DELANO UNION SCHOOL DISTRICT
REQUEST FOR QUALIFICATIONS #2024-005
DESIGN BUILD SERVICES FOR
DISTRICT-WIDE HVAC DESIGN AND REPLACEMENT PROJECT

Delano Union School District ("District") is seeking to prequalify design-build entities interested in submitting proposals for all assessment, design, maintenance, repair, and construction services for the ESSER Funded **District-Wide Heating, Ventilation and Air Conditioning Design and Replacement Project** ("Project"), in accordance with Education Code section 17250.10 et seq. Only respondents that have been prequalified by the District in response to this Request for Qualifications ("RFQ") will be eligible to submit proposals in response to the District's subsequent Request for Proposals ("RFP") for the Project.

Respondents to this RFQ shall submit a fully completed and sealed Statement of Qualifications ("SOQ") Questionnaire, using the District's standard prequalification template for design-build projects, as further described herein, to:

Delano Union School District
1405 12th Avenue
Delano, CA 93215
ATTN: Sandra Rivera
RFQ # 2024-005

ALL SOQ Questionnaires **are DUE BY 2:00 P.M. ON THURSDAY, APRIL 10, 2024**. Oral, telegraphic, facsimile, telephone, or email SOQs will not be accepted. SOQs received after this date and time will not be accepted and will be returned unopened.

District reserves the right to waive irregularities and omissions in the information contained in any SOQ Questionnaire, and to make all final determinations. District may use other sources of information outside of the SOQs to investigate respondents or to verify answers.

Each SOQ Questionnaire must be certified under penalty of perjury by the respondent. If any information provided by a respondent becomes inaccurate, the respondent must immediately notify District and provide updated, accurate information in writing, under penalty of perjury. District reserves the right to suspend or rescind prequalification at any time based on subsequently learned information.

A copy of the RFQ, which includes the Prequalification Questionnaire as APPENDIX B and any addendums will be posted on the District's website:
https://www.duesd.org/domain/199

Questions regarding this RFQ may be directed in writing to the Assistant Superintendent of Business Services, Sandra Rivera at srivera@duesd.org, and must be submitted on or by **4:00 P.M. on Monday, April 1, 2024**.

I. RFQ SCHEDULE SUMMARY

The District may change the dates on this schedule without prior notice.

DEADLINE	ACTION ITEM
March 21, 2024	Release of RFQ.
April 1, 2024 at 4:00 p.m.	Last day to receive written questions on RFQ from respondents.
April 4, 2024	Last day for District to issue addenda or answer questions for RFQ.
April 10, 2024 at 2:00 p.m.	Deadline for submissions in response to RFQ.
April 17, 2024	Notice to prequalified respondents.
April 18, 2024	Release of RFP to prequalified respondents.

II. PROJECT DESCRIPTION AND SCOPE OF SERVICES

A. District-Wide Heating, Ventilation and Air Conditioning Project

The services sought by this RFQ include all services necessary to design and construct the Project. This includes full design services, scheduling, estimating, value management, general contracting during the construction phase, building commissioning and project close out, including certification by the Division of the State Architect (DSA) in compliance when applicable, and the training of maintenance personnel as applicable to each portion of the work. The design and construction must comply with the requirements of all applicable local, state and federal agencies, including DSA and the California Department of Education (CDE). The Design Build Entities (DB-Es) shall work with state and local agencies including DSA to obtain approvals in increments that facilitate the schedule.

DB-Es shall design and build, as authorized by Education Code section 17250.10 et seq., the HVAC Design and Replacement Project. Nothing in this RFQ is intended nor should be interpreted as contravening the provisions of the Education Code. The DB-E shall be fully knowledgeable of, and shall comply with, the provisions of Education Code 17250.10, et seq., including but not limited to the use of Qualified Workforces.

B. Design-Build Services

The DB-E will provide all necessary design, engineering, management, labor, materials, tools., equipment, supplies and related services for planning and development of high efficiency HVAC equipment at multiple sites for unit ventilators and chillers **listed in APPENDIX A.** Final counts will be determined by the selected DB-E team and the district. All work will be done on active school sites and may require alternative work schedules and other means and methods. Please see Exhibit A for the full description of the Project scope.

The selected Design/Builder must be appropriately licensed and registered in the State of California for design and construction services as needed to complete the Project. In addition, the selected Design/Builder shall have experience with both design and construction of public school facilities and in working with the , the Division of the State Architect ("DSA"), and Title 24 of the California Code of Regulations.

The selected Design/Builder must be registered with the Department of Industrial Relations ("DIR") as required by law. The selected Design/Builder will be required to comply with the Labor Code prevailing wage requirements, skilled and trained workforce requirements, and the District's bonding and insurance requirements. The selected Design/Builder shall be required to work cooperatively with District staff, the Governing Board, all other technical consultants, the project inspector, and any program and/or construction manager, if any, retained by the District for the Project, and the community, to facilitate timely and professional completion of the Project.

