PRE-QUALIFICATION QUESTIONNAIRE FOR DESIGN-BUILD CONSTRUCTION WORK

ARTICLE 1 – REQUEST FOR PRE-QUALIFICATION

1.01 General Information

A. Notice is hereby given that the Peralta Community College District (“Owner” or “District”) has determined that all bidders on the College of Alameda Buildings “C” and “D” Science Modernization Project, to be undertaken by Owner, must be pre-qualified prior to submitting a proposal on that project. The Project will be delivered utilizing the design-build methodology. The Project will demolish Buildings C and D (48,713 ASF and 71,879 GSF) on the College of Alameda campus and replaces them, in the same location, with a new state-of-the-art classroom and lab building. The new learning facility will house classrooms and science laboratories. It is anticipated that the new classroom and lab building will be a flexible, accessible, technologically sophisticated, energy efficient facility. The District will be evaluating which design-build team can best incorporate its design innovation while delivering a LEED Gold facility or better utilizing the programming document developed by Steinberg Architects (Steinberg). The anticipated completion date is mid-2016. The construction budget is anticipated to be approximately $20 million.

B. It is mandatory that all Design-Build Entities who intend to submit a proposal, fully complete the pre-qualification questionnaire, provide all materials requested herein, and be approved by Owner to be on the final qualified Proposal list. No Proposal will be accepted from a Design-Build Entity that has failed to comply with these requirements.

C. All Proposals submitted must identify the design and construction-related services necessary for the College of Alameda Buildings C and D Project to achieve a LEED certification rating of Gold or better by the California Green Building Institute upon completion. No Proposal will be accepted from a Design-Build Entity that has failed to comply with these requirements.

D. The last date to submit a fully completed questionnaire is November 15, 2012. Design-Build Entities are encouraged to submit pre-qualification packages as soon as possible, so that they may be notified of omissions of information to be remedied or of their pre-qualification status well in advance of the bid advertisement for this project.

1.02 Pre-Qualification Questionnaire

A. Answers to questions contained in the attached pre-qualification questionnaire, with accompanying notes and supplemental information, are required. Owner will use these documents as the basis of rating the Design-Build Entity. Owner reserves the right to check other sources available. Owner’s decision will be based on objective evaluation criteria. Owner reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information.

C. Each questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by all members of the Design-Build Entity. If any information provided by a Design Build Entity becomes inaccurate, the Design Build Entity must immediately notify Owner and provide updated accurate information in writing, under penalty of perjury.

D. Owner reserves the right to waive minor irregularities and omissions in the information contained in any submitted pre-qualification questionnaire, and to make all final determinations.

E. The Design-Build Entity may submit pre-qualification questionnaires during regular working hours on any day that Owner’s offices are open.

F. The Owner may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by November 15, 2012.

G. All completed pre-qualification questionnaires must be no more than seventy-five (75) pages in length, exclusive of any certified financial statements submitted by the Design-Build Entities.
1.03 Pre-Qualification Of Electrical And Mechanical Subcontractors

A. All electrical and mechanical subcontractors must be pre-qualified. Accordingly, all Design-Build Entities must pre-qualify electrical and mechanical subcontractors from which the Design-Build Entities may later obtain bids to perform these services using the attached pre-qualification questionnaire.

B. In furtherance of the Owner's goal of selecting a Design-Build Entity whose members will provide the best value for the Project, all Design-Build Entities are encouraged to pre-qualify several different electrical and mechanical subcontractors that the Design-Build Entities believe will provide the best value for the Project and from whom the Design-Build Entity may later solicit bids prior to the commencement of construction, in accordance with California Education Code §§ 17250.30 & 81704, California Public Contract Code § 4100, et seq., and these Contract Documents.

C. All Design-Build Entities must submit to Owner a listing of all electrical and mechanical subcontractors that the Design-Build Entity has pre-qualified for the Project. Completed pre-qualification questionnaires for each electrical and mechanical subcontractor (Articles 5, 6, 11 and 12) must be submitted by each Design-Build Entity in a separate envelope concurrently with each Design-Build Entities’ completed pre-qualification questionnaire, for review and verification by Owner prior to Award.

