

**NOTICE TO GENERAL CONTRACTORS  
AND  
MECHANICAL, ELECTRICAL, PLUMBING, FIRE  
PROTECTION AND UNDERGROUND PIPELINE  
SUBCONTRACTORS**

**A, B, C-4, C-7, C-10, C-16, C-20, C-34, C-36, C-38, C-42, C-43, and C-46**

**PREQUALIFICATION FOR THE  
DIXIE SCHOOL DISTRICT  
MILLER CREEK MIDDLE SCHOOL  
MODERNIZATION - SITEWORK  
LEASE LEASEBACK PROJECT**

**FEBRUARY 13, 2019**

**INCLUDES:**

**PART A. INSTRUCTIONS & APPEALS PROCESS  
PART B. PRE-QUALIFICATION QUESTIONNAIRE  
PART C. SCORING INFORMATION**

**DIXIE SCHOOL DISTRICT  
380 Nova Albion Way, San Rafael, CA 94903  
415-492-3700 Phone | 415-492-3707 Fax**

# **TABLE OF CONTENTS**

**PART A. NOTICE**

**PART B. INSTRUCTIONS AND APPEAL PROCESS**

**PART C. PRE-QUALIFICATION QUESTIONNAIRE**

**PART D. SCORING INFORMATION**

**NOTICE REGARDING PREQUALIFICATION  
FOR MILLER CREEK MIDDLE SCHOOL  
MODERNIZATION – SITEWORK  
LEASE LEASEBACK PROJECT  
DIXIE SCHOOL DISTRICT**

Notice is hereby given by Dixie School District (“District”) that general contractors planning to submit a proposal for the District’s Miller Creek Middle School Modernization - Sitework Lease Leaseback Projects (“Project”) will be required to prequalify pursuant to Public Contract Code § 20111.6 prior to submitting a proposal. Mechanical, Electrical and Plumbing Subcontractors are strongly encouraged to prequalify pursuant to this notice and will be required to prequalify for the Project; however, MEP Subcontractors will have another opportunity for prequalification prior to subcontractor selection for the Project. Prequalification application packages are available by contacting Theresa Novotny at [theresa@greystonewest.com](mailto:theresa@greystonewest.com). Prequalification application packets must be completed and returned to the District’s Business Office no later than 2:00 p.m., February 27, 2019. **General contractors will be notified of their prequalification status no later than March 6, 2019. Prequalified general contractors must submit their proposal for this Project no later than 2:00 p.m. on March 14, 2019.**

# **PREQUALIFICATION FOR GENERAL CONTRACTORS AND MECHANICAL, ELECTRICAL, PLUMBING, FIRE PROTECTION AND UNDERGROUND PIPELINE SUBCONTRACTORS**

## **FOR THE MILLER CREEK MIDDLE SCHOOL MODERNIZATION - SITEWORK LEASE LEASEBACK PROJECT**

### **INSTRUCTIONS AND APPEALS PROCESS**

#### **I. BACKGROUND AND OVERVIEW**

The Dixie School District (“District”) is prequalifying General Contractors (“Contractors”) and Mechanical, Electrical, Plumbing, Fire Protection and Underground Pipeline subcontractors as required by Public Contract Code § 20111.6 (“MEP Subcontractors”) and holding one of the following licenses: **C-4, C-7, C-10, C-16, C-20, C-34, C-36, C-38, C-42, C-43, and C-46** to prequalify for the following lease-leaseback project: Miller Creek Middle School Modernization – Sitework Lease Leaseback Project (“Project”).

Pursuant to Education Code section 17406, it is mandatory that all Contractors and MEP Subcontractors who intend to submit a proposal on the Project must provide all information and materials requested in this Prequalification Application and be prequalified by the District prior to submitting a proposal. Any MEP Subcontractors, as defined by Public Contract Code § 20111.6, required for the Project must be prequalified pursuant to these prequalification forms and requirements, and all Contractors must use prequalified MEP Subcontractors. MEP Subcontractors will have another opportunity for prequalification prior to subcontractor selection for the Project.

