

MENDOCINO COUNTY



CONTRACTOR PREQUALIFICATION PACKET

FOR

MENDOCINO COUNTY SB844 JAIL EXPANSION PROJECT

***Deadline for Submittal:
April 28, 2022***

Table of Contents

| | |
|---|----|
| NOTICE TO BIDDERS..... | 1 |
| Schedule..... | 4 |
| Application Instructions and General Information..... | 5 |
| Project Overview..... | 8 |
| Evaluation Criteria | 9 |
| Contractor Prequalification Questionnaire (Section A and B) | 15 |
| Essential Criteria Questions (Section C)..... | 22 |
| Prequalification Criteria Questions (Section D)..... | 24 |
| Recently Completed Construction Projects (Section E) | 29 |
| Declaration and Signature page (Section F) | 30 |
| List of Required Attachments (Section G) | 31 |

Appendix

| | |
|---|----|
| Sources for Verification of Information Given by Contractors..... | 35 |
| COUNTY's Insurance Requirements..... | 38 |

1) **NOTICE TO BIDDERS**

March 17, 2022

**NOTICE TO BIDDERS
CONTRACTOR PREQUALIFICATION
FOR
MENDOCINO COUNTY SB844 JAIL
PROJECT**

Notice is hereby given that Mendocino County ("COUNTY") has determined that all Prime Contractors on the Mendocino County SB844 Jail Expansion Project, to be undertaken by the COUNTY **must** be prequalified prior to submitting a bid on the project. No bid will be accepted from a Contractor that has failed to comply with these requirements of this NOTICE TO BIDDERS.

Prequalification Applications must be received as directed in the instructions below no later than April 28, 2022 at 4:00 PM.

Mendocino County requests that any contractor contemplating prequalifying for this project submit a Notice of Intent letter indicating so. The letter should be submitted to the County no later than April 14, 2022.

Copies of the Contractor Prequalification Packet for the Mendocino County SB844 Jail Expansion Project, ("Prequalification Package") are available for download from the Mendocino County Web Page for Open RFP, Quotes & Bids:

https://www.mendocinocounty.org/government/executive-office/open-rfp-quotes-bids_.

Contractors are responsible for monitoring this website for addendums to the Prequalification Package and answers to timely submitted questions. Additionally package and addenda plans will be distributed to builder's exchange plan rooms throughout Northern California.

The COUNTY makes no guarantees and assumes no responsibility for any errors that may exist in copies of the Prequalification Package retrieved from any other source.

Contractors shall possess a Class B license to bid as the Prime Contractor on the Project. It is mandatory that all Bidders who intend to submit a bid for the Project fully complete the Application for Prequalification, provide all materials requested therein, and be approved by COUNTY to be on the final prequalified bidders list.

If two or more business entities submit a bid as part of a Joint Venture or expect to submit a bid as part of a Joint Venture, each entity within the Joint Venture must submit separate

applications with reference to the other entities in the Joint Venture section. Each entity must qualify separately under sections B, C and D and the before the Joint Venture may be considered to qualify with combined project experience, financial resources and bonding capacity. Contractors are encouraged to submit their completed Application for Prequalification as soon as possible as COUNTY shall have the discretion to notify Contractors of omissions of information to be remedied and notify Contractors of their pre-qualification status in advance of the bid advertisement for this project.

Answers to questions contained in the Prequalification Package, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required. COUNTY reserves the right to check other sources available. COUNTY's decision will be based on objective evaluation criteria as described in the prequalification package.

COUNTY reserves the right to adjust, increase, limit, suspend, or rescind the pre-qualification rating based on subsequently learned information. Contractors whose rating changes sufficiently to disqualify them will be notified and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating.

While it is the intent of the Prequalification Package and documents required therewith to assist COUNTY in determining bidder responsibility prior to bid and to aid COUNTY in selecting the lowest responsive bidder, neither COUNTY's notice of prequalification, nor any prequalification rating, will preclude COUNTY from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity, and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.