[PRE-QUALIFICATION QUESTIONNAIRE FOLLOWS ON NEXT PAGE]
PRE-QUALIFICATION QUESTIONNAIRE FOR DESIGN-BUILD ENTITY

ARTICLE 1 – INFORMATION ABOUT DESIGN-BUILD ENTITY MEMBERS

1.01 Contact Information

A. Company Name: __________________________________________________________
   (as it appears on license)

B. Owner of Company: ______________________________________________________

C. Contact Person: _________________________________________________________

D. Address: _______________________________________________________________

E. Phone: __________________________ Fax: __________________________

1.02 Design-Build Entity Member(s)

A. List all legal entities being pre-qualified.

(Attach additional pages if necessary)

<table>
<thead>
<tr>
<th>Discipline (i.e. general contractor, architect, engineer, electrical contractor, etc.)</th>
<th>Name</th>
<th>Legal Entity (i.e. corporation, partnership, sole proprietor)</th>
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</thead>
<tbody>
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</table>

B. For all partnerships or other associations listed above that are not legal entities, please provide a copy of the agreement creating the partnership or association.
## ARTICLE 2 – INFORMATION ABOUT GENERAL CONTRACTOR

### 2.01 Contact Information

A. Name of General Contractor: \\
B. Date of company formation or incorporation: \\
C. State of formation or incorporation: \\
D. How many persons does the General Contractor currently employ?: 

### 2.02 If the General Contractor is a corporation, provide the following:

A. Provide information for each officer of the corporation and owners of 10% or more of the corporate stock.

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Years with Co.</th>
<th>% Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEO</td>
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<tr>
<td>President</td>
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<td>Secretary</td>
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<tr>
<td>Treasurer</td>
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</table>
2.03 If the General Contractor is a **sole proprietorship**, please complete the following:

<table>
<thead>
<tr>
<th>Owner</th>
<th>Years as Owner</th>
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</table>

2.04 If the General Contractor is a **joint venture or partnership**, provide the following for each member of the joint venture or each partner.

(Attach additional pages if necessary)

<table>
<thead>
<tr>
<th>Name of Individual Or Entity</th>
<th>Principal Contact</th>
<th>Position</th>
<th>Years with Joint Venture/Partnership</th>
<th>% Ownership Interest</th>
</tr>
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</table>

2.05 Has there been any change in ownership of the General Contractor 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.

2.06 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.

2.07 State the General Contractor’s gross revenues for each of the last three years:

Year:___________  Year:___________  Year:___________

$___________  $___________  $___________
2.08 List all California contractor license numbers, classifications and expiration dates currently held by the General Contractor:

<table>
<thead>
<tr>
<th>License Number</th>
<th>Trade Classification</th>
<th>Date Issued</th>
<th>Expiration Date</th>
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</thead>
<tbody>
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</tbody>
</table>

2.09 Has the General Contractor changed names or license numbers in the past ten years?

☐ Yes  ☐ No

If “yes,” explain on a separate page.

2.10 Has any owner, CSLB qualifier 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 ten years?

☐ Yes  ☐ No

If “yes,” explain on a separate page.

2.11 Surety Information for General Contractor:

A. Name of bonding company/surety: ________________________________

B. Name of Surety Agent: ________________________________

C. Surety Agent address: ________________________________

D. Surety Agent phone number: ________________________________

2.12 List all other sureties (name and full address) that have written bonds for the General Contractor during the last ten years, including periods during which each wrote the bonds:

<table>
<thead>
<tr>
<th>Surety</th>
<th>Address</th>
<th>Periods of Coverage</th>
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</table>
ARTICLE 3 – INFORMATION ABOUT THE ARCHITECT

3.01 Definitions:

A. “Architect of Record” shall mean the Architect whose stamp will appear on project documents.

3.02 If the Architect of Record's firm is different from that of the General Contractor, please answer the following:

A. Date of company formation or incorporation: ________________________________

B. State of formation or incorporation: ________________________________

C. How many persons does the Architect's firm currently employ?: ________________________________

3.03 If the Architect’s firm is a corporation, provide the following information for each officer of the corporation and owners of 10% or more of the corporate stock.

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Years with Co.</th>
<th>% Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEO</td>
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<tr>
<td>President</td>
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<tr>
<td>Treasurer</td>
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<tr>
<td>Owner</td>
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</tbody>
</table>

3.04 If the Architect is a sole proprietorship, complete the following:

<table>
<thead>
<tr>
<th>Owner</th>
<th>Years as Owner</th>
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</table>
3.05 If the Architect’s firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

(Attach additional pages if necessary)

<table>
<thead>
<tr>
<th>Name of Individual or Entity</th>
<th>Principal Contact</th>
<th>Position</th>
<th>Years with Joint Venture/Partnership</th>
<th>% Ownership Interest</th>
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3.06 Has there been any change in ownership of the Architect’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.

3.07 Is the Architect’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 your firm holds a similar position in another firm.)

☐ Yes     ☐ No

If “yes,” explain on a separate page.

3.08 Has any corporate officer or owner of the Architect's firm, worked for any other architectural firms in the past ten years?

(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 page.

