary in order to respond to a Question.**

**B-1.** Date of company formation or incorporation:

\_\_\_\_\_

**B-2.** State of formation or incorporation:

\_\_\_\_\_

**B-3.** How many persons does the General Contractor currently employ?

\_\_\_\_\_

**B-4.** If the General Contractor is a corporation, provide the following information for each officer of the corporation and each individual who owns 10% or more of the corporate stock:

<b>Position</b>	<b>Name and Address</b>	<b>Years with Co.</b>	<b>% Ownership</b>

**B-5.** If the General Contractor is an individual doing business as a sole proprietorship, complete the following:

<b>Name and Address of Owner</b>	<b>Years as Owner</b>

- B-6.** If the General Contractor is a firm that is a joint venture, partnership or other association, provide the following for each member of the joint venture, partnership or association:

Name of Individual Or Entity	% Ownership Interest in Firm	Position with Firm	Years with Firm	Name and Address of Principal Contact

- B-7.** Has there been any change in ownership of the General Contractor during the last three years?

☐ Yes

☐ No

If “Yes,” explain on a separate page

- B-8.** Is the General Contractor a subsidiary, parent, holding company or affiliate of another construction firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm)

☐ Yes

☐ No

If “Yes,” explain on a separate page

- B-9** State the General Contractor’s gross revenues for each of the last three years:

YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_  
 \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

**B-10.** List all California contractor license numbers, classifications and expiration dates currently held by the General Contractor:

License Number	Trade Classification	Date Issued	Expiration Date

**B-11.** Has the General Contractor changed names or license numbers in the past five years?

☐ Yes

☐ No

If "Yes," explain on a separate page

**B-12.** Has any owner, CSLB qualified or corporate officer of the General Contractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

☐ Yes

☐ No

If "Yes," explain on a separate page

**B-13.** Surety Information for General Contractor:

Bonding Co./Surety:

\_\_\_\_\_

Surety Agent:

\_\_\_\_\_

Agency Address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

**B-14.** List all other sureties (name and full address) that have written bonds for the General Contractor during the last five years, including periods during which each wrote the bonds:

Surety	Address	Periods of Coverage

**SECTION "C"**  
**ESSENTIAL REQUIREMENTS**  
**GENERAL CONTRACTOR**

This Part II consists of pass/fail questions. Failure by Applicant to pass any of the Questions in this Part II will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire. If the Applicant based on its responses is not disqualified, its ultimate rating will be based on the scoring of the scored questions, which follow in later Parts of this Questionnaire.

**C-1.** Does the General Contractor possess a current California contractor's license for the Project for which it intends to submit a proposal that conforms to the requirements of the Request for Prequalification?

☐ Yes      ☐ No

**C-2.** Pursuant to Labor Code §1725.5 and §1771 Contractor is currently registered as a contractor with the Department of Industrial Relations (DIR)?

☐ Yes      ☐ No

DIR Registration #: \_\_\_\_\_ DIR Expiration Date: \_\_\_\_\_



- C-3.** Does the General Contractor have a liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$4,000,000 aggregate from a California admitted company?

☐ Yes ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy.)

---

Insurance Company

---

Policy Number

---

Policy limit per occurrence

---

Aggregate policy limit

- C-4.** Does the General Contractor have current workers' compensation insurance policy as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: \_\_\_\_\_

Carrier: \_\_\_\_\_

Policy Number: \_\_\_\_\_

- C-5.** Has the latest copy of an audited financial statement (no more than two years old) with accompanying notes been attached for the General Contractor? (A financial statement that is not audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.)

☐ Yes ☐ No

- C-6.** Has a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California been attached, which states that the General Contractor's current bonding capacity is sufficient for the project for which you seek pre-qualification? (Statement must be from the surety company, not an agent or broker.)

☐ Yes ☐ No

**C-7.** Has any contractor license held by the General Contractor been revoked or suspended within the last five (5) years?

☐ Yes      ☐ No

**C-8.** Has a surety firm completed a contract or paid for completion of a contract on behalf of any Design-Build Entity Member because they were terminated by the project owner within the last five (5) years?

☐ Yes      ☐ No

**C-9.** Within the last five years was the General Contractor declared ineligible to bid on a public works contract, to be awarded a public works contract, or to perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes      ☐ No

**C-10.** Has the General Contractor ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ Yes      ☐ No

**C-11.** Does the General Contractor know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?

☐ Yes      ☐ No

**C-12.** Is the General Contractor's experience modification rate for the most recent three-year period an average of 1.00 or less? NOTE: Failure to achieve an EMR average of 1.00 or less for past three years will disqualify the General Contractor.

☐ Yes      ☐ No

Year:	<u>2011</u>	EMR:	_____
Year:	<u>2010</u>	EMR:	_____
Year:	<u>2009</u>	EMR:	_____

- C-13.** Is the General Contractor's average lost work day rate for the most recent three year period 2 or less? If the General Contractor's average lost work day rate (LWR) is a three year average exceeding 2 the General Contractor will be disqualified.

☐ Yes ☐ No

Year:	<u>2011</u>	Lost Work Day Rate:	_____
Year:	<u>2010</u>	Lost Work Day Rate:	_____
Year:	<u>2009</u>	Lost Work Day Rate:	_____

- C-14.** Does the General Contractor have an injury prevention program instituted pursuant to Section 3201.5 or 6401.7 of the California Labor Code

☐ Yes ☐ No

**SECTION "D"**  
**QUESTIONS FOR THE GENERAL CONTRACTOR**

**Applicant is to provide responses to each of the following questions pertaining to its proposed General Contractor. Responses will be scored. A failure of the proposed General Contractor to achieve the overall minimum score required for this Part III, A will result in the disqualification of the Applicant. If the General Contractor is not disqualified, its score will be included in the calculation of the Applicant's total score for all scored questions of this Questionnaire.**

- D-1.** How many years has the General Contractor been licensed in California?

Years: \_\_\_\_\_

- D-2.** Is the General Contractor or any of its Associates currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

- D-3.** Was the General Contractor or any of its Associates in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question A-2, above)

☐ Yes ☐ No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

- D-4.** At any time in the last five years has the General Contractor or any of its Associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

☐ Yes

☐ No

If yes, explain on a separate page, identifying all such projects by owner, owner’s address, name of entity against whom assessment was made, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

- D-5.** Has the General Contractor or any of its Associates ever been terminated for default on a construction contract?

☐ Yes

☐ No

If “Yes”, explain on a separate page.

- D-6.** In the last five years has the General Contractor or any of its Associates, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any public construction project for any reason?

☐ Yes

☐ No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- D-7.** Has the General Contractor or any of its Associates ever been denied an award of a public construction contract based on a finding by a public agency that they were not a responsible bidder?

☐ Yes

☐ No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, other contractors, or subcontractors. You need not include information about “pass-through” disputes in which the actual dispute is between a subcontractor and a project owner.)

- D-8.** In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the General Contractor or any of its Associates concerning their work on a public construction project?

☐ Yes

☐ No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- D-9.** In the past five years has the General Contractor or any of its Associates made any claim in excess of \$50,000 against a project owner concerning work on a public construction project or payment for a public construction contract and filed that claim in court or arbitration?

☐ Yes

☐ No

If “yes,” on a separate page identify the claim by providing the name of claimant, the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- D-10.** In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or any of its Associates due to non-payment or contractor losses?

☐ Yes

☐ No

If “yes,” on a separate page give name of the insured; name the insurance carrier, the form of insurance, and the year of the refusal.

- D-11.** Has the General Contractor or any of its Associates (or any manager of an Associate if the Associate is not a person) ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public entity?