Pursuant to Public Contract Code section 20101, the Application for Prequalification (questionnaire answers, information and financial statements) submitted by Contractors are not public records and are not open to public inspection, although 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. All information provided will be kept confidential to the extent permitted by law. However, contents may be disclosed to third parties for purpose of verification, investigation of substantial allegations, or as part of an appeal.

Each Application for Prequalification 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 Contractor on whose behalf that person is signing. If any information provided by a Contractor becomes inaccurate, the Contractor must immediately notify COUNTY and provide updated accurate information in writing, under penalty of perjury.

COUNTY reserves the right to waive minor irregularities and omissions in the information contained in any submitted Application for Prequalification, to make all final determinations, and to determine at any time that the pre-qualification procedures will not be applied to a specific future public works project. Where qualifying financial information is not provided, COUNTY reserves the right to dismiss the application as incomplete without making a prequalification determination.

Contractors may submit their Application for Prequalification during regular working hours on any day COUNTY's offices are open.

Contractors may appeal the COUNTY determination of their prequalification according to instructions contained in this packet.

COUNTY shall have the right to refuse to grant pre-qualification due to:

- (1) Omission of requested information by the deadline; or
- (2) Falsification of information; or
- (3) Failure to provide updated materials or corrected information.

There is no appeal from a refusal for such causes. The closing time will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

SCHEDULE

| Item No. | Event | Dates |
|-----------------|---|----------------|
| 1 | Solicitation for Prequalification of Contractors | March 17, 2022 |
| 2 | Notice of Intent | April 14, 2022 |
| 3 | Deadline for Contractors seeking Prequalification to submit questions and requests for clarification regarding the Prequalification process and application packet. Please submit to Doug Anderson at andersond@mendocinocounty.org | April 14, 2022 |
| 4 | COUNTY will issue any addenda necessary with all relevant answers and questions to timely submitted questions | April 19, 2022 |
| 5 | Completed Prequalification application packets with all required attachments due to the COUNTY by 4:00 P.M. | April 28, 2022 |
| 6 | Contractors notified of prequalification | May 24, 2022 |
| 7 | Deadline for Appeals of County decisions regarding Prequalification due to County by 4:00 P.M. | June 3, 2022 |
| 8 | Mendocino County publishes list of prequalified contractors | July 11, 2022 |

Note: The dates noted in the above schedule are subject to change at the County's discretion.

APPLICATION INSTRUCTIONS AND GENERAL INFORMATION

A. General Information

COUNTY is requiring Contractors interested in bidding on the Project to prequalify. Prequalification rating will be based on the Contractor's responses to the questionnaire, experience, reputation, and solvency. In addition to a written application and the required attachments, COUNTY will verify with references of the Contractor regarding recent project performance (based on project information provided in Section E), as well as rate comparable project experience. Both the written and reference verification portions of the application will contribute to the Contractor's final status rating. The engineer's estimate for the Project is approximately \$25,000,000.

Prequalification Status will be valid through the bid opening date.

COUNTY reserves the right to check any and all sources to verify information contained in the submitted application. Submission of an application for prequalification constitutes the Contractor's authorization for COUNTY and its representatives to contact all sources and references for the purposes of verification of the information contained in the application, with the understanding that the information will be used in the determination of the Contractor's prequalification status rating. Omission of relevant information and/or providing false information can result in immediate disqualification. COUNTY reserves the right to determine whether a disqualified Contractor may prequalify for a future project.

B. Submitting the Application

Please complete all parts of the Application for Prequalification and return one (1) original plus Five (5) copies with all attachments as required to COUNTY. The application packet(s) must be submitted under seal and addressed as noted below. Contractors may submit pre-qualification packages in person Monday-Friday (excluding holidays) from 7:00am-4:00 pm. Mailed package(s) must be addressed as follows:

Mendocino County General Services
Facilities and Fleet Division
841 Low Gap Road
Ukiah, CA 95482

Bidder Prequalification Packet
Project: MENDOCINO COUNTY SB844 JAIL PROJECT
CONFIDENTIAL - Time Sensitive Material

All Applications for Prequalification will be date and time stamped when received.