3.09 Has the Architect’s firm changed names in the past ten years?

☐ Yes     ☐ No

If “yes,” explain on a separate page.
3.10 Provide the following information for all known Architects who will be designing the project:

(Attach additional pages if necessary)

<table>
<thead>
<tr>
<th>Architect</th>
<th>License Number</th>
<th>Years in Practice</th>
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3.11 Attach a copy of the Architect of Record's resume.
ARTICLE 4 – INFORMATION ABOUT THE PRINCIPAL ENGINEERS

4.01 The nature of the project will dictate the discipline(s) of the Principal Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant engineers to the project. Attach copies if necessary.

4.02 Provide the following information:

A. Name: ____________________________________________
B. License Number: ______________________________________
C. Engineering Discipline: _____________________________________
D. Years in Practice: __________________________________________

4.03 If the firm of the Principal Engineer is different from that of the General Contractor or Architect of Record, please answer the following:

A. Date of company formation or incorporation: ______________________
B. State of formation or incorporation: _____________________________
C. How many persons does the Engineer’s firm currently employ?: ______________________

4.04 If the Principal Engineers firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Years with Co.</th>
<th>% Ownership</th>
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<tbody>
<tr>
<td>CEO</td>
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<td>Treasurer</td>
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</table>
4.05 If the Principal Engineer is a **sole proprietorship**, complete the following:

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<tr>
<th>Owner</th>
<th>Years as Owner</th>
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<tr>
<th>Owner</th>
<th>Years as Owner</th>
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</table>

4.06 If the Principal Engineer's firm is a **joint venture or partnership**, provide the following information for each member of the joint venture or each partner.

<table>
<thead>
<tr>
<th>Name of Individual or Entity</th>
<th>Principal Contact</th>
<th>Position</th>
<th>Years with Joint Venture/Partnership</th>
<th>% Ownership Interest</th>
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</table>

4.07 Has there been any change in ownership of the Principal Engineer’s firm during the last three years?

(NO**TE**: 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.

4.08 Is the Principal Engineer's firm a subsidiary, parent, holding company or affiliate of another firm?

(NO**TE**: 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.)
4.09 Has any corporate officer or owner of the Principal Engineer's firm worked for any other engineering firms in the past ten years?

(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 page.

4.10 Has the Principal Engineer's firm changed names in the past ten years?

☐ Yes ☐ No

If "yes," explain on a separate page.

4.11 Attach a copy of the Principal Engineer's resume.
ARTICLE 5 – INFORMATION ABOUT THE ELECTRICAL SUBCONTRACTOR

5.01 Attach copies of Article 5 for each electrical subcontractor if multiple electrical subcontractors are being prequalified.

5.02 Contact Information

A. Name of Electrical Subcontractor: ________________________________
B. Date of company formation or incorporation: ________________________
C. State of formation or incorporation: ________________________________
D. How many persons does the Electrical Subcontractor currently employ?: __________________

5.03 If the Electrical Subcontractor is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Years with Co.</th>
<th>% Ownership</th>
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</thead>
<tbody>
<tr>
<td>CEO</td>
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<td>Treasurer</td>
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5.04 If the Electrical Subcontractor is a **sole proprietorship**, complete the following:

<table>
<thead>
<tr>
<th>Owner</th>
<th>Years as Owner</th>
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5.05 If the Electrical Subcontractor is a **joint venture or partnership**, provide the following information for each member of the joint venture or each partner:

<table>
<thead>
<tr>
<th>Name of Individual or Entity</th>
<th>Principal Contact</th>
<th>Position</th>
<th>Years with Joint Venture/Partnership</th>
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</table>

5.06 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 trades.)

☐ Yes  ☐ No

If “yes,” explain on a separate page.

5.07 Is the Electrical Subcontractor 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.

5.08 State the Electrical Subcontractor’s gross revenues for each of the last three years:

Year:_____________  Year:_____________  Year:_____________

$___________  $___________  $___________
5.09 List all California contractor license numbers, classifications and expiration dates currently held by the Electrical Subcontractor:

<table>
<thead>
<tr>
<th>License Number</th>
<th>Classification</th>
<th>Date Issued</th>
<th>Expiration Date</th>
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</table>

5.10 Has the Electrical Subcontractor changed names or license numbers in the past ten years?

☐ Yes    ☐ No

If “yes,” explain on a separate page.

5.11 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 ten years?

☐ Yes    ☐ No

If “yes,” explain on a separate page.

5.12 Surety Information for Electrical Subcontractor:

A. Name of Bonding Company/Surety: __________________________________________

B. Name of Surety Agent: _________________________________________________

C. Surety Agent Address: _________________________________________________

D. Surety Agent phone number: ___________________________________________

5.13 List all other sureties (name and full address) that have written bonds for your firm during the last ten years, including the periods during which each wrote the bonds:

<table>
<thead>
<tr>
<th>Surety</th>
<th>Address</th>
<th>Periods of Coverage</th>
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</table>
ARTICLE 6 – INFORMATION ABOUT THE MECHANICAL SUBCONTRACTOR

6.01 Attach copies of Article 6 for each mechanical subcontractor if multiple mechanical subcontractors are being prequalified.