☐ Yes

☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- D-12.** Has the General Contractor or any of its Associates (or any manager of an Associate if the Associate is not a person) ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes

☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- D-13.** Has the General Contractor or any of its Associates (or any manager of an Associate if the Associate is not a person) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes

☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- D-14.** During the last five years, has there ever been a period of time when the General Contractor or any of its Associates had no surety bond in place during a public construction project when one was required?

☐ Yes

☐ No

If yes, indicate the period during which no surety bonds were in place, name of entity without the surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

- D-15.** Has CAL OSHA cited and assessed penalties against the General Contractor or any of its Associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

(NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.)

☐ Yes

☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision. Note that the existence of any “willful” violations of Part 1 (commencing with Section 6300) of Division 5 of the California Labor Code may constitute grounds for disqualification

- D-16.** Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor or any of its Associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes

☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- D-17.** Has the EPA, any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor or any of its Associates or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes

☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- D-18.** How often does the General Contractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

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- D-19.** Within the last five years has there ever been a period when the General Contractor or any of its Associates had employees but was without workers’ compensation insurance or state-approved self-insurance?

☐ Yes

☐ No

If “yes,” please explain the reason for the absence of workers’ compensation insurance on a separate page. If “No,” please provide a statement by your current workers’ compensation insurance carrier that verifies periods of workers’ compensation insurance coverage for the General Contractor for the last five years. (If the General Contractor has been in business for less than five years, provide a statement by your workers’ compensation insurance carrier verifying continuous workers’ compensation insurance coverage for the period that your firm has been in business.)

- D-20.** Has there been more than one occasion during the last five years in which the General Contractor or any of its Associates was required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

☐ Yes

☐ No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed, the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

- D-21.** During the last five years, has there been more than one occasion in which the General Contractor or any of its Associates have been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

☐ Yes

☐ No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

- D-22.** Does the General Contractor operate its own State-approved apprenticeship program? If "yes," provide the following information on a separate page:

☐ Yes

☐ No

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

- D-23.** At any time during the last five years, has the General Contractor or any of its Associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

☐ Yes

☐ No

If "yes," provide the date of the findings and attach a copy of the final decision.



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Date of Findings

- D-24.** Do agreements exist between the General Contractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticable crafts which may be employed by the General Contractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticable craft within the period of October, 1999 to October, 2001.)

☐ Yes

☐ No

- D-25.** Has the General Contractor built any California schools or colleges in the last 5 years in which the total contract value for the construction of the project was in excess of \$10 million?

☐ Yes

☐ No

If "Yes", how many? \_\_\_\_\_

- D-26.** Has the General Contractor participated as the general contractor member of a design-build team in the design-build of any California schools or colleges in the last 5 years, in which the total contract value for the construction of the project was in excess of \$10 million?

☐ Yes

☐ No

If "Yes", how many? \_\_\_\_\_

- D-27.** Please fill in the following blanks based on the General Contractor's attached audited financial statement:

Current Assets: \$ \_\_\_\_\_

Current Liabilities: \$ \_\_\_\_\_

Total Net Worth: \$ \_\_\_\_\_

Current Ratio (Assets/Liabilities): \_\_\_\_\_

Working Capital (Current Assets - Current Liabilities): \$ \_\_\_\_\_

**CERTIFICATION**  
**GENERAL CONTRACTOR**

NOTE: Authorized person(s) with authority to execute this Certification shall sign this Certification on behalf of each of the persons or entities that is a constituent member of the Design-Build Entity that is the Applicant Qualifier seeking to be pre-qualified by the District. Make additional copies this certification page as needed to provide certification for each such person or legal entity.

I, the undersigned \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

\_\_\_\_\_  
(Place of Execution)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name of the person or entity\* on whose behalf this Certificate is signed)

\*Name of the Design-Build Entity (or the Design-Build Entity Member authorized to represent the Design-Build Entity) on whose behalf this Certificate is being signed and submitted on behalf of the Applicant.

**SECTION E**  
**ARCHITECTS**

**Provide the following information about each Architect of Record proposed for prequalification. If the Applicant will serve as an Architect of Record, then provide all information requested for the Applicant itself. Attach additional pages if necessary in order to respond to a Question.**

Architect of Record Name: \_\_\_\_\_

**E-1.** If the Architect of Record or the Architect of Record's Firm is different from that of the General Contractor, please answer the following:

**E-2** If the Architect of Record or the Architect of Record's Firm is a corporation, provide the following information for each officer of the corporation and each individual who owns 10% or more of the corporate stock.

<b>Position</b>	<b>Name and Address</b>	<b>Years with Co.</b>	<b>% Ownership</b>

**E-3** If the Architect of Record is an individual doing business as a sole proprietorship, complete the following:

<b>Owner</b>	<b>Years as Owner</b>

**E-4** If the Architect of Record's Firm is a joint venture, partnership or other association (other than a corporation); provide the following information for each member of the joint venture, each partner or each other association member.

<b>Name of Individual or Entity</b>	<b>% Ownership Interest in Firm</b>	<b>Position with Firm</b>	<b>Years with Firm</b>	<b>Name and Address of Principal Contact</b>


**E-5** Has there been any change in ownership of the Architect of Record's Firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades).

☐ Yes

☐ No

If "Yes," explain on a separate page

**E-6** Is the Architect of Record's Firm a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of the Architect of Record's Firm holds a similar position in another firm).

☐ Yes

☐ No

If "Yes," explain on a separate page

**E-7** Has any corporate officer or owner of the Architect of Record's Firm, worked for any other architectural firms in the past five years?

(NOTE: Include information about other firms if an owner, partner, or officer of the Architect of Record's Firm holds a similar position in another firm).

☐ Yes

☐ No

If "Yes," explain on a separate page

**E-8** Has the Architect of Record's Firm changed names in the past five years?

☐ Yes

☐ No

If "Yes," explain on a separate page

**E-9** Provide the following information for all known architects employed by the Architect of Record or the Architect of Record's Firm who will be designing the Project or a Project Facility:

Architect Name	License Number	Years in Practice

Architect Name	License Number	Years in Practice

**SECTION “F”**  
**ESSENTIAL REQUIREMENTS**  
**ARCHITECTS**

**This Section “F” consists of pass/fail questions. Failure by Applicant to pass any of the Questions in this Section “F” will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire. If the Applicant based on its responses is not disqualified, its ultimate rating will be based on the scoring of the scored questions, which follow in later Parts of this Questionnaire.**

- F-1.** Does the Architect have current workers’ compensation insurance policy as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes      ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: \_\_\_\_\_

Carrier: \_\_\_\_\_

Policy Number: \_\_\_\_\_

- F-2.** Has any Design-Build Entity Member (contractors, architects, engineers or others) or any of its Associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ Yes      ☐ No

- F-3.** Do all architects and engineers who are expected to work on the Project possess current California professional licenses for the services which they intend to provide that conform to the requirements of the Request for Prequalification?

☐ Yes      ☐ No

- F-4.** Is each proposed Architect of Record covered by a professional liability insurance policy with a policy limit of at least **\$2,000,000** per occurrence and in the aggregate from a California admitted company that provides coverage for work on a design-build contract?
- ☐ Yes ☐ No

If yes, provide the name of the insurance company, policy number, and policy limits.

---

Insurance Company

---

Policy Number

---

Policy limit per occurrence

---

Aggregate policy limit

---

- F-5.** Has any professional license held by any architect who will provide services to the Project been revoked at any time in the last five years?

☐ Yes ☐ No

- F-6.** Has any professional license held by any engineer who will provide services been revoked at any time in the last five years?