III. DESIGN-BUILD PROCUREMENT PROCESS

Pursuant to Education Code section 17250.25, the District's procurement of a Design/Builder will follow two (2) phases:

1. Prequalification – First, by this RFQ, the District will prequalify respondents using a standard template request for statements of qualifications, attached hereto as **Appendix B**. The significant factors the District reasonably expects to consider in evaluating qualifications are identified in Section VIII, below.

    a. A Design/Builder shall not be prequalified or shortlisted unless it agrees to be bound by: an enforceable commitment to the school district that the entity and its subcontractors at every tier will use a skilled and trained workforce to perform all work on the project or contract that falls within an apprenticeable occupation in the building and construction trades, in accordance with Chapter 2.9 (commencing with Section 2600) of Part 1 of Division 2 of the Public Contract Code. (

2. Design-Build Proposals – Second, the District will issue an RFP, inviting only prequalified respondents to submit sealed proposals for the Project. The District will use a **best value selection method** for evaluating proposals. The procedure for final selection will be as follows:

    a. The District will evaluate responsive proposals using only the criteria and selection procedures specifically identified in the RFP.

    b. At a minimum, the RFP criteria will include, without limitation, the following:

        i. Price

        ii. Technical design and construction expertise

iii. Life-cycle costs over 15 or more years

c. The District may, at its discretion, request proposal revisions and hold discussions and negotiations with responsive proposers. The RFP will define applicable procedures to ensure that discussions or negotiations are conducted in good faith.

d. The District will rank responsive proposers based on a determination of value provided, but shall not be required to rank more than three (3) proposers.

e. The District will award the contract, if at all, to the responsible Design/Builder whose proposal is determined by the District to be the best value.

IV. FULL OPPORTUNITY

No Respondent will be discriminated against on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, reproductive health decision-making, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or veteran or military status in any consideration leading to the award of the contract. District also affirmatively ensures that Disadvantaged Business Enterprises ("DBE"), Small Local Business Enterprises ("SLBE"), Small Emerging Local Business Enterprises ("SELBE"), and Disabled Veterans Business Enterprises ("DVBE") shall be afforded full opportunity to respond to this RFQ.

V. LIMITATIONS

This RFQ is neither a formal request for bids, nor an offer by the District to contract with any party responding to this RFQ. The District reserves the right to add additional prequalified respondents for consideration after distribution of this RFQ, if it is found to be in the best interest of the District. All decisions concerning selection of the Design/Builder will be made in the best interests of the District. The issuing of a subsequent RFP and awarding of the contract pursuant to the subsequent RFP, if at all, is at the sole discretion of the District.

The District makes no representation that participation in this RFQ process will lead to an award of contract or any consideration whatsoever. The District shall in no event be responsible for the cost of preparing any response to this RFQ.

SOQs submitted by respondents are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. The contents, however, may be disclosed to third parties for purpose of verification or investigation. State law requires that the names of respondents applying for prequalification status shall be public records subject to disclosure.

VI. RESTRICTIONS ON LOBBYING AND CONTACTS

From the period beginning on the date of the issuance of this RFQ and ending on the date of the award of the contract, no person or entity submitting in response to this RFQ, nor any officer, employee, representative, agent, or consultant representing such a person or entityshall contact through any means or engage in any discussion regarding this RFQ, the evaluation or selection process/or the award of the contract with any member of the District, Governing Board, or selectin committee members. Any such contact shall be grounds for the disqualification of the respondent submitting a SOQ.

VII. PREQUALIFICATION

Attached hereto as **APPENDIX B** is the District's prequalification template. Respondent must complete the prequalification template, certify its answers under penalty of perjury, and attach all information requested therein. The completed, certified prequalification template, together with all attachments, constitutes respondent's SOQ.

Each SOQ must be certified under penalty of perjury. If any information provided by a respondent becomes inaccurate, the respondent must immediately notify District and provide updated and accurate information in writing, under penalty of perjury.

VIII. EVALUATION

The District will evaluate all timely submitted SOQs. Each SOQ must be complete. Incomplete SOQs will be considered nonresponsive and grounds for disqualification. The District retains the sole discretion to determine issues of compliance and to determine whether a respondent is responsive and qualified.

Significant factors the District reasonably expects to consider in evaluating qualifications are as follows:

- All required licenses and registration to design and construct the Project, with no recent revocations or suspensions;
- Established performance history, including an absence of criminal or civil violations or significant disputes;
- Capacity to obtain required bonds and insurance of the Project;
- Design expertise and experience;
- Construction expertise and experience;
- Acceptable safety record;
- Enforceable commitment to use a skilled and trained workforce for the Project, as applicable; and
- Financial capacity to complete the Project.

District may use other sources of information outside of the SOQs to investigate respondents or verify answers. District's investigation may extend beyond contacting project references identified in SOQs.

After completing its evaluation, the District will notify respondents selected for prequalification.

IX. FINAL DETERMINATION

Prequalification is at the sole discretion of the District. The District reserves the right to waive irregularities and omissions in the information contained in any SOQ, and to make all final determinations. The District further reserves the right to suspend or rescind prequalification at any time based on subsequently learned information.

The District makes no representation that participation in this RFQ process will lead to an award of contract or any consideration whatsoever. The District reserves the right to seek proposals from or to contract with any firm not participating in this process. The District shall in no event be responsible for the cost of preparing any SOQ or other response to this RFQ.

APPENDIX A
PROJECT DESCRIPTION

The DB-E shall provide all installations services for HVAC Replacement projects including all necessary labor, materials, tools, equipment, supplies, construction management, installation, construction and training services.