6.02 Contact Information

A. Name of Mechanical Subcontractor: ________________________________

B. Date of company formation or incorporation: ________________________

C. State of formation or incorporation: ________________________________

D. How many persons does the Mechanical Subcontractor currently employ?: __________________

6.03 If the Mechanical Subcontractor is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Years with Co.</th>
<th>% Ownership</th>
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<tbody>
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<td>CEO</td>
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<tr>
<td>Treasurer</td>
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</tbody>
</table>
6.04 If the Mechanical Subcontractor is a **sole proprietorship**, complete the following:

<table>
<thead>
<tr>
<th>Owner</th>
<th>Years as Owner</th>
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6.05 If the Mechanical Subcontractor is a **joint venture or partnership**, provide the following information for each member of the joint venture or each partner:

<table>
<thead>
<tr>
<th>Name of Individual or Entity</th>
<th>Principal Contact</th>
<th>Position</th>
<th>Years with Joint Venture/Partnership</th>
<th>% Ownership Interest</th>
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6.06 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.

6.07 Is the Mechanical Subcontractor 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.

6.08 State the Mechanical Subcontractor’s gross revenues for each of the last three years:

Year: _______________  Year: _______________  Year: _______________

$ _______________  $ _______________  $ _______________
6.09 List all California contractor license numbers, classifications and expiration dates currently held by the Mechanical Subcontractor:

<table>
<thead>
<tr>
<th>License Number</th>
<th>Classification</th>
<th>Date Issued</th>
<th>Expiration Date</th>
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6.10 Has the Mechanical Subcontractor changed names or license numbers in the past ten years?

☐ Yes  ☐ No

If “yes,” explain on a separate page.

6.11 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 ten years?

☐ Yes  ☐ No

If “yes,” explain on a separate page.

6.12 Surety Information for Mechanical Subcontractor:

A. Name of Bonding Company/Surety: ________________________________

B. Name of Surety Agent: ________________________________

C. Surety Agent Address: ________________________________

D. Surety Agent phone number: ________________________________

6.13 List all other sureties (name and full address) that have written bonds for your firm during the last ten years, including the dates during which each wrote the bonds:

<table>
<thead>
<tr>
<th>Surety</th>
<th>Address</th>
<th>Dates</th>
</tr>
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<tbody>
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ARTICLE 7 – ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY

7.01 Definitions:

A. The term “Associates” shall mean all of the following:
   1. The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
   2. All current officers of a contractor which is a corporation.
   3. All current partners of a contractor which is a partnership.
   4. All current joint venturers of the joint venture contractor which is seeking prequalification.

7.02 Does the General Contractor and each proposed Subcontractor possess a current California contractor’s license for the project for which it intends to submit a proposal?

☐ Yes ☐ No

7.03 Does the General Contractor have a liability insurance policy with a policy limit of at least $5,000,000 per occurrence and $10,000,000 aggregate from a California admitted company?

☐ Yes ☐ No

If “yes,” please provide the following information:

(Attach a separate page if more than one policy.)

A. Insurance Company: __________________________________________

B. Policy Number: __________________________________________

C. Policy limit per occurrence: __________________________________

D. Aggregate policy limit: _______________________________________

7.04 Does the General Contractor and each proposed Subcontractor have current workers’ compensation insurance policies as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ Yes ☐ No

If “yes,” please provide the following information:

(Attach a separate page if more than one policy.)

A. Insured: __________________________________________

B. Carrier: __________________________________________

C. Policy Number: _________________________________________
7.05  Has the latest copy of a reviewed financial statement (no more than two years old) with accompanying notes been attached for the General Contractor?  (A reviewed financial statement with accompanying notes of a parent company guarantor may be substituted. A financial statement that is not reviewed is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.)

☐ Yes  ☐ No

7.06  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

7.07  Has any contractor license held by the General Contractor or its associates or any of the proposed Subcontractors or their associates, been revoked or suspended within the last ten (10) years?

☐ Yes  ☐ No

7.08  Has a surety firm completed a contract or paid for completion of a contract on behalf of any member of the Design-Build Entity because they were terminated by the project owner within the last ten (10) years?

☐ Yes  ☐ No

7.09  Within the last ten years was the General Contractor or any 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

7.10  Has any member of the Design-Build Entity (contractors, architects, engineers or others) or any member’s 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 ten (10) years?

☐ Yes  ☐ No

7.11  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?

☐ Yes  ☐ No

7.12  Is the Architect of Record covered by a professional liability insurance policy with a policy limit of at least $2,000,000 per occurrence and $5,000,000 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.)