☐ Yes ☐ No

### **SECTION "G"**

#### **QUESTIONS FOR THE ARCHITECT(S) OF RECORD**

**Applicant is to provide responses to each of the following questions pertaining to its proposed Architect(s) of Record. If more than one Architect of Record is proposed, separate responses shall be provided for each proposed Architect of Record. Responses will be scored. A failure of any proposed Architect of Record to achieve the overall minimum score required for this Section "G" will result in the disqualification of the Applicant. If an Architect of Record is proposed to serve as Architect of Record for more than one Project Facility, only one response for all such Project Facilities is required. If the Architect of Record is not disqualified, its score will be included in the calculation of the Applicant's total score for all scored questions of this Questionnaire.**

- G-1.** How many years has the Architect of Record been licensed and practicing in California?

Years: \_\_\_\_\_

- G-2.** Is the Architect or Record or the Architect of Record's Firm currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

- G-3.** Was the Architect of Record or the Architect of Record's Firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question B-2, above)

☐ Yes ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

- G-4.** In the last five years has the Architect of Record or the Architect of Record's Firm, been debarred, disqualified, removed or otherwise prevented from proposing on, or completing, public construction project for any reason?

☐ Yes ☐ No

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- G-5.** In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Architect of Record or the Architect of Record's Firm concerning its architectural work on a public construction project?

☐ Yes ☐ No

If "yes," on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- G-6.** In the past five years has the Architect of Record or the Architect of Record's Firm, made any claim in excess of \$50,000 against a project owner concerning its architectural work on a public construction project and filed that claim in court or arbitration?

☐ Yes      ☐ No

If "yes," on separate page identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- G-7.** In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Architect of Record or the Architect of Record's Firm, based on non-payment or losses?

☐ Yes      ☐ No

If "yes," on separate page give name the insurance carrier, the form of insurance and the year of the refusal.

- G-8.** Has the Architect of Record or the Architect of Record's Firm (or any manager of the Architect of Record's Firm if the Architect of Record's Firm is not a person) ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes      ☐ No

**A "yes" answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- G-9.** Has the Architect of Record or the Architect of Record's Firm (or any manager of the Architect of Record's Firm if the Architect of Record's Firm is not a person) ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes      ☐ No

**A "yes" answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- G-10.** Has the Architect of Record or the Architect of Record's Firm (or any manager of the Architect of Record's Firm if the Architect of Record's Firm is not a person) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?



☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- G-11.** Has the Architect of Record designed any California schools or colleges in the last 5 years in which the total contract value for the construction of the project was in excess of \$10,000,000?

☐ Yes      ☐ No      If “Yes”, how many? \_\_\_\_

- G-12** Has the Architect of Record participated as the architect member of a design-build team in the design-build of any California schools or colleges in the last 5 years, in which the total contract value for the construction of the project was in excess of \$10 million?

☐ Yes      ☐ No      If “Yes”, how many? \_\_\_\_

- G-13** Has the Architect participated as the architect member of a design-build team in the design-build of any projects (other than California school or college projects) anywhere in the United States in the last 5 years, in which the total contract value for the construction of the project was in excess of \$10 million?

☐ Yes      ☐ No      If “Yes”, how many? \_\_\_\_

## **ARCHITECT CERTIFICATION**

NOTE: Authorized person(s) with authority to execute this Certification shall sign this Certification on behalf of each of the persons or entities that is a constituent member of the Design-Build Entity that is the Applicant Qualifier seeking to be pre-qualified by the District. Make additional copies this certification page as needed to provide certification for each such person or legal entity.

I, the undersigned \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

\_\_\_\_\_  
(Place of Execution)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name of the person or entity\* on whose behalf this Certificate is signed)

**SECTION "H"**  
**PRINCIPAL ENGINEER(S)**

**Provide the following information about each Principal Engineer proposed for prequalification. If a Principal Engineer is proposed to perform the services of more than one Principal Engineering Discipline, then submit separate responses on behalf of such Principal Engineer for each Principal Engineer Discipline that it will perform. Attach additional pages if necessary in order to respond to a Question.**

**H-1.** Provide the following information:

Name: \_\_\_\_\_

License Number: \_\_\_\_\_

Principal Engineer Discipline: \_\_\_\_\_

Years in Practice: \_\_\_\_\_

**H-2** If the Principal Engineer or Principal Engineer's Firm is different from that of the General Contractor and/or the Architect of Record, please answer the following:

**H-3** Date of company formation or incorporation: \_\_\_\_\_

**H-4** State of formation or incorporation: \_\_\_\_\_

**H-5** How many persons does the Principal Engineer or the Principal Engineer's Firm currently employ? \_\_\_\_\_

**H-6** If the Principal Engineer's Firm is a corporation, provide the following information for each officer of the corporation and each individual who owns 10% or more of the corporate stock:

Position	Name and Address	Years with Co.	% Ownership

**H-7** If the Principal Engineer is an individual doing business as a sole proprietorship, complete the following:

Owner	Years as Owner

**H-8** If the Principal Engineer's Firm is a joint venture, partnership or other association (other than a corporation), provide the following information for each member of the joint venture, each partner or each other association member:

Name of Individual or Entity	% Ownership Interest in Firm	Position with Firm	Years with Firm	Name and Address of Principal Contact

**H-9** Has there been any change in ownership of the Principal Engineer's Firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trade).

☐ Yes      ☐ No      If "Yes," explain on a separate page

**H-10** Is the Principal Engineer's Firm a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of the Principal Engineer's Firm holds a similar position in another firm).

☐ Yes      ☐ No      If "Yes," explain on a separate page

**H-11** Has any corporate officer or owner of the Principal Engineer's Firm worked for any other engineering firms in the past five years?

(NOTE: Include information about other firms if an owner, partner, or officer of the Principal Engineer's Firm holds a similar position in another firm).

☐ Yes      ☐ No      If "Yes," explain on a separate page

**H-12** Has the Principal Engineer's Firm changed names in the past five years?

☐ Yes      ☐ No      If "Yes," explain on a separate page

**H-13** Provide the following information for all known engineers employed by the Principal Engineer or the Principal Engineer's Firm who will be designing the Project or a Project Facility:

Engineer's Name	License Number	Years in Practice

**SECTION "I"**  
**ESSENTIAL REQUIREMENTS**  
**ENGINEER(S)**

**This Section "I" consists of pass/fail questions. Failure by Applicant to pass any of the Questions in this Section will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire. If the Applicant based on its responses is not disqualified, its ultimate rating will be based on the scoring of the scored questions, which follow in later Parts of this Questionnaire.**

**I-1.** Does the Engineer(s) have current workers' compensation insurance policy as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes      ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: \_\_\_\_\_

Carrier: \_\_\_\_\_

Policy Number: \_\_\_\_\_

- I-2.** Has any Design-Build Entity Member (contractors, architects, engineers or others) or any of its Associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ Yes ☐ No

- I-3.** Do all and engineers who are expected to work on the Project possess current California professional licenses for the services which they intend to provide that conform to the requirements of the Request for Prequalification?

☐ Yes ☐ No

- I-4.** Are all Principal Engineers covered by a professional liability insurance policy with a policy limit of at least **\$2,000,000** per occurrence and in the aggregate from a California admitted company that provides coverage for work on a design-build contract?

☐ Yes ☐ No

If yes, provide the name of the insurance company, policy number, and policy limits.  
(Attach a separate page if more than one policy.)

\_\_\_\_\_  
Insurance Company

\_\_\_\_\_  
Policy Number

\_\_\_\_\_  
Policy limit per occurrence

\_\_\_\_\_  
Aggregate policy limit

- I-5.** Has any professional license held by any engineer who will provide services been revoked at any time in the last five years?

