

**EAST SIDE UNION HIGH SCHOOL DISTRICT  
EDUCATION CENTER  
ADULT TRANSITION PROGRAM NORTH NEW BUILDING AND SITEWORK  
NOTICE TO DESIGN-BUILD ENTITIES**

October 02, 2018

Prequalification Package

Table of Contents

NOTICE TO DESIGN-BUILD ENTITIES

**Introduction and Overview**

- Introduction
- Instructions for Completing the Prequalification Application
- Prequalification Process
- General Information
- Overview of the Project

**Prequalification Application**

- I. Information About Design-Build Entity Members
  - A. General Contractor
  - B. Architect of Record
  - C. Electrical, Mechanical, Structural, Civil, Landscape Architect, Acoustical, Waterproofing and other Principal Engineers
  - D. Electrical, Mechanical/Plumbing, and other Design-Build Subcontractors
  - E. Component Construction Entity
- II. Essential Requirements for the Design-Build Entity
- III. Scored Questions
  - A. General Contractor
  - B. Architect of Record
  - C. Electrical, Mechanical, Structural, Civil, Landscape Architect, Acoustical, Waterproofing and other Principal Engineers
  - D. Electrical, Mechanical/Plumbing, and other Design-Build Subcontractors
- IV. Recent Construction Projects Completed
- V. Declaration

Download from the District's Bond Purchasing Website:

<http://www.esuhd.org/Community/Purchasing/Capital-Purchasing/Current-RFQ-RFP-BIDS/index.html>

- I. A copy of this Request for Qualification
- II. Sample Scoring Matrix
- III. Draft Contract Documents (subject to revision prior to issuance of RFP)

## NOTICE TO DESIGN-BUILD ENTITIES

NOTICE IS HEREBY GIVEN that the East Side Union High School District of San Jose, California, acting through its Governing Board, hereinafter the District, requests Design-Build Entities to submit Statements of Qualification to prequalify for an upcoming design-build project. The project will be the design and construction of a new component construction building for the Adult Transition Program (ATP) North at the East Side Union High School Education Center (District Office). Project No. F26-066-001 & F35-066-001

Two (2) Prequalification Conferences will be held in Facilities Office at the Education Center (District Office) at 830 North Capitol Ave., San Jose, California 95133 from **10:00 a.m. to 10:30 a.m., on Tuesday, October 9th and from 10:00 a.m. to 10:30 a.m., Tuesday, October 16th, 2018.**

Attendance of at least one of the Prequalification Conferences is **mandatory** for Design-Build Entities that desire to be considered in the prequalification process. Only one representative from the Design-Build Entity that plans to apply for prequalification as a Design-Build Entity is required to attend the Prequalification Conference.

A copy of the Request for Qualifications (RFQ-06-18-19) and supporting documentation for this project will be available on Tuesday, October 02, 2018 on the District's website:

<http://www.esuhdsd.org/Community/Purchasing/Capital-Purchasing/Current-RFQ-RFP-BIDS/index.html>

Following the prequalification process, the District intends to solicit proposals from (3) three prequalified Design-Build Entities for the project, with two additional firms to serve as alternates (if available) should any of the original three opt-out during the RFP process. Upon the submission of the qualifications and at the option of the District, there may be interviews to determine the three shortlisted DBE Teams. The District will enter into a single contract with the Design-Build Entity that can demonstrate the **best value** to the District.

The East Side Union High School District is an equal opportunity employer.

Applicants are advised that they will be subject to, and must comply with, all of the requirements of the East Side Union High School District's Project Labor Agreement (PLA) – A copy of agreement may be obtained from the District's website as well as completing pre-qualification application through Quality Bidders:

<http://www.esuhdsd.org/Community/Purchasing/Capital-Purchasing/Project-Labor-Agreement/index.html>

<http://www.esuhdsd.org/Community/Purchasing/Contractor-Pre-Qualification/index.html>

RFQ Due Date: Tuesday, October 23, 2018

**Published: October 04, & 11, 2018**

## **Introduction**

The Education Center (EC) campus is the official name of the East Side Union High School District, District Office. The Adult Transition Program North building will be the first major addition since the EC construction in 1978, 40 years. The design solution will embrace a component constructed building, approximately 10,000 square feet, and will establish itself as a cohesive partner to the existing relationships by becoming an extension of the Education Center and at the same time standing on its own two feet and is responsive to the environment by incorporating sustainable design, construction and operations in a visible manner.