#### **II. PROJECT DESCRIPTION**

This Project is estimated to cost approximately \$2,500,000.

#### **III. PREQUALIFICATION PROCESS**

The following process will govern the conduct of Contractor and MEP Subcontractors Prequalification for the Project. A Contractor and MEP Subcontractors who submit prequalification responses thereby consent to and will comply with the procedures outlined below and as set forth in greater detail in this document.

- A. Submittal Applicants are encouraged to submit prequalification packages as soon as possible, so that they may be notified of prequalification status well in advance of the proposal deadline. Prequalification responses for this Project shall be received by the District **no later than 2:00 pm on February 27, 2019**. All prospective licensed Contractors and MEP Subcontractors who wish to pre-

qualify for the Project shall submit a complete Prequalification Questionnaire and Certification (“Questionnaire”) in a sealed envelope to:

**Dixie School District  
Attn: Jason Yamashiro, Superintendent  
380 Nova Albion Way  
San Rafael, CA 94903**

Prequalification materials will only be accepted in accordance with the requirements of the law. The District reserves the right to request, receive, and evaluate supplemental information after the above time and date at its sole discretion. **General contractors will be notified of their prequalification status no later than March 6, 2019. Prequalified general contractors must submit their proposal for this Project no later than 2:00 p.m. on March 14, 2019.**

- B. Form Applicants shall complete the prequalification process and timely submit all documents as indicated in the Questionnaire. No other prequalification documents previously completed by the applicant will meet these requirements. All information requested in the Questionnaire must be provided in order to be considered “responsive” to the requirements of prequalification. If a question is not applicable, then indicate a response of “N/A”. “You” or “Yours” as used herein refers to the prospective bidders’ firm and any of its owners, officers, principals and qualifying individuals. If two or more business entities request prequalification on this project as a joint venture or expect to prequalify as part of a joint venture, each entity within the joint venture must separately qualify to be selected.

The Questionnaire shall be submitted as one package – it shall not be submitted “piecemeal.” Applicants shall submit one (1) completed Questionnaire with required attachments in “hard copy” format (i.e., 8-1/2”x11” paper) in a sealed envelope. Any questions regarding this package should be directed to Theresa Novotny, [theresa@greystonewest.com](mailto:theresa@greystonewest.com). Submission of an incomplete and/or unclear Questionnaire may result in a determination that the applicant is non-responsive and/or not qualified.

- C. Financial Statement In addition to completing the Questionnaire, each applicant must submit its most current reviewed or audited year-end financial statement, which must have been prepared by a certified public accountant within twelve (12) months of each applicant’s submission of the prequalification package. Each applicant must also provide its most current financial statement, which must have been prepared within three (3) months of each applicant’s submission of the prequalification package. Applicants are exempt from providing the financial statements if they qualify as a small business pursuant to Government Code 14837 and the proposal is not more than 25% of the qualifying amount provided in Government Code 14837. Exempt applicants will be required to complete the Small Business Declaration, enclosed. Finally, each applicant must submit 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) which states the applicant’s current bonding capacity.

Financial statements submitted with this prequalification package shall not be prepared by any individual who is in the regular employ of the firm submitting the statement, nor by any individual or entity who has more than a ten percent (10%) financial interest in the firm’s business. If the individual or entity that prepared a financial statement submitted with this prequalification package has any financial interest in the firm’s business, the firm shall notify the District of such financial interest in a separate signed statement accompanying this prequalification package.