☐ Yes ☐ No

**SECTION "J"**  
**QUESTIONS FOR THE PRINCIPAL ENGINEER(S)**

Applicant is to provide responses to each of the following questions pertaining to its proposed Principal Engineer(s). If more than one Principal Engineer is proposed, separate responses shall be provided for each proposed Principal Engineer. If one Principal Engineer is proposed to perform the services of more than one Principal Engineer Discipline, then a separate response is required from the proposed Principal Engineer for each such Principal Engineer Discipline. Responses will be scored. A failure of any proposed Principal Engineer to achieve the overall minimum score required for this Section "J" will result in the disqualification of the Applicant. If a Principal Engineer is proposed to perform the services of the a single Principal Engineer Discipline for more than one Project Facility, only one response for such Principal Engineer for all such Project Facilities is required. If a Principal Engineer is not disqualified, its score will be included in the calculation of the Applicant's total score for all scored questions of this Questionnaire.

Name of Principal Engineer: \_\_\_\_\_

Principal Engineer Discipline: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

- J-1.** How many years has the Principal Engineer been licensed and practicing in California in the field or discipline for which prequalification is being requested?

Years: \_\_\_\_\_

- J-2.** Is the Principal Engineer or the Principal Engineer's Firm currently the debtor in a bankruptcy case?

☐ Yes      ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

- J-3.** Was the Principal Engineer or the Principal Engineer's Firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question C-2, above)

☐ Yes ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

- J-4.** In the last five years has the Principal Engineer or the Principal Engineer's Firm been debarred, disqualified, removed or otherwise prevented from proposing on, or completing, any public construction project for any reason?

☐ Yes ☐ No

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- J-5.** In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Principal Engineer or the Principal Engineer's Firm concerning its engineering work on a public construction project?

☐ Yes ☐ No

If "yes," identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- J-6.** In the past five years has the Principal Engineer or the Principal Engineer's Firm made any claim in excess of \$50,000 against a project owner concerning engineering work on a public construction project and filed that claim in court or arbitration?

☐ Yes ☐ No

If "yes," on separate page identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).



- J-7.** In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Engineer or the Principal Engineer's Firm based on non-payment or losses?

☐ Yes ☐ No

If "yes," on separate page give name the insurance carrier, the form of insurance and the year of the refusal.

- J-8.** Has the Principal Engineer or the Principal Engineer's Firm (or any manager of the Principal Engineer's Firm if the Principal Engineer's Firm is not a person) ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

**A "yes" answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- J-9.** Has the Principal Engineer or the Principal Engineer's Firm (or any manager of the Principal Engineer's Firm if the Principal Engineer's Firm is not a person) ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

**A "yes" answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- J-10.** Has the Principal Engineer or the Principal Engineer's Firm (or any manager of the Principal Engineer's Firm if the Principal Engineer's Firm is not a person) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

**A "yes" answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- J-11.** Has the Principal Engineer performed engineering services, in the Principal Engineer Discipline for which it is seeking prequalification, for any California schools or colleges in the last 5 years in which the total contract value for the construction of the project was in excess of \$10,000,000?

☐ Yes      ☐ No      If “Yes”, how many? \_\_\_\_

- J-12** Has the Principal Engineer participated as an engineering member, providing services in the Principal Engineer Discipline for which it is seeking prequalification, of a design-build team in the design-build of any California schools or colleges in the last 5 years, in which the total contract value of the construction of the project was in excess of \$10 million?

☐ Yes      ☐ No      If “Yes”, how many? \_\_\_\_

- J-13** Has the Principal Engineer participated as the engineering member, providing services in the Principal Engineer Discipline for which it is seeking prequalification, of a design-build team in the design-build of any projects (other than California school or college projects) anywhere in the United States in the last 5 years, in which the total contract value for the construction of the project was in excess of \$10 million?

☐ Yes      ☐ No      If “Yes”, how many? \_\_\_\_

**ENGINEER**  
**CERTIFICATION**

NOTE: Authorized person(s) with authority to execute this Certification shall sign this Certification on behalf of each of the persons or entities that is a constituent member of the Design-Build Entity that is the Applicant Qualifier seeking to be pre-qualified by the District. Make additional copies this certification page as needed to provide certification for each such person or legal entity.

I, the undersigned \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

\_\_\_\_\_  
(Place of Execution)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name of the person or entity\* on whose behalf this Certificate is signed)

**SECTION "K"**  
**ELECTRICAL SUBCONTRACTOR(S)**

**Provide the following information about each Electrical Subcontractor proposed for prequalification. Attach additional pages if necessary in order to respond to a Question.**

**K-1.** Name of Electrical Subcontractor: \_\_\_\_\_

**K-2.** Date of company formation or incorporation: \_\_\_\_\_

**K-3.** State of formation or incorporation: \_\_\_\_\_

**K-4.** How many persons does the Electrical Subcontractor currently employ? \_\_\_\_\_

**K-5** If the Electrical Subcontractor is a corporation, provide the following information for each officer of the corporation and each individual who owns 10% or more of the corporate stock:

Position	Name and Address	Years with Co.	% Ownership

**K-6** If the Electrical Subcontractor is a sole proprietorship, complete the following:

Owner	Years as Owner

--	--

**K-7.** If the Electrical Subcontractor is a joint venture, partnership or other association (other than a corporation), provide the following information for each member of the joint venture, partnership or other association:

Name of Individual or Entity	% Ownership Interest in Firm	Position with Firm	Years with Firm	Name and Address of Principal Contact

**K-8.** Has there been any change in ownership of the Electrical Subcontractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trade).

☐ Yes      ☐ No      If "Yes," explain on a separate page

**K-9.** Is the Electrical Subcontractor a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm).

☐ Yes      ☐ No      If "Yes," explain on a separate page

**K-10.** State the Electrical Subcontractor's gross revenues for each of the last three years:

YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_

\$: \_\_\_\_\_

\$: \_\_\_\_\_

\$: \_\_\_\_\_

**K-11.** List all California contractor license numbers, classifications and expiration dates currently held by the Electrical Subcontractor:

License Number	Classification	Date Issued	Expiration Date

**K-12.** Has the Electrical Subcontractor changed names or license numbers in the past five years?

☐ Yes

☐ No

If “Yes”, explain on a separate page

**K-13.** Has any owner, CSLB qualifier or corporate officer of the Electrical Subcontractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

☐ Yes

☐ No

If “Yes”, explain on a separate page

**K-14.** Surety Information for Electrical Subcontractor:

Bonding Co./Surety: \_\_\_\_\_

Surety Agent: \_\_\_\_\_

Agent Address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

- K-15.** List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the periods during which each wrote the bonds:

Surety	Address	Periods of Coverage

**SECTION “L”**  
**ESSENTIAL REQUIREMENTS**  
**ELECTRICAL SUBCONTRACTOR**

**This Section “L” consists of pass/fail questions. Failure by Applicant to pass any of the Questions in this Section “L” will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire. If the Applicant based on its responses is not disqualified, its ultimate rating will be based on the scoring of the scored questions, which follow in later Parts of this Questionnaire.**

- L-1.** Does the Proposed Subcontractor possess a current California contractor’s license for the Project for which it intends to submit a proposal that conforms to the requirements of the Request for Prequalification?

☐ Yes      ☐ No

- L-2.** Pursuant to Labor Code §1725.5 and §1771 Contractor is currently registered as a contractor with the Department of Industrial Relations (DIR)?