A. Insurance Company: ______________________________________________________

B. Policy Number: __________________________________________________________

C. Policy limit per occurrence: ______________________________________________

D. Aggregate policy limit: _____________________________________________________

7.13 Are all Principal Engineers covered by a professional liability insurance policy with a policy limit of at least $2,000,000 per occurrence and $5,000,000 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.)

A. Insurance Company: ______________________________________________________

B. Policy Number: __________________________________________________________

C. Policy limit per occurrence: ______________________________________________

D. Aggregate policy limit: _____________________________________________________

7.14 Has any professional license held by any Architect who will provide services been revoked at any time in the last ten years?

☐ Yes  ☐ No

7.15 Has any professional license held by any Engineer who will provide services been revoked at any time in the last ten years?

☐ Yes  ☐ No

7.16 Does the General Contractor and each 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

7.17 Has the General Contractor and each proposed Subcontractor performed design-build construction services on a contract to build a California Community College, California State University, or University of the State of California educational facility, requiring design review and construction oversight by the Department of the State Architect (DSA), within the last ten years?

☐ Yes  ☐ No

If “yes,” please provide the following information:
(Attach a separate page if construction services were performed on more than one public educational facility.)

A. Project Owner: ________________________________________________________________

B. Project Name and Description: ________________________________________________

C. ____________________________________________________________________________

D. Date and Duration of Project Construction: _______________________________________

7.18 Has the General Contractor and each proposed Subcontractor performed design-build construction services on a contract to build a public educational science or laboratory facility within the last ten years?

☐ Yes ☐ No

If “yes,” please provide the following information:

(Attach a separate page if construction services were performed on more than one public educational science or medical facility.)

A. Project Owner: ________________________________________________________________

B. Project Name and Description: ________________________________________________

C. ____________________________________________________________________________

D. Date and Duration of Project Construction: _______________________________________

7.19 Has the General Contractor and each proposed Subcontractor performed design-build construction services on a public or private construction project comparable in size and scope to the College of Alameda Buildings C and D Project within the last ten years?

☐ Yes ☐ No

If “yes,” please provide the following information:

(Attach a separate page if construction services were performed on more than one construction project of comparable size.)

A. Project Owner: ________________________________________________________________

B. Project Name and Description: ________________________________________________

C. ____________________________________________________________________________

D. Date and Duration of Project Construction: _______________________________________
7.20 Has the General Contractor and each proposed Subcontractor performed design-build construction services on a contract to build a public educational facility requiring compliance with the California Educational Code within the last ten years?

☐ Yes  ☐ No

If “yes,” please provide the following information:

(Attach a separate page if construction services were performed on more than one public educational facility.)

A. Project Owner: 

B. Project Name and Description: 

C. 

D. Date and Duration of Project Construction: 

7.21 Has the General Contractor and each proposed Subcontractor performed design-build construction services on a contract to build a public or private facility that was awarded a LEED certification rating of Gold or better by the Green Building Certification Institute within the last ten years?

☐ Yes  ☐ No

If “yes,” please provide the following information:

(Attach a separate page if construction services were performed on more than one LEED Gold certified facility.)

A. Project Owner: 

B. Project Name and Description: 

C. 

D. Date and Duration of Project Construction: 

7.22 Has the Architect of Record performed design-build construction services on a contract to build a public or private facility that was awarded a LEED certification rating of Gold or better by the Green Building Certification Institute within the last ten years?

☐ Yes  ☐ No

If “yes,” please provide the following information:
(Attach a separate page if construction services were performed on more than one LEED Gold certified facility.)

A. Project Owner: __________________________________________________________

B. Project Name and Description: __________________________________________

C. ______________________________________________________________________

D. Date and Duration of Project Construction: ________________________________

7.23 Has the Principal Engineer performed design-build construction services on a contract to build a public or private facility that was awarded a LEED certification rating of Gold or better by the Green Building Certification Institute within the last ten years?

☐ Yes  ☐ No

If “yes,” please provide the following information:

(Attach a separate page if construction services were performed on more than one LEED Gold certified facility.)

A. Project Owner: __________________________________________________________

B. Project Name and Description: __________________________________________

C. ______________________________________________________________________

D. Date and Duration of Project Construction: ________________________________
SCORED QUESTIONS

ARTICLE 8 – SCORED QUESTIONS FOR THE GENERAL CONTRACTOR

8.01 Definitions:

A. The term “Associates” shall mean all of the following:

1. The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
2. All current officers of a contractor which is a corporation.
3. All current partners of a contractor which is a partnership.
4. All current joint venturers of the joint venture contractor which is seeking prequalification.

8.02 Questions:

A. How many years has the General Contractor been licensed in California?

Years: ____________

B. Is the General Contractor or 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 ____________

C. Was the General Contractor or its associates in bankruptcy at any time during the last ten years? (This question refers only to a bankruptcy action that was not described in answer to question B, 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. At any time in the last ten years has the General Contractor or 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.