The Scope of Work for the DB-E includes but is not limited to:

- Architectural and engineering design services
- Permitting approvals from local and state agencies
- Payment of all fees and costs associated with design and construction excepting cost of inspection and testing, which shall be borne by the owner
- General Contracting
- Project Management
- Construction
- Utility payment and coordination, if applicable
- Commissioning of systems and equipment
- Coordination of all test and inspection services
- Board Meeting attendance (not anticipated, but may be required)
- Coordination and scheduling work of Team and others providing services to design and construct the project
- Insurance and bonding, inclusive of professional liability and Builders' Risk
- Fingerprinting compliance and provision of security badges or other means of identification for all Team members requiring site access once site is available to students
- Coordination with Owner and District representatives
- Training and turnover of project to District Maintenance including comprehensive binder identifying product warranties, operation and maintenance manuals and submittals as well as an Excel tabe of all units, model and serial numbers and other reasonable details as will be mutually determined.
- Conformance to all local, state and federal laws and regulations

The total not to exceed budgeted amount for the Project is **$4,330,166.** The project may be funded by Elementary and Secondary School Emergency Relief Program Funds (ESSER Funds). The Form of D-B Contract will include mandated federal contracting provisions that will be applicable if the District uses ESSER funds. The selected DB-E shall be required to comply with all laws applicable to ESSER funds and when performing services for the Project.

All costs must be encumbered by **September 30, 2024**. The estimated completion date is **November 15, 2024**.

The estimated unit counts for the Project are listed below in **APPENDIX A.** As part of the Project, the selected Design/Builder will perform an updated unit count. If the unit count differs from that stated below, the Project will utilize the lower number between the actual count and the count stated below.

HVAC UNITS

The District is estimating the project will consist of replacing 138 HVAC units across 9 sites. The following units are as follows:

2 Ton Package Units-	Quantity- 6
3 Ton Package Units-	Quantity- 11
3.5 Ton BARD Units	Quantity- 12
4 Ton Package Units-	Quantity- 29
4 Ton BARD Units-	Quantity- 19
5 Ton Package Units-	Quantity- 20
5 Ton Bard Units-	Quantity- 20
6 Ton Package Units-	Quantity- 15
7.5 Ton Package Units	Quantity- 4
10 Ton Package Units	Quantity- 2

Sites:

Albany Park School

Almond Tree Middle School

Cecil Avenue Math & Science Academy

Del Vista Math & Science Academy

District Office

Fremont School

MOT- Central Kitchen

Nueva Vista Language Academy

Princeton Street School

Terrace Elementary School

[END OF APPENDIX A.]

APPENDIX B
PREQUALIFICATION QUESTIONNAIRE

APPENDIX "B"

PRE-QUALIFICATION QUESTIONNAIRE FOR DESIGN-BUILD PROJECT

PROJECT: DISTRICT WIDE HVAC DESIGN AND REPLACEMENT PROJECT

Delano Union School District
1405 12th Avenue
Delano, CA 93215

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INTRODUCTION AND OVERVIEW

I. PRE-QUALIFICATION OF DESIGN-BUILD ENTITIES

Pursuant to Education Code section 17250.25(b), all design-build entities must be pre-qualified in order for the Delano Union School District ("District") to develop a short-list of design-build entities whose proposals shall be evaluated for final selection. This Pre-Qualification Questionnaire ("Questionnaire") must be completed and submitted with the proposer's response to the Request for Qualifications ("RFQ") by the date set forth in the RFQ. The Questionnaire and financial statement must be verified under oath. The District reserves the right to check other sources available to clarify, confirm or supplement any information provided by the design-build entity. The District reserves the right to adjust, increase, limit, suspend or rescind the Questionnaire scoring based on subsequently learned information. The District reserves the right to waive minor irregularities and omissions in the information contained in any submitted Questionnaire or the pre-qualification process, and to make all final determinations.

II. PRE-QUALIFICATION QUESTIONNAIRE

All questions in the Questionnaire must be answered. If a question is not applicable, then indicate a response of "N/A". "You" or "Yours" as used herein refers to the prospective all members of the "design-build team" as defined in Public Contract Code section 17250.15(e) and any of their respective owners, officers, principals and qualifying individuals. Any references to owners, officer, principals or partners herein shall include any qualifying individuals including any RME or RMO.

Each Questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the design-build entity. If any information provided by a prospective design-build entity becomes inaccurate, the prospective design-build entity must immediately notify the District and provide updated accurate information in writing, under penalty of perjury.

III. EVALUATION BY DISTRICT

The District will evaluate the information provided and issue each submitting prospective design-build entity a rating of "Prequalified" or "Not Prequalified." The District's evaluation will be based on the information provided, references, and such additional outside information as the District in its discretion deems reasonable and necessary to obtain. The District may, but is not obligated to, investigate the truth of any statements or information provided by a prospective design-build entity in response hereto.

IV. APPEALS PROCEDURES

There is no appeal from a finding that a prospective design-build entity is not pre-qualified because of a late application or a failure to submit required information. A prospective design-build entity may appeal the District's decision with respect to its request for pre-qualification by giving written notice to the District no later than five (5) business days after receipt of notice of its pre-qualification status. Notice shall be sent to the address listed in the RFQ. Unless a

prospective design-build entity files a timely appeal, the prospective design-build entity waives any and all rights to challenge the pre-qualification decision of the District, whether by administrative process, judicial process or any other legal process or proceeding. The date for issuing or receipt of responses to the Request for Proposals and any subsequent contract award will not be delayed or postponed to allow for completion of an appeal process.