- D. District's Review Applicants that have submitted a Questionnaire shall receive written notification of their prequalification status. The applicant will receive a rating of "Prequalified" or "Not Prequalified." All information provided will be kept confidential to the extent permitted by law, although the contents may be disclosed to third parties for the purposes of verification, investigation of substantial allegations, and in the process of an appeal hearing. State law requires that the names of contractors applying for prequalification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose. The District reserves the right to reject any Questionnaire or to waive irregularities in any Questionnaire received, to make all final determinations, and to determine at any time that the prequalification procedures will not be applied to a future public works project.
- E. Addenda Any addenda issued will be issued by February 22, 2019. The receipt of all addenda must be acknowledged on the Questionnaire. The District reserves the right to waive minor irregularities and omissions in the information contained in the prequalification application submitted and to make all final determinations.
- F. Non-responsiveness A Questionnaire may be deemed nonresponsive if:
1. The Questionnaire is not submitted on time.
  2. Applicant does not provide all requested information.
  3. The Questionnaire is not signed under penalty of perjury by individuals who have the authority to bind the applicant on whose behalf they are signing.
  4. Information contained in the Questionnaire is not updated under penalty of perjury when it is no longer accurate.
  5. Any information provided by the applicant is misleading or inaccurate in any material manner (e.g., financial resources are overstated; previous violations of law are not accurately reported). Even after an applicant has been determined to be qualified, the District reserves the right to revoke that determination at any subsequent time, to terminate any contract awarded, and to cease making payments if it determines that any information provided by the applicant was incomplete, misleading, inaccurate or false in any manner.

## **IV. QUALIFICATION CRITERIA**

### **ESSENTIAL CRITERIA**

As detailed herein, each potential applicant must provide specific information that will be reviewed and scaled by the District. Certain qualifications are essential. Any potential applicant who cannot satisfy all Part 1 "Essential Criteria", regardless of the ranking or ability to meet other criteria, will not be prequalified.

The Questionnaire also contains questions for which a numerical score will be given for specific answer(s). An applicant must receive a minimum score of 115 points, regardless of its ability to meet other criteria, or the applicant will not prequalify for District work.

## **V. APPEAL PROCEDURE**

Pursuant to Public Contract Code § 20101(d) an applicant who has timely submitted a completed application form, may appeal the District's prequalification decision by giving notice to the District no later than five (5) business days after receipt of notice of its qualification status. Notice shall be sent to the address listed above. The appeal shall contain all evidence supporting the applicant's challenge to the District's decision. The District will consider the applicant's evidence and will make a final determination.

Unless an applicant files a timely appeal, the applicant waives any and all rights to challenge the qualification decision of the District, whether by administrative process, judicial process or any other legal process or proceeding. The District reserves the right to resolve appeals before or after the opening of proposals or award of any contract. The date for submission and opening of proposals for a specific project and any subsequent contract award will not be delayed or postponed to allow for completion of an appeal process.

# QUESTIONNAIRE

**CONTACT INFORMATION**

Firm Name: \_\_\_\_\_ Check One:  Corporation  
(as it appears on license)  Partnership  
 Sole Prop.

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

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

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

Email: \_\_\_\_\_

If firm is a sole proprietor or partnership:

Owner(s) of Company: \_\_\_\_\_

List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm:

\_\_\_\_\_

If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license:

\_\_\_\_\_

Acknowledge receipt of Addenda(s):

\_\_\_\_\_

\_\_\_\_\_

**PART I.**  
**ESSENTIAL REQUIREMENTS FOR QUALIFICATION**

1. Contractor possesses a valid and current California Contractor's license for the Project.  
 Yes       No
  
2. If you are a general contractor, do you have a liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$4,000,000 aggregate? If you are a mechanical, electrical or plumbing subcontractor, do you have a liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate?  
 Yes       No
  
3. Contractor meets the "skilled workforce" requirements set forth under Education Code section 17407.5.  
 Yes       No
  
4. Contractor has current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.  
 Yes       No       Contractor is exempt from this requirement, because it has no employees
  
5. Has your firm completed at least two California public school K-12 construction projects, subject to DSA approval within the last three (3) years?  
 Yes       No

If "Yes" list on a separate sheet the names of the projects, their location, the owner, the project manager, the project superintendent, contact information, project amount, and the date each project was commenced and completed.