E. Has the General Contractor or its associates ever defaulted on a construction contract?

☐ Yes ☐ No

If “yes,” explain on a separate page.
F. In the last ten years has the General Contractor or its associates, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works 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. Has the General Contractor or 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, 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.)

H. In the past ten years has any claim in excess of $50,000 been filed in court or arbitration against the General Contractor or its associates concerning their work on a 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).

I. In the past ten years has the General Contractor or its associates made any claim in excess of $50,000 against a project owner concerning work on a project or payment for a 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).

J. In the last ten years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or 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.

K. Has the General Contractor or its associates 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
If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

L. Has the General Contractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes    ☐ No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

M. Has the General Contractor or its associates 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 page, the person or persons convicted, the court and case number, the crimes, and the year convicted.

N. During the last ten years, has there ever been a period of time when the General Contractor or 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.

O. Has CAL OSHA cited and assessed penalties against the General Contractor or its associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past ten 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. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor or its associates in the past ten 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.

Q. 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 its associates or the owner of a project during the time in which the preceding parties were performing on a contract in the...
past ten 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.

R. 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?

S. List the General Contractor’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.)

1. Year: EMR:  
2. Year: EMR:  
3. Year: EMR:  

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

T. Within the last ten years has there ever been a period when the General Contractor or 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 ten years. (If the General Contractor has been in business for less than ten 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.)

U. Has there been more than one occasion during the last ten years in which the General Contractor or 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.

V. During the last ten years, has there been more than one occasion in which the General Contractor or 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.

W. If the General Contractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

1. Identify the craft or crafts in which you provided apprenticeship training in the past year.
2. 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).
3. 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.

X. At any time during the last ten years, has the General Contractor or 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.

Y. 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 ten years, for all apprenticable crafts which may be employed by the General Contractor on this project?

☐ Yes    ☐ No

(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.)

Z. Has the General Contractor built public colleges or universities in the last 5 years?

☐ Yes    ☐ No

If "yes," how many?:______________

AA. Please fill in the following blanks based on the General Contractor's attached financial statement:

1. Current Assets: $____________________
2. Current Liabilities: $____________________
3. Total Net Worth: $____________________
5. Working Capital (Current Assets - Current Liabilities): $____________________
ARTICLE 9 – SCORED QUESTIONS FOR THE ARCHITECT OF RECORD

9.01  Definitions:

A.  “Architect of Record” shall mean the Architect whose stamp will appear on project documents.

B.  “Firm” shall mean the firm which employs the Architect of Record whether it is the General Contractor, a separate Architectural firm, or other firm.

9.02  Name of Architect of Record:  ____________________________________________

9.03  Name of Firm:  __________________________________________________________

9.04  Questions:

A.  How many years has the Architect of Record been licensed and practicing in California?

   Years:  __________

B.  Is the 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

C.  Was the firm in bankruptcy at any time during the last ten years? (This question refers only to a bankruptcy action that was not described in answer to question B, 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.  In the last ten years has the Architect of Record or the firm, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works 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.

E.  Has the Architect of Record or the firm 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.
F. In the past ten years has any claim in excess of $50,000 been filed in court or arbitration against the Architect of Record or the firm concerning its architectural work on a 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. In the past ten years has the Architect of Record or the firm, made any claim in excess of $50,000 against a project owner concerning its architectural work on a 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).

H. In the last ten years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Architect of Record or the 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.

I. Has the Architect of Record or the firm 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,” on a separate page identify who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

J. Has the Architect of Record or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

If “yes,” on a separate page identify who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

K. Has the Architect of Record or the firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

If “yes,” on a separate page identify the person or persons convicted, the court and case number, the crimes and the year convicted.
L. Has the Architect of Record designed public colleges or universities in the last 5 years?

☐ Yes ☐ No

If “yes,” how many?: _________

M. Has the Department of Consumer Affairs taken any disciplinary action against the Architect of Record?

☐ Yes ☐ No

If yes, please explain on a separate page.
ARTICLE 10 – SCORED QUESTIONS FOR THE PRINCIPAL ENGINEER

10.01 Definitions:

A. “Firm” shall mean the firm that employs the Principal Engineer, whether it is the General Contractor, a separate engineering firm, or other firm.

10.02 The nature of the project will dictate the discipline(s) of the Principal Engineer(s). The Design-Build Entity should make sure to pre-quality all relevant Principal Engineers to the project. Attach additional copies as necessary for each Principal Engineer.

10.03 Name of Principal Engineer: ________________________________

10.04 Name of Firm: ____________________________________________

10.05 Questions:

A. How many years has the Principal Engineer been licensed and practicing in California?

   Years: __________

B. Is the 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: __________

C. Was the firm in bankruptcy at any time during the last ten years? (This question refers only to a bankruptcy action that was not described in answer to question B, 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. In the past ten years has any claim in excess of $50,000 been filed in court or arbitration against the Principal Engineer or the firm concerning its engineering work on a 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).