After receipt of a timely request for appeal, the District will provide the prospective design-build entity any supporting evidence that has been received from others or adduced as a result of an investigation by the District. The appealing prospective design-build entity will be provided an opportunity to rebut any evidence. The District, in its sole discretion, may conduct a hearing regarding the prospective design-build entity's timely appeal. If such a hearing is conducted, the prospective design-build entity consents to the District's Director of Facilities Planning & Construction, or his or her designee, to act as the hearing officer.

V. APPLICATION OF THE PUBLIC RECORDS ACT

The Questionnaire answers and financial statements included herein and submitted by prospective design-build entities are not public records and are not open to public inspection. All such information provided will be kept confidential to the extent permitted by law, although the contents may be disclosed to third parties for the purpose of verification, investigation of substantial allegations, and in the process of any subsequent proceedings. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the Questionnaire will be used for that purpose.

VI. SUBMISSION REQUIREMENTS

The Questionnaire must be signed under penalty of perjury in the manner designated on the certification page, by individuals with the legal authority to bind all members of the design-build entity. If any information provided by any member of the design-build entity becomes inaccurate, the design-build entity must immediately notify the District and provide updated accurate information in writing, under penalty of perjury.

VII. WHAT IS A DESIGN-BUILD ENTITY AND WHO IS BEING PRE-QUALIFIED?

A "design-build entity", its members, and the "design-build team" are defined as set forth in Education Code Section 17250.15. These definitions allows a general contractor some latitude in the composition of its design-build team (but note that mechanical, electrical and plumbing contractors <u>must</u> be pre-qualified as part of the design-build entity and design-build team). The contractor may have all necessary design and construction capabilities "in house" or the contractor may subcontract for these services. This Questionnaire seeks information about the contractor and design professionals that comprise the design-build entity and design-build team, whether all of these services are provided solely by the contractor "in house", or whether some of these services are subcontracted. All design-build entity members must sign the Questionnaire.

Mechanical, Electrical and Plumbing Subcontractors:

All mechanical, electrical and plumbing subcontractors must be pre-qualified. The general contractor may have these capabilities "in house" or subcontract these capabilities. Sections I(D) and III(D) (electrical subcontractors); I(E) and III(E) (mechanical subcontractors); and I(F) and III(F) (plumbing subcontractors) are provided for this purpose. The general contractor must list its mechanical, electrical and plumbing subcontractors as part of the design-build team. As an alternative, the general contractor may pre-qualify several mechanical, electrical and plumbing subcontractors for which it will later accept bids from to perform these services by making copies of appropriate corresponding Sections. These mechanical, electrical and plumbing subcontractors would be entitled to the protection contained in Chapter 4 (commencing with Section 4100) of Part 1 of Division 2 of the Public Contract Code.

Other Subcontractors:

Other Subcontractors who are not pre-qualified as part of the design-build team or identified in the RFQ as requested by the District must be obtained by the general contractor in accordance with Education Code section 17250.35. In addition, those subcontractors are entitled to the protections contained in Chapter 4 (commencing with Section 4100) of Part 1 of Division 2 of the Public Contract Code.

Architects:

The Questionnaire asks questions about the "Architect of Record", the firm the Architect of Record works for, and other known Architects who will be working on the project. The Architect of Record in this document refers to the architect whose stamp will appear on the Construction Documents as approved by DSA.

Engineers:

In addition, the Questionnaire asks questions about the "Principal Engineers." Who the "Principal Engineers" are will be dictated by the nature of the project. They may be structural, mechanical, electrical or other types of engineers as requested by the District in the RFQ.

I. INFORMATION ABOUT DESIGN-BUILD ENTITY MEMBERS

Contact Information

General Contractor Name: _____

Architect of Record Name: _____

Design-Build Entity Contact Person: _____

Address: _____

_____

Phone: _____ Fax: _____

Design-Build Team Members **(List all legal entities being pre-qualified. You can list several mechanical, electrical and plumbing subcontractors if you are seeking to pre-qualify multiple mechanical, electrical and plumbing subcontractors)**		
Discipline (i.e., general contractor, architect, engineer, electrical contractor, etc.)	**Name**	**Legal Entity (i.e., corporation, partnership, sole proprietor)**
General Contractor		
Architect		
Mechanical Subcontractor		
Electrical Subcontractor		
Plumbing Subcontractor		

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.

I(A) INFORMATION ABOUT THE GENERAL CONTRACTOR

1. Name of General Contractor: _____

2. Date of company formation or incorporation: _____

3. State of formation or incorporation: _____

4. How many persons does the General Contractor currently employ?: _____

5(a) If the General Contractor is a corporation, provide the following:
Provide information for each officer of the corporation and owners of 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

5(b) If the General Contractor is a sole proprietorship, please complete the following:

Owner	Years as Owner

5(c) 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)

Name of Individual Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. 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.

7. 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.

8. State the General Contractor's gross revenues for each of the last three years:

   YEAR: _____ YEAR: _____ YEAR: _____

   $ _____ $ _____ $ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the General Contractor:

License Number	Trade Classification	Date Issued	Expiration Date

10. Has the General Contractor changed names or license numbers in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate page.

11. 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 five years?

☐ Yes ☐ No

If "yes," explain on a separate page.

12. Surety Information for General Contractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

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

Surety	**Address**	**Periods of Coverage**

14. DIR Registration Number: _____

I(B) INFORMATION ABOUT THE ARCHITECT

Definitions:

- "Architect of Record" shall mean the Architect whose stamp will appear on Construction Documents as approved by DSA.