☐ Yes      ☐ No

DIR Registration #: \_\_\_\_\_ DIR Expiration Date: \_\_\_\_\_

- L-3.** Does the Proposed Subcontractor have current workers’ compensation insurance policy as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes      ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: \_\_\_\_\_

Carrier: \_\_\_\_\_

Policy Number: \_\_\_\_\_

- L-4.** Has any contractor license held by the Proposed Subcontractors or their Associates, been revoked or suspended within the last five (5) years?

☐ Yes      ☐ No

- L-5.** Has a surety firm completed a contract or paid for completion of a contract on behalf of the Proposed Subcontractor because they were terminated by the project owner within the last five (5) years?

☐ Yes      ☐ No

- L-6.** Within the last five years was the Proposed Subcontractor declared ineligible to bid on a public works contract, to be awarded a public works contract, or to perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes      ☐ No

- L-7.** Has any Proposed Subcontractor or any of its Associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ Yes      ☐ No

- L-8.** Has any professional license held by any engineer with your firm who will provide services been revoked at any time in the last five years?

☐ Yes      ☐ No

- L-9.** Does the Proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?



☐ Yes      ☐ No

- L-10.** Is the Proposed Subcontractor's experience modification rate for the most recent three-year period an average of 1.00 or less? NOTE: Failure to achieve an EMR average of 1.00 or less for three years average disqualify the Proposed Subcontractor.

☐ Yes      ☐ No

- L-11.** Does the Proposed Subcontractor have an injury prevention program instituted pursuant to Section 3201.5 or 6401.7 of the California Labor Code

☐ Yes      ☐ No

**SECTION "M"**  
**QUESTIONS FOR THE ELECTRICAL SUBCONTRACTOR(S)**

Applicant is to provide responses to each of the following questions pertaining to its proposed Electrical Subcontractor(s). If more than one Electrical Subcontractor is proposed, separate responses shall be provided for each proposed Electrical Subcontractor. If an Electrical Subcontractor is proposed to perform the electrical trade work for more than one Project Facility, only one response for such Electrical Subcontractor for all such Project Facilities is required. Responses will be scored; however, evaluation of Electrical Subcontractor scores for this Section "M" will be on a pass/fail basis. Any Electrical Subcontractor that fails to receive the required overall minimum score for this Section "M" will be disqualified. The failure of at least one Electrical Subcontractor (or, if separate Electrical Subcontractors are proposed for separate Project Facilities, the failure of at least one of the Electrical Subcontractors proposed for each Project Facility) to achieve the overall minimum score required by this Section "M" for prequalification shall result in the disqualification of the Applicant for the entire Project. Scored points for the Electrical Subcontractor(s) will not be added or deducted to determine the Applicant's total score.

Electrical Subcontractor Name: \_\_\_\_\_

- M-1.** How many years has the Electrical Subcontractor been licensed in California to perform electrical subcontracting work?      Years: \_\_\_\_\_

- M-2.** Is the Electrical Subcontractor or any of its Associates currently the debtor in a bankruptcy case?

☐ Yes      ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

---

Case Number

---

Bankruptcy Court

---

Date Filed

- M-3.** Was the Electrical Subcontractor or any of its Associates in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question M-2, above)

☐ Yes      ☐ No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

---

Case Number

---

Bankruptcy Court

---

Date Filed

- M-4.** At any time in the last five years has the Electrical Subcontractor or any of its Associates been assessed liquidated damages of more than \$50,000 on a public construction contract?

☐ Yes      ☐ No

If yes, explain on a separate page, identifying all such projects by owner, owner’s address, name of entity against whom assessment was made, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

- M-5.** In the past five years has the Electrical Subcontractor or any of its Associates ever been terminated for default on a public construction contract?

☐ Yes      ☐ No      If “Yes”, explain on a separate page

- M-6.** In the last five years has the Electrical Subcontractor or any of its Associates been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any public construction project for any reason?

☐ Yes      ☐ No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- M-7.** Has the Electrical Subcontractor or any of its Associates ever been denied an award of a public construction contract based on a finding by a public agency that they were not a responsible bidder?

☐ Yes      ☐ No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers or other contractors.

- M-8.** In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Electrical Subcontractor or any of its Associates concerning their work on a public construction project?

☐ Yes      ☐ No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- M-9.** In the past five years has the Electrical Subcontractor or any of its Associates made any claim in excess of \$50,000 against a project owner or a general contractor concerning work on a public construction project or payment for a public construction contract and filed that claim in court or arbitration?

☐ Yes      ☐ No

If “yes,” on a separate page identify the claim by providing the name of claimant, the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- M-10.** In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Electrical Subcontractor or any of its Associates due to non-payment or contractor losses?

☐ Yes      ☐ No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

**M-11.** Has the Electrical Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public entity?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

**M-12.** Has the Electrical Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

**M-13.** Has the Electrical Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

**M-14.** During the last five years, has there ever been a period of time when the Electrical Subcontractor or any of its Associates had no surety bond in place during a public construction project when one was required?

☐ Yes      ☐ No

If yes, indicate the period during which no surety bonds were in place, name of entity without surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

**M-15.** Has CAL OSHA cited and assessed penalties against the Electrical Subcontractor or any of its Associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

(NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

- M-16.** Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Electrical Subcontractor or any of its Associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- M-17.** Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Electrical Subcontractor, or any of its Associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- M-18.** How often does the Electrical Subcontractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

---

- M-19.** List the Electrical Subcontractor’s Experience Modification Rate (EMR) (California workers’ compensation insurance) for each of the past three premium years:

(NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.)

Year:	<u>2011</u>	EMR:	_____
Year:	<u>2010</u>	EMR:	_____
Year:	<u>2009</u>	EMR:	_____

Failure to meet an average of 1.00 or below for the past three years will result in disqualification of the Design Build Team.

**M-20** Is the Electrical Subcontractor's average lost work day rate for the most recent three year period 2 or less? If the Electrical Subcontractor's average lost work day rate (LWR) is a three year average exceeding 2 the Electrical Subcontractor will be disqualified.

☐ Yes ☐ No

Year:	<u>2011</u>	Lost Work Day Rate:	_____
Year:	<u>2010</u>	Lost Work Day Rate:	_____
Year:	<u>2009</u>	Lost Work Day Rate:	_____

**M-21.** Within the last five years has there ever been a period when the Electrical Subcontractor or any of its Associates had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Electrical Subcontractor for the last five years. (If the Electrical Subcontractor has been in business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)

**M-22.** Has there been more than one occasion during the last five years in which the Electrical Subcontractor or any of its Associates was required to pay either back wages or penalties for failure to comply with the California state prevailing wage laws?

☐ Yes ☐ No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

**M-23.** Does the Electrical Subcontractor operate its own State-approved apprenticeship program?  
If “yes,” provide the following information on a separate page:

☐ Yes      ☐ No

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

**M-24.** At any time during the last five years, has the Electrical Subcontractor or any of its Associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

☐ Yes      ☐ No

If “yes,” provide the date of the findings and attach a copy of the final decision.

---

Date of Findings

**M-25.** Do agreements exist between the Electrical Subcontractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticeship crafts which may be employed by the Electrical Subcontractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticeship craft within the period of October, 1999 to October, 2001.)

☐ Yes      ☐ No

**M-26.** Has the Electrical Subcontractor performed a subcontract for the electrical work portion of the construction of any California school or college projects in the last 5 years in which the total contract price of the electrical work constructed was in excess of \$5,000,000?

☐ Yes      ☐ No      If “Yes”, how many \_\_\_\_?