6. Is your firm currently registered with the Department of Industrial Relations and qualified to submit a bid or proposal and to otherwise perform work on a public project pursuant to Section 1725.5 of the Labor Code?  
 Yes       No
  
7. Has your contractor's license been revoked or suspended at any time in the last five years, even if later reinstated retroactively?  
 Yes       No
  
8. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five years?  
 Yes       No
  
9. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or 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

If the answer is "Yes," state the beginning and ending dates of the period of debarment:

- 
10. At any time during the last five (5) years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?
- Yes       No

**PART II.**  
**ORGANIZATION, HISTORY, ORGANIZATIONAL**  
**PERFORMANCE, COMPLIANCE WITH CIVIL AND**  
**CRIMINAL LAWS**

**A. Current Organization and Structure of the Business**

**For Firms That Are Corporations:**

- 1a. Date incorporated : \_\_\_\_\_
- 1b. Under the laws of what state: \_\_\_\_\_
- 1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership	Social Security #

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.  
**NOTE: For this question, "owner" and "partner" refer to ownership of ten per cent or more of the business, or 10 per cent or more of its stock, if the business is a corporation.**

Person's Name	Construction Firm	Dates of Person's Participation with Firm

**For Firms That Are Partnerships:**

- 1a. Date of formation: \_\_\_\_\_
- 1b. Under the laws of what state: \_\_\_\_\_
- 1c. Provide all the following information for each partner who owns 10 per cent or more of the firm.

Name	Position	Years with Co.	% Ownership	Social Security #

- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

Person’s Name	Construction Company	Dates of Person’s Participation with Company

**For Firms That Are Sole Proprietorships:**

- 1a. Date of commencement of business: \_\_\_\_\_  
 1b. Social security number of company owner: \_\_\_\_\_  
 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

Person’s Name	Construction Company	Dates of Person’s Participation with Company

**For Firms That Intend to Make a Bid as Part of a Joint Venture:**

- 1a. Date of commencement of joint venture. \_\_\_\_\_  
 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

Name of firm	% Ownership of Joint Venture

**For All Applicants:**

1. Has there been any change in ownership of the firm at any time during the last three years?  
**NOTE: A corporation whose shares are publicly traded is not required to answer this question.**

Yes       No

If “yes,” explain on a separate signed page.

2. Has your firm changed names or license number in the past five years?

Yes       No

If “yes,” explain on a separate signed page, including the reason for the change.

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?  
**NOTE: Include information about other firms if one firm owns 50 per cent 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 signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms.  
**NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.**

Yes       No

If “yes,” explain on a separate signed page.

5. Has any owner, partner or officer of your firm operated a construction firm under any other name in the last five years?

Yes       No

If “yes,” explain on a separate signed page, including the reason for the change.

6. State your firm’s gross revenues for each of the last three years:

Current Year: \_\_\_\_\_  
Previous Year: \_\_\_\_\_  
Year prior to previous year: \_\_\_\_\_

7. Please attach your most current reviewed or audited year-end financial statement, which must have been prepared by a certified public accountant, within twelve (12) months of submission of this prequalification package. Also, please provide your most current financial statement, which must have been prepared within three (3) months of submission of this prequalification package.<sup>1</sup>

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<sup>1</sup> Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the proposal is “no more than 25 percent of the qualifying amount provided in section 14837(d)(1).” A contractor seeking to invoke this exemption shall submit the enclosed Small Business Declaration Form. As of January 1, 2001, the qualifying amount is \$10 million, and 25% of that amount is \$2.5 million.