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

1(a) Date of company formation or incorporation: _____

1(b) State of formation or incorporation: _____

1(c) How many persons does the Architect's firm currently employ? _____

1(d) 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.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

1(e) If the Architect is a sole proprietorship, complete the following:

Owner	Years as Owner

1(f) 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)

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

1(g) 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.

1(h) 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.

1(i) Has any corporate officer or owner of the Architect's firm, worked for any other architectural firms in the past five years?

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

☐ Yes ☐ No

If "yes," explain on a separate page.

1(j) Has the Architect's firm changed names in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate page including reason for change.

2. Provide the following information for all known Architects who will be designing the project:
(Attach additional pages if necessary)

Architect	License Number	Years in Practice

3. Attach a copy of the Architect of Record's resume.

I(C) INFORMATION ABOUT THE PRINCIPAL ENGINEERS

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 principal engineers as requested by the District in the RFQ. Attach additional copies if necessary.

1. Provide the following information:

   Name: _____

   License Number: _____

   Engineering Discipline: _____

   Years in Practice: _____

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

   2(a) Date of company formation or incorporation: _____

   2(b) State of formation or incorporation: _____

   2(c) How many persons does the Engineer's firm currently employ? _____

2(d) 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.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

2(e) If the Principal Engineer is a sole proprietorship, complete the following:

Owner	Years as Owner

2(f) 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.

Name of Individual or Entity	**Principal Contact**	**Position**	**Years with Joint Venture/ Partnership**	**% Ownership Interest**

2(g) Has there been any change in ownership of the Principal Engineer's firm during the last three years?

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

☐ Yes ☐ No

If "yes," explain on a separate page.

2(h) Is the Principal Engineer's firm a subsidiary, parent, holding company or affiliate of another firm?

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

☐ Yes ☐ No

If "yes," explain on a separate page.

2(i) Has any corporate officer or owner of the Principal Engineer's firm worked for any other engineering firms in the past five years?

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

☐ Yes ☐ No

If "yes," explain on a separate page.

2(k) Has the Principal Engineer's firm changed names in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate page including reason for change.

3. Attach a copy of the Principal Engineer's resume.

I(D) INFORMATION ABOUT THE ELECTRICAL SUBCONTRACTOR

Attach copies of I(D) for each electrical subcontractor if multiple electrical subcontractors are being pre-qualified.

1. Name of Electrical Subcontractor: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the Electrical Subcontractor currently employ? _____

5(a) 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.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

5(b) If the Electrical Subcontractor is a sole proprietorship, complete the following:

Owner	Years as Owner

5(c) If the Electrical Subcontractor is a joint venture or partnership, provide the following information for each member of the joint venture or each partner:

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. 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.

7. 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.

8. State the Electrical Subcontractor's gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____

$ _____ $ _____ $ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the Electrical Subcontractor:

License Number	Classification	Date Issued	Expiration Date

10. Has the Electrical Subcontractor changed names or license numbers in the past five years?

☐ Yes ☐ No

If "yes," explain: on a separate page.

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 five years?

☐ Yes ☐ No

If "yes," explain on a separate page.

12. Surety Information for Electrical Subcontractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

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

Surety	Address	Periods of Coverage

14. DIR Registration Number: _____

I(E) INFORMATION ABOUT THE MECHANICAL SUBCONTRACTOR

Attach copies of I(E) for each mechanical subcontractor if multiple mechanical subcontractors are being pre-qualified.

1. Name of Mechanical Subcontractor: _____

2. Date of company formation or incorporation: _____

3. State of formation or incorporation: _____

4. How many persons does the Mechanical Subcontractor currently employ? _____

5(a) 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.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

5(b) If the Mechanical Subcontractor is a sole proprietorship, complete the following:

Owner	Years as Owner

5(c) If the Mechanical Subcontractor is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. 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.

7. 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.

8. State the Mechanical Subcontractor's gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____

$ _____ $ _____ $ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the Mechanical Subcontractor:

License Number	Classification	Date Issued	Expiration Date

10. Has the Mechanical Subcontractor changed names or license numbers in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate page.

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 five years?

☐ Yes ☐ No

If "yes," explain on a separate page.

12. Surety Information for Mechanical Subcontractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

13. 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:

Surety	Address	Dates

14. DIR Registration Number: _____

I(F) INFORMATION ABOUT THE PLUMBING SUBCONTRACTOR

Attach copies of I(F) for each plumbing subcontractor if multiple plumbing subcontractors are being pre-qualified.

1. Name of Plumbing Subcontractor: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the Plumbing Subcontractor currently employ? _____

5(a) If the Plumbing 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.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

5(b) If the Plumbing Subcontractor is a sole proprietorship, complete the following:

Owner	Years as Owner

5(c) If the Plumbing Subcontractor is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Plumbing 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.

7. Is the Plumbing 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.

8. State the Plumbing Subcontractor's gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____

$ _____ $ _____ $ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the Plumbing Subcontractor:

License Number	Classification	Date Issued	Expiration Date

10. Has the Plumbing Subcontractor changed names or license numbers in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate page.

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

☐ Yes ☐ No

If "yes," explain on a separate page.

12. Surety Information for Plumbing Subcontractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

13. 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:

Surety	Address	Dates

14. DIR Registration Number: _____

II. ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY

Definitions:

The term "Associates" shall mean all of the following:

- The current qualifiers and qualifiers for the past five years for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers or officers for the past five years of a contractor which is a corporation.
- All current partners or partners for the past five years of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking pre-qualification.