The subcomponents of this project include:

- **Adult Transition North New Building**  
A new building for ATP North. The new building will utilize component construction and be approximately 10,000 square feet.
- **Parking Lot**  
Added parking to the EC to accommodate and support the new building.
- **Remove Post Senior Buildings at IAC**  
Remove Post Senior facilities at Independence Adult Center (IAC)

The District is currently preparing a Request for Proposal (RFP), which will be provided to three shortlisted and two alternate prequalified Design-Build Entities (DBE). The District will provide the prequalified DBEs with a design and construction stipulated sum, and award a design-build contract to the DBE whose proposal offers the best value. A stipend will be awarded to the DBEs whose responsive, responsible proposals are not selected.

## **Instructions for Completing the Prequalification Application**

All Prequalification Applications shall be made on the attached application furnished by the District. In addition, the application may be obtained at the District's bond purchasing website:

<http://www.esuhd.org/Community/Purchasing/Capital-Purchasing/Current-RFQ-RFP-BIDS/index.html>

General Contractors that plan to apply for prequalification as a Design-Build Entity are required to attend the mandatory Prequalification Conference as part of the prequalification process and to be listed to receive any addenda. **It is solely the responsibility of each Design-Build Entity to ensure that they receive any addenda.**

Requests for clarification of the process or the documents must be submitted by email to Capital Purchasing, [cappurchasing@esuhsd.org](mailto:cappurchasing@esuhsd.org)\_ no later than 4:00 PM (PST), **October 17, 2018**

Qualification Applications must be received by **2:00 PM on October 23, 2018**

## **Prequalification Process**

The prequalification process for this project involves two steps:

**Step 1 – Completion of Application:** Each application must conform and be responsive to the standard application provided by the District. The completed application must contain information on each of the following members of the Design-Build Entity’s Team:

1. General Contractor
2. Architect of Record
3. Electrical, Mechanical, Structural and Civil, Landscape Architect, Acoustical, Waterproofing and other Principal Engineers
4. Electrical, Mechanical/Plumbing, any other Design-Build Subcontractors

Any Design-Build Entity team member determined not to be prequalified will result in a determination of “Not-Prequalified” for the entire Design-Build Entity. Any deviation from the standard application form, failure to provide all of the required information, untruthful or misleading answers will establish the application as non-responsive and grounds for a determination of “Not-Prequalified” for the entire Design-Build Entity. The District reserves the right to reject any or all Prequalification Applications and to waive any irregularities. Prequalification Applications for past projects or for other public agencies are not applicable. A new Prequalification Application is required to be considered for this advertised project.

**Step 2 - Review:** Completed applications will be reviewed against a Scoring Matrix which can be found on the District’s bond purchasing website:

<http://www.esuhd.org/Community/Purchasing/Capital-Purchasing/Current-RFQ-RFP-BIDS/index.html>)

The determination of qualification is solely at the District’s discretion. Responsive completion of the Prequalification Application includes:

1. Completion of the questionnaire
2. Licensure in good standing with the State of California
3. Bonding and surety availability in accordance with these published requirements
4. Verified experience on comparable projects. Preference is for Design-Build Entity members to have completed at least three (3) mixed-use buildings that have Administration, Classroom, Restroom, and Parking Lot project components together, in a California educational environment with DSA review and under a Project Labor Agreement. Respondents should demonstrate in their Statements of Qualification how they either match or closely approximate this profile.

## **General Information**

**Timeline** – The following is the anticipated timeline for the Design-Build projects.

Prequalification of Design-Build Teams:

- Prequalification Conferences: **October 9th & 16th, 2018 10:00AM**
- Statements of Qualification due: Tuesday, October 23<sup>rd</sup>, 2:00 PM.
- Prequalified Design-Build Entities announced: October 26, 2018 (close of business)

Proposal & Contract Phase:

- Issuance of Request for Proposal: TBD
- RFP Confidential Interviews (2): TBD
- Proposals due: TBD
- Contract award: January 17, 2019

Design and Construction Phase:

- Notice to proceed: January 31, 2019
- Construction Completion: January 2020

**Requirements for Prequalification** - The District's evaluation is solely to determine which Design-Build Entities are deemed responsible and qualified. Prequalification of Design-Build Entities will be reviewed and determined by the District based upon the submitted Prequalification Applications and any other information available to the District. The District may request a Design-Build Entity to submit additional information pertinent to the application. The District also reserves the right to investigate and rely upon information from other available sources in addition to any documents or information submitted by the Design-Build Entity.