8. Name of accounting firm and primary contact: \_\_\_\_\_  
\_\_\_\_\_

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

Telephone: \_\_\_\_\_

9. How many years has this accounting firm prepared financial statements for you?

**B. History of the Business and Organizational Performance**

1. How many years has your organization been in business in California as a contractor under your present business name and license number? \_\_\_\_\_ years

2. Is your firm currently the debtor in a bankruptcy case?

Yes       No

If “yes,” please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

3. Was your firm in bankruptcy or receivership at any time during the last five years?

Yes       No

If “yes,” please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court’s discharge order, or of any other document that ended the case, if no discharge order was issued.

4. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

Yes       No

If “yes,” please explain on a separate signed sheet.

5. Does your firm currently have a permanent administrative office in Humboldt County, California that has been in existence for at least two years (jobsite field offices shall not be included)?

Yes       No

6. Has your firm completed at least one public works projects in Humboldt County within the last two years?

Yes       No

**C. Disputes**

1. At any time in the last five years has your firm been assessed liquidated damages after completion of a project under a construction contract with either a public or private owner?

Yes       No

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, 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.

2. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

**NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to Part II (A) on this form.**

Yes       No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

3. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

Yes       No

If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

**NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.**

4. In the past five years has any claim **against** your firm concerning your firm's work on a construction project been **filed in court or arbitration?**

Yes       No

If “yes,” on separate signed sheets of paper 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 in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

5. In the past five years has your firm made any claim in court or arbitration against a project owner concerning work on a project or payment for a contract?

Yes       No

If “yes,” on separate signed sheets of paper 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 in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

6. At any time during the past five years, has any surety company made any payments on your firm’s behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm’s behalf, in connection with a construction project, either public or private?

Yes       No

If “yes,” explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

7. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes       No

If “yes,” explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

8. In the last five years has your firm held a public works contract on which more than three stop payment notices were served against your firm?

Yes       No

If “Yes” explain on a separate signed page.

**D. Criminal Matters and Related Civil Suits**

1. Has your firm or any of its owners, officers or partners 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

If “yes,” explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

2. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes       No

If “yes,” explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

3. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes       No

If “yes,” identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

**E. Bonding**

1. Please attach 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) which states your current bonding capacity.

2. Name of bonding company/surety: \_\_\_\_\_

Name of surety agent, address and telephone number:

\_\_\_\_\_

3. 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:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last five years, state the percentage that your firm was required to pay, identify the project, identify the owner, and identify the dates of the project. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.
- 

5. During the last five years, has your firm ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

Yes       No

If “Yes” provide details on a separate signed sheet indicating the date when your firm was denied coverage and the name of the company or companies which denied coverage; and the period during which you had no surety bond in place.

**F. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety**

1. Has CAL OSHA cited and assessed penalties against your firm 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,” attached a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

2. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

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

Yes       No

If “yes,” attach a separate signed page describing each citation.

3. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

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

Yes       No

If “yes,” attach a separate signed page describing each citation.

4. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

\_\_\_\_\_

5. List your firm’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.**

Current year: \_\_\_\_\_

Previous year: \_\_\_\_\_

Year prior to previous year: \_\_\_\_\_

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

6. Within the last five years has there ever been a period when your firm 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 signed page. If “No,” please provide a statement by your current workers’ compensation insurance carrier that verifies periods of workers’ compensation insurance coverage for the last five years. (If your firm has been in the construction 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 the construction business.)

**G. Prevailing Wage and Apprenticeship Compliance Record**

1. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm’s failure to comply with the **state’s** prevailing wage laws?

**NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.**

Yes       No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the 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 you were required to pay.

2. During the last five years, has there been any occasion in which your own firm has 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 signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

3. Provide the **name, address and telephone number** of the apprenticeship program sponsor(s) (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your company for use on any public work project for which you are awarded a contract.

\_\_\_\_\_  
\_\_\_\_\_

4. If your firm operates its own State-approved apprenticeship program:

- (a) Identify the craft or crafts in which your firm 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.