1. 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

2. 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 carrier lawfully authorized to do insurance business in California with a financial rating of at least an A-VIII status as rated in the most recent edition of Best's Insurance Reports?

   ☐ Yes ☐ No

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

   _____
   Insurance Company

   _____
   Policy Number

   _____
   Policy limit per occurrence

   _____
   Aggregate policy limit

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

   _____
   Insured

   _____
   Carrier

   _____
   Policy Number

4. Has the latest copy of an <u>audited</u> financial statement (no more than two years old) with accompanying notes been attached for the General Contractor? (An audited financial statement with accompanying notes of a parent company guarantor may be substituted. A

financial statement that is not audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.)

☐ Yes ☐ No

5. 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

6. 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 (even if such revocation or suspension was stayed) within the last five (5) years?

☐ Yes ☐ No

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

☐ Yes ☐ No

8. Within the last five 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

9. Has any member of the Design-Build Team (contractors, architects, engineers, subcontractors 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 five (5) years?

☐ Yes ☐ No

10. 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

11. 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 carrier lawfully authorized to do insurance business in California with a financial rating of at least

an A-VIII status as rated in the most recent edition of Best's Insurance Reports that provides coverage for work on a design-build contract?

☐ Yes ☐ No

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

_____
Insurance Company

_____
Policy Number

_____
Policy limit per occurrence

_____
Aggregate policy limit

12. 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 carrier lawfully authorized to do insurance business in California with a financial rating of at least an A-VIII status as rated in the most recent edition of Best's Insurance Reports that provides coverage for work on a design-build contract?

☐ Yes ☐ No

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

_____
Insurance Company

_____
Policy Number

_____
Policy limit per occurrence

_____
Aggregate policy limit

13. Has any professional license held by any Architect who will provide services been revoked (even if such revocation was stayed) at any time in the last five years?

☐ Yes ☐ No

14. Has any professional license held by any Engineer who will provide services been revoked (even if such revocation was stayed) at any time in the last five years?

☐ Yes ☐ No

15. Does the General Contractor and each proposed Subcontractor seeking pre-qualification, 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

16. Does the General Contractor and each proposed Subcontractor seeking pre-qualification have an experience modification rate for the most recent three-year period of an average of 1.00 or less, and its average total recordable injury or illness rate and average lost work rate for the most recent three-year period does not exceed the applicable statistical standards for its business category, or is the proposer is a party to an alternative dispute resolution system, as provided for in Section 3201.5 of the Labor Code?

☐ Yes ☐ No

III. SCORED QUESTIONS

III(A) SCORED QUESTIONS FOR THE GENERAL CONTRACTOR

Definitions:

The term "Associates" shall mean all of the following:

- The current qualifiers and qualifiers for the past five years for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers or officers for the past five years of a contractor which is a corporation.
- All current partners or partners for the past five years of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking pre-qualification.

A-1 How many years has the General Contractor been licensed in California?

Years: _____

A-2. 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

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

☐ Yes ☐ No

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

Case Number	Bankruptcy Court	Date Filed

A-4. At any time in the last five years has the General Contractor or its Associates been assessed liquidated damages of more than $10,000 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, the amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

A-5. Has the General Contractor or its Associates ever defaulted on a construction contract?

☐ Yes ☐ No

If "yes," explain on a separate page.

A-6. In the last five 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.

A-7. 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.)

A-8. In the past five years has any claim in excess of $10,000 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).

A-9. In the past five years has the General Contractor or its Associates made any claim in excess of $10,000 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).

A-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or 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.

A-11. 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.

A-12. 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.

A-13. 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.

A-14. During the last five 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.

A-15. 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 five years?

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

☐ Yes ☐ No

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

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

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

☐ Yes ☐ No

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

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

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

☐ Yes ☐ No

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

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

_____

A-19. 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.)

Year: _____ EMR: _____
Year: _____ EMR: _____
Year: _____ EMR: _____

If your EMR for any of these three years is 1.00 or higher you may attach a letter of explanation. The General Contractor's EMR must comply with the requirements set forth in Education Code section 17250.25(G); otherwise the design-build entity may not be pre-qualified.

A-20. Within the last five 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 five years. (If the General Contractor has been in business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)

A-21. Has there been more than one occasion during the last five 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? This includes any civil wage and penalty assessments issued against the General Contractor.

☐ 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 total amount of back wages and penalties that were assessed.

A-22. During the last five 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 total amount of back wages and penalties that were assessed.

A-23. If the General Contractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

(a) Identify the craft or crafts in which you provided apprenticeship training in the past year.

(b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).

(c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

A-24. At any time during the last five 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.

_____
Date of Findings

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

☐ Yes ☐ No

A-26. Has the General Contractor built K-12 public schools in the last 5 years?

☐ Yes ☐ No

If "yes," how many? _____

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

Current Assets: $_____
Current Liabilities: $_____
Total Net Worth: $_____
Current Ratio (Assets/Liabilities): _____

Working Capital (Current Assets - Current Liabilities): $_____

III(B) SCORED QUESTIONS FOR THE ARCHITECT OF RECORD

Definitions:

- "Architect of Record" shall mean the Architect whose stamp will appear on Construction Documents as approved by DSA.
- "Firm" shall mean the firm which employs the Architect of Record whether it is the General Contractor, a separate Architectural firm, or other firm.