The District retains the sole discretion to determine issues of compliance and to determine whether a Design-Build Entity is responsive and responsible. The District will determine a Design-Build Entity's quality, fitness and capacity to perform comparable projects satisfactorily.

**Project Labor Agreement** - The District has adopted a Project Labor Agreement (Labor Agreement) for this project. The awarded Design-Build Entity must conform to this Labor Agreement, copies of which may be viewed at:

<http://www.esuhdsd.org/Community/Purchasing/Capital-Purchasing/Project-Labor-Agreement/index.html>

**Confidentiality** - Responses to the Prequalification Application and any financial information submitted for prequalification evaluation are not public records and not open to public inspection. The District will maintain the confidentiality of these records to the extent permitted by law. In the event, a third party requests these confidential records, the District will notify the affected Design-Build Entity, and it shall be the Design-Build Entity's responsibility to defend the District in any action to compel disclosure of the Design-Build Entity's confidential information.

**Cost of Participation in Selection Process** - Costs for developing responses to this application are entirely the responsibility of the Design-Build Entities and shall not be chargeable to the District.

**District Contact for Questions** - Questions regarding this prequalification application may be directed to, Janice Unger, Director, Bond Purchasing & Contracts at [cappurchasing@esuhdsd.org](mailto:cappurchasing@esuhdsd.org) and copy Jeremy Bright with East Side Union High School District at [brightj@esuhdsd.org](mailto:brightj@esuhdsd.org)

As always, public notices, conference presentations, conference attendees, and prequalification results will be posted on the District's Bond Purchasing website: ([www.esuhdsd.org/Community/Purchasing/Capital-Purchasing/Current-RFQ-RFP-BIDS/index.html](http://www.esuhdsd.org/Community/Purchasing/Capital-Purchasing/Current-RFQ-RFP-BIDS/index.html)).

**PREQUALIFICATION APPLICATION**

**For**

**DESIGN-BUILD ENTITIES**

**For**

**EAST SIDE UNION HIGH SCHOOL DISTRICT  
EDUCATION CENTER  
ADULT TRANSITION PROGRAM NORTH  
NEW BUILDING AND SITEWORK**

October 01, 2018

**EAST SIDE UNION HIGH SCHOOL DISTRICT  
F26-066-001 – F35-066-001, EC Adult Transition  
Program North  
New Building and Sitework  
RFQ-06-18-19**

**NOTICE TO DESIGN-BUILD ENTITIES**

**I. INFORMATION ABOUT DESIGN-BUILD ENTITY MEMBERS**

**Contact Information**

Design-Build Entity Name: \_\_\_\_\_

Design-Build Entity Contact: \_\_\_\_\_

Design-Build Entity Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Design-Build Entity Phone: \_\_\_\_\_ Design-Build Entity FAX: \_\_\_\_\_

General Building Contractor Name: \_\_\_\_\_

General Building Contractor Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

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

Architect of Record Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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



Provide a Project Organization Chart which shows all firms that the Design-Build Entity is prequalifying in this Application. General Contractors are free to develop their list of Design-Build subcontractors.