\_\_\_\_\_  
\_\_\_\_\_

- 
5. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

**NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.**

Yes       No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

**PART III.  
RECENT CONSTRUCTION  
PROJECTS COMPLETED**

1. Contractor shall provide information about all public works projects, subject to DSA approval, completed within the last three years. Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

General Contractors: Provide a list of all projects which your firm performed as the general contractor.

MEP Subcontractors: Provide a list of all projects which your firm performed as the general contractor or as a subcontractor. For subcontractor contracts, please provide the general contractor's name and contact information.

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

Location: \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact (name and current phone number):

\_\_\_\_\_  
\_\_\_\_\_

Architect or Engineer: \_\_\_\_\_

Architect or Engineer Contact (name and current phone number):

\_\_\_\_\_  
\_\_\_\_\_

Construction Manager (name and current phone number):

\_\_\_\_\_  
\_\_\_\_\_

Inspector of Record (name and current phone number):

\_\_\_\_\_

Description of Project, Scope of Work Performed:

\_\_\_\_\_  
\_\_\_\_\_

Total Value of Construction (including change orders): \_\_\_\_\_

Date Construction Commenced: \_\_\_\_\_

Original Scheduled Completion Date: \_\_\_\_\_

Time Extensions Granted (number of days): \_\_\_\_\_

Actual Date of Completion: \_\_\_\_\_

\* \* \* \* \*

I, the undersigned, certify and declare that I have read all the foregoing answers to this prequalification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Dated: \_\_\_\_\_  
(Name)

## **SCORING INFORMATION**

### **The Scores Needed for Prequalification**

To prequalify, a contractor must have a passing score within each of the following two Parts. The specific requirements for the scoring of each section are set forth at the beginning of the section.

Part I: Essential Requirements for Qualifications requires that applicants provide Yes or No answers.

Part II: Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws consists of seven subparts which are assigned points to each of the possible answers to the questions, for a combined score. A total minimum score of 115 is required for prequalification.

**PART I: Essential Requirements for Qualification**

Contractor must answer “Yes” to questions 1 through 6 below. Any “No” (or blank) answers shall result in a rating of “Not Prequalified.”

		Yes	No
1.	Valid and current contractor’s license		
2.	Liability Insurance with Appropriate Limits General Contractor: \$2,000,000 & \$4,000,000 MEP Subcontractor: \$1,000,000 & \$2,000,000		
3.	Meets “skilled workforce” requirements		
4.	Valid worker’s compensation insurance policy		
5.	At least 2 DSA-approved CA public school K-12 projects w/in 3 years		
6.	Currently registered with DIR		

Contractor must answer No to questions 7 through 10 below. Any Yes (or blank) answers shall result in a rating of “Not Prequalified”.

7.	Contractor’s License Revocation or Suspension within last 5 Years		
8.	Surety completed a project due to contractor default		
9.	Contractor ineligible to bid due to Labor Code violations		
10.	Convicted of a crime involving construction laws		

**Part II: Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws**

Section A. Current Organization and Structure of the Business

Information provided in this section must be complete and to the District’s satisfaction. Failure to provide all requested information shall result in a “Not Prequalified” rating.

Section B. History of the Business and Organizational Performance

		Possible Scores	Score
1.	Years in business under same name/license	6 years or more = 5 5 years = 4 4 years = 3 3 years or less = 2	
2.	Debtor in a bankruptcy case	No =5 Yes =0	
3.	Bankruptcy last 5 years	No = 5 Yes = 0	
4.	Suspended license last 5 years	No = 5 Yes = 0	
5.	Local Admin Office	Yes = 5 No = 0	
6.	Humboldt Co. projects	Yes = 5 No = 0	

(Maximum Possible Score 30)