Name of Architect of Record: _____

Name of Firm: _____

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

Years: _____

B-2. 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

B-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question B-2, above)

☐ Yes ☐ No

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

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

B-4. In the last five 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.

B-5. 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.

B-6. In the past five years has any claim in excess of $10,000 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).

B-7. In the past five years has the Architect of Record or the firm, made any claim in excess of $10,000 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).

B-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Architect of Record or the 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.

B-9. 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.

B-10. 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.

B-11. 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.

B-12. Has the Architect of Record designed K-12 public schools in the last 5 years?

☐ Yes ☐ No

If "yes," how many? _____

B-13. 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.

III(C) SCORED QUESTIONS FOR THE PRINCIPAL ENGINEERS

Definitions:

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

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.

Name of Principal Engineer:_____

Name of Firm: _____

C-1. How many years has the Principal Engineer been licensed and practicing in California?

Years: _____

C-2. 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-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question C-2, above)

☐ Yes ☐ No

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

Case Number	Bankruptcy Court	Date Filed

C-4. In the past five years has any claim in excess of $10,000 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).

C-5. In the last five 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.

C-6. 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.

C-7. In the past five years has the Principal Engineer or the firm made any claim in excess of $10,000 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).

C-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Engineer or the 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.

C-9. 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.

C-10. 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.

C-11. 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.

C-12. Has the Principal Engineer designed K-12 public schools in the last 5 years?

☐ Yes ☐ No

If "yes," how many? _____

C-13. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Engineer?

☐ Yes ☐ No

If yes, please explain on a separate page.

III(D) SCORED QUESTIONS FOR THE ELECTRICAL SUBCONTRACTOR(S)

Attach copies of III(D) for each Electrical Subcontractor if multiple electrical subcontractors are being pre-qualified.

Definitions:

The term "Associates" shall mean all of the following:

- The current qualifiers and qualifiers for the past five years for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers or officers for the past five years of a contractor which is a corporation.
- All current partners or partners for the past five years of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking pre-qualification.

Subcontractor Name: _____

D-1. How many years has the Electrical Subcontractor been licensed in California?

Years: _____

D-2. 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

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

☐ Yes ☐ No

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

Case Number	Bankruptcy Court	Date Filed

D-4. At any time in the last five years has the Electrical Subcontractor or its Associates been assessed liquidated damages of more than $10,000 on a construction contract with either a public or private owner?

☐ Yes ☐ No

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

D-5. In the past five years has the Electrical Subcontractor or its Associates ever defaulted on a contraction contract?

☐ Yes ☐ No

If "yes," explain on a separate page.

D-6. In the last five years has the Electrical 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.

D-7. 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.

D-8. In the past five years has any claim in excess of $10,000 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).

D-9. In the past five years has the Electrical Subcontractor or its Associates made any claim in excess of $10,000 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).

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

☐ Yes ☐ No

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

D-11. Has the 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.

D-12. 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.

D-13. 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.

D-14. During the last five 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.

D-15. 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 five years?

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

☐ Yes ☐ No

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

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

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

☐ Yes ☐ No

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

D-17. Has the EPA 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 five years?

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

☐ Yes ☐ No

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

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

_____

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

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

Year: _____ EMR: _____
Year: _____ EMR: _____
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. The Electrical Subcontractor's EMR must comply with the requirements set forth in Education Code section 17250.25(G) ; otherwise the design-build entity may not be pre-qualified.

D-20. Within the last five 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 five years. (If the Electrical Subcontractor has been in business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)

D-21. Has there been more than one occasion during the last five 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? This includes any civil wage and penalty assessments issued against the Electrical Subcontractor

☐ Yes ☐ No

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

D-22. During the last five 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.

D-23. If the Electrical Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

(a) Identify the craft or crafts in which you provided apprenticeship training in the past year.

(b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).

(c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

D-24. At any time during the last five 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

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

☐ Yes ☐ No

D-26. Has the Electrical Subcontractor performed on a contract to build K-12 public schools in the last 5 years?

☐ Yes ☐ No

If "yes," how many? _____

III(E) SCORED QUESTIONS FOR THE MECHANICAL SUBCONTRACTOR(S)

Attach copies of III(E) for each Mechanical Subcontractor if multiple Mechanical Subcontractors are being pre-qualified.

Definitions:

The term "Associates" shall mean all of the following:

- The current qualifiers and qualifiers for the past five years for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers or officers for the past five years of a contractor which is a corporation.
- All current partners or partners for the past five years of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking pre-qualification.

Subcontractor Name: _____

E-1. How many years has the Mechanical Subcontractor been licensed in California?

Years: _____

E-2. 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

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

☐ Yes ☐ No

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

Case Number	Bankruptcy Court	Date Filed

E-4. At any time in the last five years has the Mechanical Subcontractor or its Associates been assessed liquidated damages of more than $10,000 on a project under 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,

the amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

E-5. In the last five years has the Mechanical Subcontractor or its Associates ever defaulted on a construction contract?

☐ Yes ☐ No

If "yes," explain on a separate page.

E-6. In the last five 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.

E-7. 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.

E-8. In the past five years has any claim in excess of $10,000 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).

E-9. In the past five years has the Mechanical Subcontractor or its Associates made any claim in excess of $10,000 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).

E-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Mechanical Subcontractor or 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.

E-11. 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.

E-12. 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.

E-13. 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.

E-14. During the last five 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.

E-15. 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 five years?