**I (A) INFORMATION ABOUT THE GENERAL BUILDING CONTRACTOR**

1. Name of General Building 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.

| <b>Position</b> | <b>Name</b> | <b>Years with Co.</b> | <b>% Ownership</b> |
|-----------------|-------------|-----------------------|--------------------|
| CEO             |             |                       |                    |
| President       |             |                       |                    |
| Secretary       |             |                       |                    |
| Treasurer       |             |                       |                    |
|                 |             |                       |                    |
|                 |             |                       |                    |

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

| <b>Owner</b> | <b>Years as Owner</b> |
|--------------|-----------------------|
|              |                       |

- 5(c) If the General Contractor is a joint venture, or a partnership, provide the following information for each member of the joint venture, or for 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 Building 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 Building 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 Building 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 |
|----------------|----------------------|-------------|-----------------|
|                |                      |             |                 |
|                |                      |             |                 |
|                |                      |             |                 |
|                |                      |             |                 |

(Attach additional pages if necessary)

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. Provide the following information for key staff members who will be managing the project during design and/or construction of the project:  
(Attach additional pages if necessary)

| <b>General Contractor</b> | <b>License Number<br/>(if applicable)</b> | <b>Years of Experience</b> |
|---------------------------|---|----------------------------|
| Project Manager           |   |                            |
| Design Manager            |   |                            |
| Superintendent            |   |                            |
|                           |   |                            |
|                           |   |                            |
|                           |   |                            |
|                           |   |                            |
|                           |   |                            |

15. Attach a copy of the General Contractor’s firm profile and resumes of key staff listed.

**I (B) INFORMATION ABOUT THE ARCHITECT OF RECORD**

Definitions:

“Architect of Record” shall mean the licensed design professional whose stamp will appear on project documents. The Architect of Record must be licensed in the State of California.

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

2. Name of Architect of Record Firm: \_\_\_\_\_

1(a) Date of company formation or incorporation: \_\_\_\_\_

1(b) State of formation or incorporation: \_\_\_\_\_

1(c) How many persons does the Architect of Record’s firm currently employ? \_\_\_\_\_

1(d) If the Architect of Record’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.

| <b>Position</b> | <b>Name</b> | <b>Years with Co.</b> | <b>% Ownership</b> |
|-----------------|-------------|-----------------------|--------------------|
| CEO             |             |                       |                    |
| President       |             |                       |                    |
| Secretary       |             |                       |                    |
| Treasurer       |             |                       |                    |
|                 |             |                       |                    |
|                 |             |                       |                    |

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

| <b>Owner</b> | <b>Years as Owner</b> |
|--------------|-----------------------|
|              |                       |

1(f) If the Architect of Record’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)

| <b>Name of Individual or Entity</b> | <b>Principal Contact</b> | <b>Position</b> | <b>Years with Joint Venture/ Partnership</b> | <b>% Ownership Interest</b> |
|-------------------------------------|--------------------------|-----------------|--|-----------------------------|
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |

1(g) Has there been any change in ownership of the Architect of Record’s firm during the last three years?

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

Yes       No

If “yes”, explain on a separate page.

- 1(h) Is the Architect of Record’s firm a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of 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 of Record's firm, worked for any other design 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 of Record’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 key staff of the Architect of Record's firm 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 firm profile and resumes of listed key staff.

**I (C) INFORMATION ABOUT ELECTRICAL, MECHANICAL, STRUCTURAL, CIVIL and OTHER PRINCIPAL ENGINEERS AND CONSULTANTS**

Definitions:

- Principal Engineer (also known as Design Professional of Record) shall mean the licensed design professional whose stamp will appear on project documents. Principal Engineers are required to be licensed in the State of California.
- Attach copies of I (C) for each Principal Engineer that the Design-Build Entity seeks to submit for prequalification.

If the Principal Engineer’s firm is different from that of the General Contractor, please answer the following:

1. Name of Principal Engineer’s Firm: \_\_\_\_\_

2. Discipline: \_\_\_\_\_

2(a) Date of company formation or incorporation: \_\_\_\_\_

2(b) State of formation or incorporation: \_\_\_\_\_

2(c) How many persons does the Principal Engineer’s firm currently employ? \_\_\_\_\_

3. If the Principal Engineer'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.

| <b>Position</b> | <b>Name</b> | <b>Years with Co.</b> | <b>% Ownership</b> |
|-----------------|-------------|-----------------------|--------------------|
| CEO             |             |                       |                    |
| President       |             |                       |                    |
| Secretary       |             |                       |                    |
| Treasurer:      |             |                       |                    |
|                 |             |                       |                    |
|                 |             |                       |                    |

4. If the Principal Engineer is a sole proprietorship, complete the following:

| <b>Owner</b> | <b>Years as Owner</b> |
|--------------|-----------------------|
|              |                       |

5. 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.  
(Attach additional pages if necessary)

| <b>Name of Individual or Entity</b> | <b>Principal Contact</b> | <b>Position</b> | <b>Years with Joint Venture/ Partnership</b> | <b>% Ownership Interest</b> |
|-------------------------------------|--------------------------|-----------------|--|-----------------------------|
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |
|                                     |                          |                 |  |                             |

6. 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.