II.B Total Score \_\_\_\_\_

Section C. Disputes

		Possible Scores	Score
1.	Liquidated Damages in last 5 years	No = 5 1 or 2 times = 3 2 times or more = 0	
2.	Debarred, Disqualified, removed or prevented from bidding in last 5 years	No = 5 Yes = 0	
3.	Denied bid on grounds of non-responsibility	No = 5 Yes = 0	
4.	Claim against firm in court or arbitration	No =5 1-2 instances = 3 More than 2 = 0	
5.	Made claim against owner in	No = 5	

	court or arbitration	1 instance = 3 More than 2 = 0	
6.	Surety payments on contractor's behalf	No = 5 1 instance = 3 More than 1 = subtract 5	
7.	Insurance carrier refused to renew insurance policy	No = 5 Yes = 0	
8.	Project with more than 3 stop payment notices in last 5 years	No = 5 Yes = 0	

(Maximum Possible Score 40)

II.C Total Score \_\_\_\_\_

Section D. Criminal Matters and Related Civil Suits

		Possible Scores	Score
1.	Liabe or convicted of crime or civil suit involving false claim	No = 5 Yes = subtract 5	
2.	Convicted of crime involving construction law	No = 5 Yes = subtract 5	
3.	Convicted of a crime involving fraud, dishonesty, etc.	No = 5 Yes = subtract 5	

(Maximum Possible Score 15)

II.D Total Score \_\_\_\_\_

Section E. Bonding

\*\*Questions 1-3: Information provided in these questions must be complete to the District's satisfaction. Failure to provide all requested information shall result in a "Not Prequalified" rating.

		Possible Scores	Score
4.	Required to pay a premium	No = 5 1-1.25% premium = 4 1.25-1.5% premium = 3 More than 1.5% = 0	
5.	Denied coverage by surety	No = 5 Yes = 0	

(Maximum Possible Score 10)

II.E Total Score \_\_\_\_\_

Section F. Compliance with OSHA and Other Labor Legislation Safety

		Possible Scores	Score
1.	CAL OSHA violations last 5 years	No = 5 1 instance = 4 2 instances = 3 3+ instances = 0	
2.	Federal OSHA citations last 5 years	No = 5 1 instance = 4 2 instances = 3 3+ instances = 0	
3.	EPA, Air Quality or RWQCB citations last 5 years	No = 5 1 instance = 4 2 instances = 3 3+ instances = 0	
4.	Safety meetings	Weekly = 5 Monthly = 3 Quarterly = 1 None = 0	
5.	Experience Modification Rate	EMR .95 or less = 5 .95 – 1 = 3 Other = 0	
6.	Workers' comp lapse in last five years	No = 5 Yes = 0	

(Maximum Possible Score 30)

II.F Total Score \_\_\_\_\_

Section G. Prevailing Wage and Apprenticeship Compliance Record

\*\*Questions 3 & 4: Information provided in these questions must be complete to the District's satisfaction. Failure to provide all requested information shall result in a "Not Prequalified" rating.

		Possible Scores	Score
1.	Required to pay back wages under State prevailing wage law	No = 5 1 instance = 4 2 instances = 3 3+ instances = 0	
2.	Required to pay back wages under Federal prevailing wage law	No = 5 1 instance = 4 2 instances = 3	

		3+ instances = 0	
5.	Apprentice violations	None = 5 1 instance = 4 2 instances = 3 3+ instances = 0	

(Maximum Possible Score 15)

II.G Total Score \_\_\_\_\_

II.A Total Score \_\_\_\_\_  
 II.B Total Score \_\_\_\_\_  
 II.C Total Score \_\_\_\_\_  
 II.D Total Score \_\_\_\_\_  
 II.E Total Score \_\_\_\_\_  
 II.F Total Score \_\_\_\_\_  
 II.G Total Score \_\_\_\_\_

Grand Total \_\_\_\_\_  
 (Maximum Possible Grand Total = 140)

If Grand Total for Part III is 115 or greater, and Contractor met the requirements of Part I, then Contractor is **prequalified**.

If Grand Total for Part III is less than 115 and/or Contractor did not meet the requirements of Part I, then Contractor is **not prequalified**.