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

☐ Yes ☐ No

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

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

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

☐ Yes ☐ No

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

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

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

☐ Yes ☐ No

If "yes," on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued,

owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

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

_____

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

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

Year: _____	EMR: _____
Year: _____	EMR: _____
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. The Mechanical Subcontractor's EMR must comply with the requirements set forth in Education Code section 17250.25(G) ; otherwise the design-build entity may not be pre-qualified.

E-20. Within the last five 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 five years. (If the Mechanical Subcontractor has been in business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)

E-21. Has there been more than one occasion during the last five 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? This includes any civil wage and penalty assessments issued against the Mechanical Subcontractor.

☐ 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.

E-22. During the last five 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.

E-23. If the Mechanical Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

(a) Identify the craft or crafts in which you provided apprenticeship training in the past year.

(b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).

(c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

E-24. At any time during the last five 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.

_____

Date of Findings

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

☐ Yes ☐ No

E-26. Has the Mechanical Subcontractor performed on a contract to build K-12 public schools in the last 5 years?

☐ Yes ☐ No

If "yes," how many? _____

III(F) SCORED QUESTIONS FOR THE PLUMBING SUBCONTRACTOR(S)

Attach copies of III(F) for each Plumbing Subcontractor if multiple Plumbing Subcontractors are being pre-qualified.

Definitions:

The term "Associates" shall mean all of the following:

- The current qualifiers and qualifiers for the past five years for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers or officers for the past five years of a contractor which is a corporation.
- All current partners or partners for the past five years of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking pre-qualification.

Subcontractor Name: _____

F-1. How many years has the Plumbing Subcontractor been licensed in California?

Years: _____

F-2. Is the Plumbing 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

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

☐ Yes ☐ No

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

Case Number	Bankruptcy Court	Date Filed

F-4. At any time in the last five years has the Plumbing Subcontractor or its Associates been assessed liquidated damages of more than $10,000 on a project under 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, the amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

F-5. In the last five years has the Plumbing Subcontractor or its Associates ever defaulted on a construction contract?

☐ Yes ☐ No

If "yes," explain on a separate page.

F-6. In the last five years has the Plumbing 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.

F-7. Has the Plumbing Subcontractor or its Associates <u>ever</u> 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.

F-8. In the past five years has any claim in excess of $10,000 been filed in court or arbitration <u>against</u> the Plumbing 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).

F-9. In the past five years has the Plumbing Subcontractor or its Associates made any claim in excess of $10,000 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).

F-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Plumbing 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.

F-11. Has the Plumbing 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.

F-12. Has the Plumbing Subcontractor or its Associates <u>ever</u> 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.

F-13. Has the Plumbing 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.

F-14. During the last five years, has there ever been a period of time when the Plumbing 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.

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

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

☐ Yes ☐ No

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

F-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Plumbing Subcontractor or its Associates in the past five years?

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

☐ Yes ☐ No

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

F-17. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Plumbing 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 five years?

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

☐ Yes ☐ No

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

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

_____

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

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

Year: _____ EMR: _____
Year: _____ EMR: _____
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. The Plumbing Subcontractor's EMR must comply with the requirements set forth in Education Code section 17250.25(G) ; otherwise the design-build entity may not be pre-qualified.

F-20. Within the last five years has there ever been a period when the Plumbing 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 Plumbing Subcontractor for the last five years. (If the Plumbing Subcontractor has been in business for less than five years, provide a statement by your

workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in business.)

F-21. Has there been more than one occasion during the last five years in which the Plumbing Subcontractor or its Associates was required to pay either back wages or penalties for failure to comply with the **state's** prevailing wage laws? This includes any civil wage and penalty assessments issued against the Plumbing Subcontractor.

☐ 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.

F-22. During the last five years, has there been more than one occasion in which the Plumbing 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.

F-23. If the Plumbing Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

(a) Identify the craft or crafts in which you provided apprenticeship training in the past year.

(b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).

(c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

F-24. At any time during the last five years, has the Plumbing 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

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

☐ Yes ☐ No

F-26. Has the Plumbing Subcontractor performed on a contract to build K-12 public schools in the last 5 years?

☐ Yes ☐ No

If "yes," how many? _____

III. RECENT CONSTRUCTION PROJECTS COMPLETED

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

_____

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

Volume_____ Largest Contract_____

3. General Contractor's three largest design-build projects within the last five 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)

Project Name: _____

Location: _____

Owner Name and Current Telephone Number: _____

_____

Architect of Record's Name and Current Telephone Number: _____

_____

Principal Engineer Name and Current Telephone Number:_____

_____

Construction Manager Name and Current Telephone Number: _____

_____

Description of Project, Scope of Work Performed: _____

_____

_____

Value of Original Contract: _____

Value of Contract including change orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

4. General Contractor's six most recently completed public works projects. Names and references must be **current** and **verifiable**. (Copy additional sheets)

Project Name: _____

Location: _____

Owner Name and Current Telephone Number: _____

_____

Architect of Record's Name and Current Telephone Number: _____

_____

Principal Engineer Name and Current Telephone Number: _____

_____

Construction Manager Name and Current Telephone Number: _____

_____

Description of Project, Scope of Work Performed: _____

_____

_____

Value of Original Contract: _____

Value of Contract including change orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

CERTIFICATION

NOTE: All members of the Design-Build Team must sign. Copy this certification page for each legal entity of the Design-Build Team.

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)