7. 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.

8. Has any corporate officer or owner of the Principal Engineer’s firm, worked for any other design 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.

9. 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.

10. Provide the following information for key staff of the Principal Engineer’s firm who will be designing the project:  
(Attach additional pages if necessary)

| <b>Principal Engineer</b> | <b>License Number</b> | <b>Years in Practice</b> |
|---------------------------|-----------------------|--------------------------|
|                           |                       |                          |
|                           |                       |                          |
|                           |                       |                          |

11. Attach a copy of the Principal Engineer's firm profile and resumes of key staff listed.

**I (D) INFORMATION ABOUT ELECTRICAL, MECHANICAL/PLUMBING,  
and other DESIGN-BUILD SUBCONTRACTOR(S)**

Attach copies of I (D) for each Electrical, Mechanical, Plumbing, and Subcontractor(s) that will be performing Design-Build work. Prequalification information shall be submitted for each Electrical, Mechanical, Plumbing, and other Design-Build Subcontractor(s).

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

5(a) If the 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.

| <b>Position</b> | <b>Name</b> | <b>Years with Co.</b> | <b>% Ownership</b> |
|-----------------|-------------|-----------------------|--------------------|
| CEO             |             |                       |                    |
| President       |             |                       |                    |
| Secretary       |             |                       |                    |
| Treasurer:      |             |                       |                    |
|                 |             |                       |                    |
|                 |             |                       |                    |

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

| Owner | Years as Owner |
|-------|----------------|
|       |                |

5(c) If the 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 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 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 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 Subcontractor:

| License Number | Classification | Date Issued | Expiration Date |
|----------------|----------------|-------------|-----------------|
|                |                |             |                 |
|                |                |             |                 |
|                |                |             |                 |
|                |                |             |                 |

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|--|--|--|--|

10. Has the 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 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 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 |
|--------|---------|---------------------|
|        |         |                     |
|        |         |                     |
|        |         |                     |
|        |         |                     |
|        |         |                     |

## II. ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY

Definitions:

The term “Associates” shall mean any and all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers of a contractor, which is a corporation.
- All current partners of a contractor, which is a partnership.
- All current joint ventures of the joint venture contractor, which is seeking prequalification.

1. Does the General Building 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 minimum limits as follows from a California admitted company with an A.M Best rating of A or better and a Financial Condition rating of VII or better?

|  |  |              |
|--|--|--------------|
| <b>Commercial General Liability</b>    | Each Occurrence                            | \$2,000,000  |
|  | General Aggregate                          | \$4,000,000  |
|  | Product Liability and Completed Operations | \$1,000,000  |
| <b>Automobile Liability – Any Auto</b> | Combined Single Limit                      | \$1,000,000  |
| <b>Excess Liability</b>                |  | \$10,000,000 |
| <b>Employers’ Liability</b>            |  | \$1,000,000  |
| <b>N/A</b>                             |  | N/A          |

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

---

Excess 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 audited financial statement (no more than two years old) or reviewed/unaudited financial statement with accompanying notes been attached for the General Contractor? (An audited financial statement with accompanying notes of a parent company guarantor may be substituted).

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 prequalification? (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 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 Entity because they were terminated by the project owner within the last five (5) years?

Yes       No

8. Within the last five years was the Design-Build Entity, 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 Entity (contractors, architects, engineers or others) or any member's associates, any of the corporate officers, partners, 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 of the design professionals who are expected to work on the project possess current California professional licenses for the services, which they intend to provide?

Yes       No

11. Are the Design Professional(s) of Record covered by a professional liability insurance policy with a policy limit of at least \$2,000,000 from a California admitted company that provides coverage for work on a design-build contract (answer for each individual design professional of record that is a member of the Design-Build Entity's Team)?

Yes       No

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

---

Insurance Company

---

Policy Number

---

Policy Limit

12. Has any professional license held by any design professional that will provide services been revoked at any time in the last five years?