E. In the last ten years has the Principal Engineer or the firm been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works 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.
F. Has the Principal Engineer or the firm 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.

G. In the past ten years has the Principal Engineer or the firm made any claim in excess of $50,000 against a project owner concerning engineering work on a 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).

H. In the last ten years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Engineer or the 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.

I. Has the Principal Engineer or the firm 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,” on a separate page identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding.

J. Has the Principal Engineer or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

If “yes,” on a separate page identify who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

K. Has the Principal Engineer or the firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

If “yes,” on a separate page identify who was convicted, the court and case number, the crimes and the year convicted.
L. Has the Principal Engineer designed public colleges or universities in the last 5 years?

☐ Yes  ☐ No

If “yes,” how many?: __________

M. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Engineer?

☐ Yes  ☐ No

If yes, please explain on a separate page.
ARTICLE 11 – SCORED QUESTIONS FOR THE ELECTRICAL SUBCONTRACTOR(S)

11.01 Attach copies of Article 11 for each Electrical Subcontractor if multiple electrical subcontractors are being prequalified.

11.02 Definitions:

A. The term “Associates” shall mean all of the following:

1. The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
2. All current officers of a contractor which is a corporation.
3. All current partners of a contractor which is a partnership.
4. All current joint venturers of the joint venture contractor which is seeking prequalification.

11.03 Subcontractor Name: ____________________________________________

11.04 Questions:

A. How many years has the Electrical Subcontractor been licensed in California?
   Years: ____________________

B. Is the Electrical Subcontractor or 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 ________

C. Was the Electrical Subcontractor or its associates in bankruptcy at any time during the last ten years? (This question refers only to a bankruptcy action that was not described in answer to question B, 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. At any time in the last ten years has the Electrical Subcontractor or 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.
E. In the past ten years has the Electrical Subcontractor or its associates ever defaulted on a contraction contract?

☐ Yes  ☐ No

If “yes,” explain on a separate page.

F. In the last ten years has the Electrical Subcontractor or its associates ever been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works 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. Has the Electrical Subcontractor or 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.

H. In the past ten years has any claim in excess of $50,000 been filed in court or arbitration against the Electrical Subcontractor or its associates concerning their work on a 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).

I. In the past ten years has the Electrical Subcontractor or its associates made any claim in excess of $50,000 against a project owner or a general contractor concerning work on a project or payment for a 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 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. In the last ten years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Electrical Subcontractor or 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.
K. Has the Electrical Subcontractor or its associates 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

If "yes," explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

L. Has the Electrical Subcontractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

If "yes," explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

M. Has the Electrical Subcontractor or its associates 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 page the person or persons convicted, the court and case number, the crimes, and the year convicted.

N. During the last ten years, has there ever been a period of time when the Electrical Subcontractor or 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.

O. Has CAL OSHA cited and assessed penalties against the Electrical Subcontractor or its associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past ten years?

(NOw: 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. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Electrical Subcontractor or its associates in the past ten years?

(NOw: 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.

Q. 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, its associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past ten 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.

R. 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?

S. 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.)

1. Year:_________ EMR:_________
2. Year:_________ EMR:_________
3. Year:_________ EMR:_________

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

T. Within the last ten years has there ever been a period when the Electrical Subcontractor or 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 ten years. (If the Electrical Subcontractor has been in business for less than ten 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.)

U. Has there been more than one occasion during the last ten years in which the Electrical Subcontractor or 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.

V. During the last ten years, has there been more than one occasion in which the Electrical Subcontractor or 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.

W. If the Electrical Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

1. Identify the craft or crafts in which you provided apprenticeship training in the past year.
2. 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).
3. 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.

X. At any time during the last ten years, has the Electrical Subcontractor or 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

Y. 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 ten years, for all apprenticable crafts which may be employed by the Electrical Subcontractor on this project?

☐ Yes ☐ No

(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.)

Z. Has the Electrical Subcontractor performed on a contract to build public colleges or universities in the last 5 years?

☐ Yes ☐ No

If "yes," how many?: ____________________
ARTICLE 12 – SCORED QUESTIONS FOR THE MECHANICAL SUBCONTRACTOR(S)

12.01 Attach copies of Article 12 for each Mechanical Subcontractor if multiple mechanical subcontractors are being prequalified.

12.02 Definitions:

A. The term “Associates” shall mean all of the following:

1. The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
2. All current officers of a contractor which is a corporation.
3. All current partners of a contractor which is a partnership.
4. All current joint venturers of the joint venture contractor which is seeking prequalification.