**ELECTRICAL SUBCONTRACTOR**  
**CERTIFICATION**

NOTE: Authorized person(s) with authority to execute this Certification shall sign this Certification on behalf of each of the persons or entities that is a constituent member of the Design-Build Entity that is the Applicant Qualifier seeking to be pre-qualified by the District. Make additional copies this certification page as needed to provide certification for each such person or legal entity.

I, the undersigned \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

\_\_\_\_\_  
(Place of Execution)

\_\_\_\_\_  
(Date)

\_\_\_\_\_



(Name of the person or entity\* on whose behalf this Certificate is signed)

**SECTION "N"**  
**MECHANICAL SUBCONTRACTOR(S)**

**Provide the following information about each Mechanical Subcontractor proposed for prequalification. Attach additional pages if necessary in order to respond to a Question.**

**N-1.** Name of Mechanical Subcontractor: \_\_\_\_\_

**N-2.** Date of company formation or incorporation: \_\_\_\_\_

**N-3.** State of formation or incorporation: \_\_\_\_\_

**N-4.** How many persons does the Mechanical Subcontractor currently employ? \_\_\_\_\_

**N-5.** If the Mechanical Subcontractor is a corporation, provide the following information for each officer of the corporation and each individual who owns 10% or more of the corporate stock:

<b>Position</b>	<b>Name and Address</b>	<b>Years with Co.</b>	<b>% Ownership</b>

**N-6.** If the Mechanical Subcontractor is a sole proprietorship, complete the following:

<b>Owner</b>	<b>Years as Owner</b>

**N-7.** If the Mechanical Subcontractor is a joint venture, partnership or other association (other than a corporation), provide the following information for each member of the joint venture, partnership or other association:

<b>Name of Individual or Entity</b>	<b>% Ownership Interest in Firm</b>	<b>Position with Firm</b>	<b>Years with Firm</b>	<b>Name and Address of Principal Contact</b>

**N-8.** Has there been any change in ownership of the Mechanical Subcontractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades).

☐ Yes      ☐ No      If "Yes", explain on a separate page

**N-9.** Is the Mechanical Subcontractor a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm).

☐ Yes

☐ No

If "Yes", explain on a separate page

**N-10.** State the Mechanical Subcontractor's gross revenues for each of the last three years:

YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_

\$: \_\_\_\_\_ \$: \_\_\_\_\_ \$: \_\_\_\_\_

**N-11.** List all California contractor license numbers, classifications and expiration dates currently held by the Mechanical Subcontractor:

License Number	Classification	Date Issued	Expiration Date

**N-12.** Has the Mechanical Subcontractor changed names or license numbers in the past five years?

☐ Yes

☐ No

If "Yes", explain on a separate page

**N-13.** Has any owner, CSLB qualifier or corporate officer of the Mechanical Subcontractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

☐ Yes

☐ No

If "Yes", explain on a separate page

**N-14.** Surety Information for Mechanical Subcontractor:

Bonding Co./Surety: \_\_\_\_\_

Surety Agent: \_\_\_\_\_

Agent Address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

- N-15.** List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds:

<b>Surety</b>	<b>Address</b>	<b>Dates</b>

**SECTION "O"**  
**ESSENTIAL REQUIREMENTS**  
**MECHANICAL SUBCONTRACTOR**

**This Section "O" consists of pass/fail questions. Failure by Applicant to pass any of the Questions in this Section "O" will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire. If the Applicant based on its responses is not disqualified, its ultimate rating will be based on the scoring of the scored questions, which follow in later Parts of this Questionnaire.**

- O-1.** Does the Proposed Subcontractor possess a current California contractor's license for the Project for which it intends to submit a proposal that conforms to the requirements of the Request for Prequalification?

☐ Yes      ☐ No

- O-2.** Pursuant to Labor Code §1725.5 and §1771 Contractor is currently registered as a contractor with the Department of Industrial Relations (DIR)?

☐ Yes      ☐ No

DIR Registration #: \_\_\_\_\_ DIR Expiration Date: \_\_\_\_\_

- O-3.** Does the Proposed Subcontractor have current workers' compensation insurance policy as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes      ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: \_\_\_\_\_

Carrier: \_\_\_\_\_

Policy Number: \_\_\_\_\_

- O-4.** Has any contractor license held by the Proposed Subcontractors or their Associates, been revoked or suspended within the last five (5) years?

☐ Yes      ☐ No

- O-5.** Has a surety firm completed a contract or paid for completion of a contract on behalf of the Proposed Subcontractor because they were terminated by the project owner within the last five (5) years?

☐ Yes      ☐ No

- O-6.** Within the last five years was the Proposed Subcontractor declared ineligible to bid on a public works contract, to be awarded a public works contract, or to perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes      ☐ No

- O-7.** Has any Proposed Subcontractor or any of its Associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ Yes      ☐ No

- O-8.** Has any professional license held by any engineer with your firm who will provide services been revoked at any time in the last five years?

☐ Yes ☐ No

- O-9.** Does the Proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?

☐ Yes ☐ No

- O-10.** Is the Proposed Subcontractor's experience modification rate for the most recent three-year period an average of 1.00 or less? NOTE: Failure to achieve an EMR average of 1.00 or less for three years average disqualify the Proposed Subcontractor.

☐ Yes ☐ No

- O-11.** Does the Proposed Subcontractor have an injury prevention program instituted pursuant to Section 3201.5 or 6401.7 of the California Labor Code

☐ Yes ☐ No

**SECTION "P"**  
**QUESTIONS FOR THE MECHANICAL SUBCONTRACTOR(S)**

**Applicant is to provide responses to each of the following questions pertaining to its proposed Mechanical Subcontractor(s). If more than one Mechanical Subcontractor is proposed, separate responses shall be provided for each proposed Mechanical Subcontractor. If a Mechanical Subcontractor is proposed to perform the mechanical trade work for more than one Project Facility, only one response for such Mechanical Subcontractor for all such Project Facilities is required. Responses will be scored; however, evaluation of Mechanical Subcontractor scores for this Section "P" will be on a pass/fail basis. Any Mechanical Subcontractor that fails to receive the required overall minimum score for this Section "P" will be disqualified. The failure of at least one Mechanical Subcontractor (or, if separate Mechanical Subcontractors are proposed, the failure of at least one of the Mechanical Subcontractors proposed) to achieve the overall minimum score required by this Section "P" for prequalification shall result in the disqualification of the Applicant for the entire Project. Scored points for the Mechanical Subcontractor(s) will not be added or deducted to determine the Applicant's total score.**

Mechanical Subcontractor Name: \_\_\_\_\_

**P-1.** How many years has the Mechanical Subcontractor been licensed in California to perform mechanical subcontracting work? Years: \_\_\_\_\_

**P-2.** Is the Mechanical Subcontractor or any of its Associates currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

**P-3.** Was the Mechanical Subcontractor or any of its Associates in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question E-2, above)

☐ Yes ☐ No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

\_\_\_\_\_  
Case Number

\_\_\_\_\_  
Bankruptcy Court

\_\_\_\_\_  
Date Filed

**P-4.** At any time in the last five years has the Mechanical Subcontractor or any of its Associates been assessed liquidated damages of more than \$50,000 on a project under a public construction contract?

☐ Yes ☐ No

If yes, explain on a separate page, identifying all such projects by owner, owner’s address, name of entity against whom assessment was made, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

**P-5.** In the last five years has the Mechanical Subcontractor or any of its Associates ever defaulted on a public construction contract?

☐ Yes ☐ No If “Yes”, explain on a separate page.

**P-6.** In the last five years has the Mechanical Subcontractor or any of its Associates been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any public construction project for any reason?