Yes       No

13. Does the General Contractor and each proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under the ESUHSD Project Labor Agreement, 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

**III. SCORED QUESTIONS**

**III (A) SCORED QUESTIONS FOR THE GENERAL CONTRACTOR**

Definitions:

The term “Associates” shall mean any of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers of a contractor, which is a corporation.
- All current partners of a contractor, which is a partnership.
- All current joint ventures of the joint venture contractor, which is seeking prequalification.

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

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

A-2. Is the General Building 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 Building 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 Building Contractor or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

Yes                       No

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

A-5. Has the General Building 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 Building 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 Building 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 \$50,000 been filed in court or arbitration against the General Building 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 Building Contractor or its associates made any claim in excess of \$50,000 against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes                       No

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

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 Building 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 Building 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 Building Contractor, any of the corporate officers, partners, 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 Building Contractor, any of the corporate officers, partners 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 Building 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 Building 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 OSHA decision.

- A-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Building 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 Building Contractor require documented safety course meetings to be held for construction employees and field supervisors during the of a project?
-

A-19. List the General Building 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.

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 Building 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 Building Contractor or its associates was required to pay either back wages or penalties for failure to comply with the **state's** prevailing wage laws?

Yes  No

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

A-22. During the last five years, has there been more than one occasion in which the General Building Contractor or its associates have been penalized or required to pay back wages for failure to comply with the **Federal** Davis-Bacon prevailing wage requirements?

Yes

No

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

A-23. If the General Building 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 Building 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 Building Contractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticable crafts which may be employed by the General Contractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticable craft within the period of June, 1999 to June, 2003.)

Yes                       No

A-26. Has the General Building Contractor built comparable facilities for K-12 educational institutions in the last 5 years?

Yes                       No

If yes, please list all comparable K-12 educational institution projects that the General Contractor has performed on in the last 5 years. Please add additional rows if necessary.

| School | Project | Construction Cost | Year Completed |
|--------|---------|-------------------|----------------|
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |

Please complete a Project Data Sheet for a minimum of three comparable projects completed within the last five years.

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

|   |     |
|---|-----|
| Current Assets  | \$0 |
| Current Liabilities:                                    | \$0 |
| Total Net Worth   | \$0 |
| Current Ratio (Assets/Liabilities):                     |     |
| Working Capital (Current Assets - Current Liabilities): | \$0 |

Submit the latest audited financial statement for the General Contractor's previous fiscal year.

- A-28. Please describe how the Design-Build Entity Team will creatively collaborate to help the District to insure that local, small, and emerging businesses are given every opportunity to compete fairly for the District's work.
- A-29. Please describe how Design-Build Entity Team will creatively collaborate to help the District to maximize the number of local workers employed on these projects.
- A-30. Please describe how Design-Build Entity Team will creatively collaborate to help the District to reduce the operational costs of the new facilities.
- A-31. Please describe how Design-Build Entity Team will creatively collaborate to help the District to incorporate sustainability into the new facilities.
- A-32. Please describe the Design-Build Entity Team members experience in working on previous projects, in particular on design-build projects.
- A-33. Please describe the Design-Build Entity Team's experience on working on Division of State Architect projects, in particular on design-build projects.

### III (B) SCORED QUESTIONS FOR THE ARCHITECT OF RECORD

Definitions:

- “Architect of Record” shall mean the licensed design professional whose stamp will appear on project documents. The Architect of Record is required to be licensed in the State of California.

1. Name of Architect of Record:

\_\_\_\_\_

2. Name of Firm:

\_\_\_\_\_

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

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

B-2. Is the Architect of Record’s firm currently the debtor in a bankruptcy case?

Yes

No

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

\_\_\_\_\_

Case Number

\_\_\_\_\_

Bankruptcy Court

\_\_\_\_\_

Date Filed

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

\_\_\_\_\_

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 \$50,000 been filed in court or arbitration against the Architect of Record or the firm concerning its design 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 \$50,000 against a project owner concerning its architectural work on a project and filed that claim in court or arbitration?

Yes  No

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

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, any of the corporate officers, partners, 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, any of the corporate officers, partners, 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 comparable facilities for K-12 educational institutions over the last five (5) years?