12.03 Subcontractor Name: ____________________________________________________________________________

12.04 Questions:

A. How many years has the Mechanical Subcontractor been licensed in California?

   Years: ________________

B. Is the Mechanical Subcontractor or 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

C. Was the Mechanical Subcontractor or its associates in bankruptcy at any time during the last ten years? (This question refers only to a bankruptcy action that was not described in answer to question B, 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. At any time in the last ten years has the Mechanical Subcontractor or 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.
E. In the past ten years has the Mechanical Subcontractor or its associates ever defaulted on a construction contract?

☐ Yes ☐ No

If “yes,” explain on a separate page.

F. In the last ten years has the Mechanical Subcontractor or its associates been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works 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. Has the Mechanical Subcontractor or 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.

H. In the past ten years has any claim in excess of $50,000 been filed in court or arbitration against the Mechanical Subcontractor or its associates concerning their work on a 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).

I. In the past ten years has the Mechanical Subcontractor or its associates made any claim in excess of $50,000 against a project owner or a general contractor concerning work on a project or payment for a 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).

J. In the last ten years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Mechanical Subcontractor or 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.
K. Has the Mechanical Subcontractor or its associates 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

If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

L. Has the Mechanical Subcontractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes   ☐ No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

M. Has the Mechanical Subcontractor or its associates 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 page the person or persons convicted, the court and case number, the crimes, and the year convicted.

N. During the last ten years, has there ever been a period of time when the Mechanical Subcontractor or 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.

O. Has CAL OSHA cited and assessed penalties against the Mechanical Subcontractor or its associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past ten 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. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Mechanical Subcontractor or its associates in the past ten 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
Q. 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, its associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past ten 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.

R. 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?

S. 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.)

1. Year: EMR:
2. Year: EMR:
3. Year: EMR:

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

T. Within the last ten years has there ever been a period when the Mechanical Subcontractor or 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 ten years. (If the Mechanical Subcontractor has been in business for less than ten 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.)

U. Has there been more than one occasion during the last ten years in which the Mechanical Subcontractor or 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.

V. During the last ten years, has there been more than one occasion in which the Mechanical Subcontractor or 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.

W. If the Mechanical Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

1. Identify the craft or crafts in which you provided apprenticeship training in the past year.

2. 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).

3. 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.

X. At any time during the last ten years, has the Mechanical Subcontractor or 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.

Y. 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 ten years, for all apprenticable crafts which may be employed by the Mechanical Subcontractor on this project?

☐ Yes  ☐ No

(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.)

Z. Has the Mechanical Subcontractor performed on a contract to build public colleges or universities in the last 5 years??

☐ Yes  ☐ No

If “yes,” how many?: ____________________
ARTICLE 13 – RECENT CONSTRUCTION PROJECTS COMPLETED

13.01 How many design-build projects have the General Contractor and Architect of Record involved in this Design-Build Entity ever worked together on?

13.02 List volume of construction and value of largest design-build project which the General Contractor and Architect have worked together on.

A. Volume: _____________________________________________________________

B. Largest Contract: ____________________________________________________

13.03 List General Contractor’s three largest design-build projects within the last ten years. The design-build projects may be public or private and located anywhere in the United States. Names and references must be current and verifiable.

(Copy additional sheets for each project listed)

A. Project Name: _______________________________________________________

B. Location: __________________________________________________________

C. Owner Name and Current Telephone Number: ___________________________

D. Architect of Record’s Name and Current Telephone Number: ____________

E. Principal Engineer Name and Current Telephone Number: ______________

F. Construction Manager Name and Current Telephone Number: ____________

G. Description of Project, Scope of Work Performed: _______________________

H. Value of Original Contract: __________________________________________

I. Value of Contract including change orders: ____________________________

J. Original Scheduled Completion Date: _________________________________

K. Time Extensions Granted (number of days): ___________________________

L. Actual Date of Completion: __________________________________________
13.04 List General Contractor’s six most recently completed public works projects. Names and references must be current and verifiable.

(Copy additional sheets for each project)

A. Project Name: ________________________________

B. Location: ________________________________

C. Owner Name and Current Telephone Number: ________________________________

D. Architect of Record’s Name and Current Telephone Number: ________________________________

E. Principal Engineer Name and Current Telephone Number: ________________________________

F. Construction Manager Name and Current Telephone Number: ________________________________

G. Description of Project, Scope of Work Performed: ________________________________

H. Value of Original Contract: ________________________________

I. Value of Contract including change orders: ________________________________

J. Original Scheduled Completion Date: ________________________________

K. Time Extensions Granted (number of days): ________________________________

L. Actual Date of Completion: ________________________________
CERTIFICATION

NOTE: All members of the Design-Build Entity must sign. Copy this certification page for each 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)

______________________________
(Design-Build Entity Member)