☐ Yes      ☐ No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- P-7.** Has the Mechanical Subcontractor or any of its Associates ever been denied an award of a public construction contract based on a finding by a public agency that they were not a responsible bidder?

☐ Yes      ☐ No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, or other contractors.

- P-8.** In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Mechanical Subcontractor or any of its Associates concerning their work on a public construction project?

☐ Yes      ☐ No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- P-9.** In the past five years has the Mechanical Subcontractor or any of its Associates made any claim in excess of \$50,000 against a project owner or a general contractor concerning work on a public construction project or payment for a public construction contract and filed that claim in court or arbitration?

☐ Yes      ☐ No

If “yes,” on a separate page identify the claim by providing the name of claimant, the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- P-10.** In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Mechanical Subcontractor or any of its Associates due to non-payment or contractor losses?



☐ Yes      ☐ No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

- P-11.** Has the Mechanical Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public entity?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- P-12.** Has the Mechanical Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- P-13.** Has the Mechanical Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- P-14.** During the last five years, has there ever been a period of time when the Mechanical Subcontractor or any of its Associates had no surety bond in place during a public construction project when one was required?

☐ Yes      ☐ No

If yes, indicate the period during which no surety bonds were in place, name of entity without surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

- P-15.** Has CAL OSHA cited and assessed penalties against the Mechanical Subcontractor or any of its Associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

(NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

- P-16.** Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Mechanical Subcontractor or any of its Associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- P-17.** Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Mechanical Subcontractor, or any of its Associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- P-18.** How often does the Mechanical Subcontractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?
-

- P-19.** List the Mechanical Subcontractor's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

(NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.)

Year:	<u>2011</u>	EMR:	_____
Year:	<u>2010</u>	EMR:	_____
Year:	<u>2009</u>	EMR:	_____

Failure to meet an average of 1.00 or below for the past three years will result in disqualification of the Design Build Team.

- P-20.** Is the Mechanical Subcontractor's average lost work day rate for the most recent three year period 2 or less? If the Mechanical Subcontractor's average lost work day rate (LWR) is a three year average exceeding 2 the Mechanical Subcontractor will be disqualified.

☐ Yes ☐ No

Year:	<u>2011</u>	Lost Work Day Rate:	_____
Year:	<u>2010</u>	Lost Work Day Rate:	_____
Year:	<u>2009</u>	Lost Work Day Rate:	_____

- P-21.** Within the last five years has there ever been a period when the Mechanical Subcontractor or any of its Associates had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Mechanical Subcontractor for the last five years. (If the Mechanical Subcontractor has been in business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)

- P-22.** Has there been more than one occasion during the last five years in which the Mechanical Subcontractor or any of its Associates was required to pay either back wages or penalties for failure to comply with the California state prevailing wage laws?

☐ Yes ☐ No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

**P-23.** Does the Mechanical Subcontractor operate its own State-approved apprenticeship program? If "yes," provide the following information on a separate page:

☐ Yes      ☐ No

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

**P-24.** At any time during the last five years, has the Mechanical Subcontractor or any of its Associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

☐ Yes      ☐ No

If "yes," provide the date of the findings and attach a copy of the final decision.

---

Date of Findings

**P-25.** Do agreements exist between the Mechanical Subcontractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticable crafts which may be employed by the Mechanical Subcontractor on this project?

(NOTE: This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticable craft within the period of October, 1999 to October, 2001.)

☐ Yes      ☐ No

**P-26.** Has the Mechanical Subcontractor performed a subcontract for the mechanical work portion of the construction of any California school or college projects in the last 5 years in which the total contract price of the mechanical work constructed was in excess of \$5,000,000?

☐ Yes      ☐ No      If "Yes", how many\_\_\_\_?

**MECHANICAL SUBCONTRACTOR**  
**CERTIFICATION**

NOTE: Authorized person(s) with authority to execute this Certification shall sign this Certification on behalf of each of the persons or entities that is a constituent member of the Design-Build Entity that is the Applicant Qualifier seeking to be pre-qualified by the District. Make additional copies this certification page as needed to provide certification for each such person or legal entity.

I, the undersigned \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

\_\_\_\_\_  
(Place of Execution)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name of the person or entity\* on whose behalf this Certificate is signed)

**SECTION "Q"**  
**OTHER SUBCONTRACTOR(S)**

**Provide the following information about each Other Subcontractor proposed for prequalification. Attach additional pages if necessary in order to respond to a Question.**

**Q-1** Name of Subcontractor: \_\_\_\_\_

**Q-2** Subcontractor Trade: \_\_\_\_\_

**Q-3.** Date of company formation or incorporation:  
\_\_\_\_\_

**Q-4.** State of formation or incorporation:  
\_\_\_\_\_

**Q-5.** How many persons does the Subcontractor currently employ? \_\_\_\_\_

**Q-6.** If the Subcontractor is a corporation, provide the following information for each officer of the corporation and each individual who owns 10% or more of the corporate stock:

<b>Position</b>	<b>Name and Address</b>	<b>Years with Co.</b>	<b>% Ownership</b>


**Q-7** If the Subcontractor is a sole proprietorship, complete the following:

<b>Owner</b>	<b>Years as Owner</b>

**Q-8** If the Subcontractor is a joint venture, partnership or other association (other than a corporation), provide the following information for each member of the joint venture, partnership or other association:

<b>Name of Individual or Entity</b>	<b>% Ownership Interest in Firm</b>	<b>Position with Firm</b>	<b>Years with Firm</b>	<b>Name and Address of Principal Contact</b>


**Q-9.** Has there been any change in ownership of the Subcontractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades).

☐ Yes      ☐ No      If "Yes", explain on separate page

**Q-10.** Is the Subcontractor a subsidiary, parent, holding company or affiliate of another firm?

☐ Yes      ☐ No      If "Yes", explain on a separate page

**Q-11.** State the Subcontractor's gross revenues for each of the last three years:

YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_ YEAR: \_\_\_\_\_

\$: \_\_\_\_\_ \$: \_\_\_\_\_ \$: \_\_\_\_\_

**Q-12.** List all California contractor license numbers, classifications and expiration dates currently held by the Other Subcontractor:

License Number	Classification	Date Issued	Expiration Date

**Q-13.** Has the Subcontractor changed names or license numbers in the past five years?

☐ Yes      ☐ No      If "Yes", explain on a separate page

**Q-14.** Has any owner, CSLB qualifier or corporate officer of the Subcontractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

☐ Yes      ☐ No      If "Yes", explain on a separate page

**Q-15.** Surety Information for Subcontractor:



Bonding Co./Surety: \_\_\_\_\_

Surety Agent: \_\_\_\_\_

Agent Address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

- Q-16.** List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds:

<b>Surety</b>	<b>Address</b>	<b>Dates</b>

**SECTION “R”**  
**ESSENTIAL REQUIREMENTS**  
**OTHER SUBCONTRACTOR(S)**

**This Section “R” consists of pass/fail questions. Failure by Applicant to pass any of the Questions in this Section “R” will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire. If the Applicant based on its responses is not disqualified, its ultimate rating will be based on the scoring of the scored questions, which follow in later Parts of this Questionnaire.**

- R-1.** Does the Proposed Subcontractor possess a current California contractor’s license for the Project for which it intends to submit a proposal that conforms to the requirements of the Request for Prequalification?

☐ Yes      ☐ No

**R-2.** Pursuant to Labor Code §1725.5 and §1771 Contractor is currently registered as a contractor with the Department of Industrial Relations (DIR)?