Yes                       No

If yes, please list all comparable projects that the Architect of Record has designed for K-12 educational institutions in the last 5 years. Please add additional rows if necessary.

| School | Project | Construction Cost | Year Completed |
|--------|---------|-------------------|----------------|
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |

Please complete a Project Data Sheet for a minimum of three comparable projects completed within the last five years.

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 ELECTRICAL, MECHANICAL and  
OTHER PRINCIPAL ENGINEERS**

Definitions:

- Principal Engineer shall mean the licensed design professional whose stamp will appear on project documents. Principal Engineers are required to be licensed in the State of California.
- Attach copies of III (C) for each Principal Engineer that the Design-Build Entity seeks to submit for prequalification.

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 B-2, above)

Yes                       No

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

\_\_\_\_\_

- C-4. 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-5. 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-6. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Principal Engineer or the firm concerning its design 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).

- C-7. In the past five years has the Principal Engineer or the firm, made any claim in excess of \$50,000 against a project owner concerning its architectural work on a project and filed that claim in court or arbitration?

Yes                       No

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

description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- 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 involved, the name of the public agency, the date of the investigation and the grounds for the finding.

- C-10. Has the Principal Engineer any of the corporate officers, partners, 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 any of the corporate officers, partners, 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.

C-12. Has the Principal Engineer designed comparable facilities for K-12 educational institutions in the last 5 years?

Yes                       No

If yes, please list all comparable projects that the Principal Engineer has designed for K-12 educational institutions in the last 5 years. Please add additional rows if necessary.

| School | Project | Construction Cost | Year Completed |
|--------|---------|-------------------|----------------|
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |

Please complete a Project Data Sheet for a minimum of three comparable projects completed within the last five years.

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, MECHANICAL,  
PLUMBING, AND DESIGN-BUILD SUBCONTRACTOR(S)**

Attach copies of III (D) for each Electrical, Mechanical, and Design-Build Subcontractor(s) to be considered for eligibility to bid as a Subcontractor in the Request for Proposals.

Definitions:

The term “Associates” shall mean any of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers of a contractor, which is a corporation.
- All current partners of a contractor, which is a partnership.
- All current joint ventures of the joint venture contractor, which is seeking prequalification.

Subcontractor Name:

\_\_\_\_\_

Discipline/Trade/Craft:

\_\_\_\_\_

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

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

D-2. Is the 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 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 Subcontractor or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

Yes  No

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

D-5. In the past five years has the 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 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 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 \$50,000 been filed in court or arbitration against the 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 Subcontractor or its associates made any claim in excess of \$50,000 against a project owner or a General Contractor concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes

No

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

D-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the 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 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 Subcontractor, any of the corporate officers, partners, 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 Subcontractor any of the corporate officers, partners, 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 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 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 OSHA decision.

D-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the 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 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 Subcontractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

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D-19. List the 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.

D-20. Within the last five years has there ever been a period when the 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 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 Subcontractor or its associates was required to pay either back wages or penalties for failure to comply with the **State's** prevailing wage laws?

Yes

No

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

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

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Date of Findings

D-25. Do agreements exist between the 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 Subcontractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticable craft within the period of June, 1999 to June, 2003.)

Yes                       No

D-26. Has the Subcontractor performed on a contract to construct comparable facilities for K-12 educational institutions within the last 5 years?

Yes

No

If yes, please list all comparable K-12 educational institution projects that the Subcontractor has performed on in the last 5 years. Please add additional rows if necessary.

| School | Project | Construction Cost | Year Completed |
|--------|---------|-------------------|----------------|
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |
|        |         |                   |                |

Please complete a Project Data Sheet for a minimum of three comparable projects completed within the last five years.

**IV. RECENT CONSTRUCTION PROJECTS COMPLETED**

1. How many comparable projects have the Design-Build Entity, General Contractor, Architect of Record, Principal Engineer(s), Electrical, Mechanical, and other Design-Build subcontractors involved in this Design-Build Entity ever worked together on?  
  
\_\_\_\_\_

2. How many comparable design-build projects have the Design-Build Entity, General Contractor, Architect of Record, Principal Engineer(s), Electrical, Mechanical, and other Design-Build subcontractors involved in this Design-Build Entity ever worked together on?  
  
\_\_\_\_\_

3. List volume of construction and value of largest design-build project, which the Design-Build Entity, General Contractor, Architect of Record, Principal Engineer(s), Electrical, Mechanical, and other Design-Build subcontractors have worked together on.

Volume \_\_\_\_\_ Largest Contract \_\_\_\_\_

4. Please provide, on the attached Product Data Sheet, the Design-Build Entity's three comparable 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 DATA SHEET**

**Relevant experience**

(A separate sheet must be prepared for each project submitted.)

- 1. Project Name: \_\_\_\_\_
- 2. Project Location \_\_\_\_\_
- 3. Project Description: \_\_\_\_\_
- 4. Construction Type: \_\_\_\_\_
- 5. Size (gross sq. ft.) \_\_\_\_\_
- 6. Business name of entity, which constructed and managed this project: \_\_\_\_\_
- 7. How is this project comparable to the project listed? \_\_\_\_\_

- 8. Was the project completed within budget? \_\_\_\_\_
  - Cost At Bid \$ \_\_\_\_\_
  - Cost At Completion: \$ \_\_\_\_\_
  - Explanation: \_\_\_\_\_

- 9. For any differing amount between cost at completion and cost at bid, distribute the sources and/or causes of the changes into the following categories:
  - Document Problems: \$ \_\_\_\_\_
  - Unforeseen Conditions: \$ \_\_\_\_\_
  - Owner Generated Scope: \$ \_\_\_\_\_
  - Regulatory Agency: \$ \_\_\_\_\_
  - Other: \$ \_\_\_\_\_

Explain Other: \_\_\_\_\_

10. Was construction of the project begun and completed within the last five (5) years?

YES  NO

11. Was the project completed within the original contract time or the adjusted contract time?

YES  NO

Contract Time at bid date (Number of calendar days): \_\_\_\_\_

Formally adjusted Contract Time (Number of calendar days; if not adjusted, state "No Adjustments"): \_\_\_\_\_

Actual Elapsed Time between issuance of Notice To Proceed and date of final completion (Number of calendar days): \_\_\_\_\_

If completion did not occur within the Contract Time at bid date or within the formally Adjusted Contract Time, then explain the reason or reasons for the delay:

For projects, which have not reached final completion indicate current status with respect to contract time: \_\_\_\_\_

12. Did the project include occupied facilities adjacent to the project?

YES  NO

13. What strategies were used by your firm to assist the project team in mitigating the impacts of construction on the adjacent occupied facilities?

14. Did the project include restricted site access?

YES

NO

What measures were taken to mitigate the restrictive conditions?

15. What strategic decisions did your firm contribute to the project which supported the project's success (e.g., value engineering, phasing, innovation, new technology, etc.)?

16. Did the project include adherence to critical path scheduling?

YES

NO

17. What strategies did your firm use to adjust and/or correct for non-Owner generated slippage in the critical path schedule

18. Did the project include finishes and work elements requiring craftsmanship and workmanship?

YES

NO

19. How did your firm manage the quality of workmanship on the job?

20. Did the project include California Division of State Architect Compliance review and approval?

YES  NO

21. Did the Owner assess any back-charges?

YES  NO

If answer is yes, explain:

22. Did the Owner assess any liquidated damages?

YES  NO

If answer is yes, explain:

23. Describe the firm's claim-avoidance strategy and/or philosophy

24. Name of Project Manager: \_\_\_\_\_

25. Name of Project Superintendent: \_\_\_\_\_

26. Did your firm self-perform any of the work?

YES

NO

If yes, please specify the trades you self-performed:

27. Project's Owner Information:

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

Contact: \_\_\_\_\_ Title: \_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

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

28. E-mail Address

Architect/Engineer/  
Consultants:

Architect/Engineer  
Contact Name:

Phone:

E-mail Address:

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**V. DECLARATION  
Under Penalty of Perjury**

I, the undersigned, \_\_\_\_\_, certify and declare that I have read all the foregoing answers to this Prequalification Application; 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 of Individual that may legally bind the  
Design-Build Entity)

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

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

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

\_\_\_\_\_  
(Design-Build Entity)