☐ Yes ☐ No

DIR Registration #: \_\_\_\_\_ DIR Expiration Date: \_\_\_\_\_

**R-3.** Does the Proposed Subcontractor have current workers' compensation insurance policy as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes ☐ No

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: \_\_\_\_\_

Carrier: \_\_\_\_\_

Policy Number: \_\_\_\_\_

**R-4.** Has any contractor license held by the Proposed Subcontractors or their Associates, been revoked or suspended within the last five (5) years?

☐ Yes ☐ No

**R-5.** Has a surety firm completed a contract or paid for completion of a contract on behalf of the Proposed Subcontractor because they were terminated by the project owner within the last five (5) years?

☐ Yes ☐ No

**R-6.** Within the last five years was the Proposed Subcontractor declared ineligible to bid on a public works contract, to be awarded a public works contract, or to perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes ☐ No

**R-7.** Has any Proposed Subcontractor or any of its Associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ Yes ☐ No

**R-8.** Has any professional license held by any engineer with your firm who will provide services been revoked at any time in the last five years?

☐ Yes ☐ No

**R-9.** Does the Proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?

☐ Yes ☐ No

**R-10.** Is the Proposed Subcontractor's experience modification rate for the most recent three-year period an average of 1.00 or less? NOTE: Failure to achieve an EMR average of 1.00 or less for three years average disqualify the Proposed Subcontractor.

☐ Yes ☐ No

**R-11.** Does the Proposed Subcontractor have an injury prevention program instituted pursuant to Section 3201.5 or 6401.7 of the California Labor Code

☐ Yes ☐ No

**SECTION "S"**  
**QUESTIONS FOR OTHER SUBCONTRACTOR(S)**

**Applicant is to provide responses to each of the following questions pertaining to its proposed Other Subcontractors. If more than one Other Subcontractor is proposed, separate responses shall be provided for each proposed Other Subcontractor. If an Other Subcontractor is proposed to perform a single Other Subcontractor Trade, only one response for such Other Subcontractor is required. Responses will be scored; however, evaluation of Other Subcontractor scores for this Section "S" will be on a pass/fail basis. Any Other Subcontractor that fails to receive the overall minimum score required for this Section "S" will be disqualified. The failure of at least one Other Subcontractor to achieve the overall minimum score required by this SECTION "S" for qualification shall result in the disqualification of the Applicant for the entire Project. Scored points for the Other Subcontractor(s) will not be added or deducted to determine the Applicant's total score.**

Other Subcontractor Name: \_\_\_\_\_

Other Subcontractor Trade: \_\_\_\_\_

**S-1.** How many years has the Other Subcontractor been licensed in California to perform \_\_\_\_\_ work? Years: \_\_\_\_\_

**S-2.** Is the Other Subcontractor or any of its Associates currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

**S-3.** Was the Other Subcontractor or any of its Associates in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question S-2, above)

☐ Yes ☐ No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

**S-4.** At any time in the last five years has the Other Subcontractor or any of its Associates been assessed liquidated damages of more than \$50,000 on a project under a public construction contract?

☐ Yes ☐ No

If yes, explain on a separate page, identifying all such projects by owner, owner's address, name of entity against whom assessment was made, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

**S-5.** In the last five years has the Other Subcontractor or any of its Associates ever defaulted on a public construction contract?

☐ Yes ☐ No

If "Yes", explain on a separate page.

- S-6.** In the last five years has the Other Subcontractor or any of its Associates been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any public construction project for any reason?

☐ Yes ☐ No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- S-7.** Has the Other Subcontractor or any of its Associates ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ Yes ☐ No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, or other contractors.

- S-8.** In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Other Subcontractor or any of its Associates concerning their work on a public construction project?

☐ Yes ☐ No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- S-9.** In the past five years has the Other Subcontractor or any of its Associates made any claim in excess of \$50,000 against a project owner or a general contractor concerning work on a public construction project or payment for a public construction contract and filed that claim in court or arbitration?

☐ Yes ☐ No

If “yes,” on a separate page identify the claim by providing the name of claimant, the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- S-10.** In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Other Subcontractor or any of its Associates due to non-payment or contractor losses?

☐ Yes      ☐ No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

- S-11.** Has the Other Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public entity?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- S-12.** Has the Other Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- S-13.** Has the Other Subcontractor or any of its Associates (or any manager of the Associate if the Associate is not a person) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes      ☐ No

**A “yes” answer will result in the Applicant being disqualified, regardless of the scores received by the Applicant for its responses to any other questions in this Questionnaire.**

- S-14.** During the last five years, has there ever been a period of time when the Other Subcontractor or any of its Associates had no surety bond in place during a public construction project when one was required?

☐ Yes      ☐ No

If yes, indicate the period during which no surety bonds were in place, name of entity without surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

- S-15.** Has CAL OSHA cited and assessed penalties against the Other Subcontractor or any of its Associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

(NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

- S-16.** Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Other Subcontractor or any of its Associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- S-17.** Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Other Subcontractor, or any of its Associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

☐ Yes      ☐ No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

**S-18.** How often does the Other Subcontractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

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**S-19.** List the Other Subcontractor's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

(NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.)

Year:	<u>2011</u>	EMR:	<u>                    </u>
Year:	<u>2010</u>	EMR:	<u>                    </u>
Year:	<u>2009</u>	EMR:	<u>                    </u>

Failure to meet an average of 1.00 or below for the past three years will result in disqualification of the Design Build Team.

**S-20** Is the Other Subcontractor's average lost work day rate for the most recent three year period 2 or less? If the Other Subcontractor's average lost work day rate (LWR) is a three year average exceeding 2 the Other Subcontractor will be disqualified.

☐ Yes ☐ No

Year:	<u>2011</u>	Lost Work Day Rate:	<u>                    </u>
Year:	<u>2010</u>	Lost Work Day Rate:	<u>                    </u>
Year:	<u>2009</u>	Lost Work Day Rate:	<u>                    </u>

**S-21.** Within the last five years has there ever been a period when the Other Subcontractor or any of its Associates had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Other Subcontractor for the last five years. (If the Other Subcontractor has been in business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)



- S-22.** Has there been more than one occasion during the last five years in which the Other Subcontractor or any of its Associates was required to pay either back wages or penalties for failure to comply with the California state prevailing wage laws?

☐ Yes      ☐ No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

- S-23.** Does the Other Subcontractor operate its own State-approved apprenticeship program? If "yes," provide the following information on a separate page:

☐ Yes      ☐ No

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

- S-24.** At any time during the last five years, has the Other Subcontractor or any of its Associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

☐ Yes      ☐ No

If "yes," provide the date of the findings and attach a copy of the final decision.

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Date of Findings

- S-25.** Do agreements exist between the Other Subcontractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticable crafts which may be employed by the Other Subcontractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticable craft within the period of October, 1999 to October, 2001.)

☐ Yes      ☐ No

**S-26.** Has the Other Subcontractor performed a subcontract for the Other Subcontractor Trade portion of the construction of any California school or college projects in the last 5 years in which the total contract price of the Other Subcontractor Trade portion of the work constructed was in excess of \$5,000,000?

☐ Yes      ☐ No      If “Yes”, how many\_\_\_\_\_?

**SUBCONTRACTOR**  
**CERTIFICATION**

NOTE: Authorized person(s) with authority to execute this Certification shall sign this Certification on behalf of each of the persons or entities that is a constituent member of the Design-Build Entity that is the Applicant Qualifier seeking to be pre-qualified by the District. Make additional copies this certification page as needed to provide certification for each such person or legal entity.

I, the undersigned \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

\_\_\_\_\_  
(Place of Execution)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name of the person or entity\* on whose behalf this Certificate is signed)

**END OF PRE-QUALIFICATION QUESTIONNAIRE**