Fully completed Application for Prequalification packets must be delivered to and received by the Facilities and Fleet Division no later than 4:00 PM on the date indicated in the Notice Inviting Bids. No fax or e-mail copies will be accepted. Submittals received after the specified time and date will not be considered and will be returned unopened to the sender. THIS SUBMISSION

DEADLINE WILL BE STRICTLY ENFORCED.

C. Data Required

All portions of the Application for Prequalification, Parts A through G, must be completed. Additional information should be attached where space provided does not suffice. Failure to include the information called for may result in disqualification. It is essential that management, and construction experience of the Contractor be demonstrated, as such experience is considered in establishing prequalification status.

D. Current Financial Information

Contractor shall provide a complete financial statement indicating the organization's financial condition. Financial statements provided by the Contractor shall be the most recent year end audited or reviewed financial statements. The financial statements are to be submitted with all accompanying notes and supplemental information. Where qualifying financial information is not provided, the County reserves the right to dismiss the prequalification application as incomplete, rather than making a determination as approved or denied.

E. Questions

Contractors having questions regarding the prequalification process and/or the contents of the prequalification packet must submit questions in writing no later than the date as indicated in the Schedule. Questions received after the posted deadline will not be accepted nor answered. Only written inquiries are permitted. COUNTY will issue an addendum providing answers/clarifications to all written questions to all parties who have submitted a notice of intent. Addendums will also be posted to the County website and distributed to regional plan rooms and builders' exchanges.

Questions shall be submitted in writing, via e-mail to:

MENDOCINO COUNTY-FACILITIES and FLEET
Attn: Doug Anderson-Assistant Facility Manager
E-mail: andersond@mendocinocounty.org

COUNTY's representative will only respond to written inquiries. This requirement is to ensure that the same information is communicated to all parties and that inconsistent, incomplete, or inaccurate information is not transmitted separately.

F. Appeal Rights

When a timely and completed application results in a rating below that necessary to prequalify, a Contractor may request a hearing to appeal. To initiate an appeal, the Contractor must put in writing a notice to COUNTY of a request for a hearing to appeal the decision with respect to its prequalification rating. The request for a hearing must be received in COUNTY's offices noted below within five business days following the COUNTY's notification to the Contractor of its prequalification determination. If the Contractor chooses not to avail itself of this process, the proposed prequalification rating may be adopted without further proceedings. Address requests for appeal hearing to the address for applications above, and include the following:

Bidder Prequalification - Request for Appeal Hearing
Project: Mendocino County SB844 Jail Project
CONFIDENTIAL - Time Sensitive Material

Without a timely appeal, the Contractor waives all rights to challenge the decision of COUNTY, whether by administrative process, judicial process, or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than twenty (20) business days after COUNTY's receipt of the notice of appeal, and no later than ten (10) business days prior to the last date for the receipt of bids on the project. The hearing shall be an informal process conducted by Appeals Panel (Panel) that COUNTY has delegated responsibility to hear such appeals.

Upon request of the Contractor, the Contractor will be advised of the basis for COUNTY's pre-qualification determination in writing in conformance with Public Contract Code Section 20101(d)(1) and notified of any supporting evidence that has been received from others or adduced as a result of an investigation by the COUNTY. The Contractor will be given the opportunity to rebut any evidence used as a basis for disqualification and to present evidence to the public entity as to why the Contractor should be found qualified. Within five (5) business days after the conclusion of the hearing, the Appeals Panel will render its decision and send a copy of the decision to the Contractor, either personally, by registered mail, certified mail, or electronically (if requested in writing by the Contractor). The determination of the Appeals Panel shall be final. It is the intention of COUNTY that the date for the submission and opening of bids will not be delayed or postponed allowing for completion of an appeal process.

G. Notice of Intent

Mendocino County requests that any contractor contemplating prequalifying for this project submit a Notice of Intent letter indicating so. The letter should be submitted to the County no later than April 14, 2022. Submitting a Notice of Intent letter is not a criteria for determining a contractor's eligibility for prequalification and has no bearing on the decision process for prequalification. Please submit your Notice of Intent letter to:

County of Mendocino
General Services Agency
Facilities and Fleet Division
Attn: Doug Anderson
841 Low Gap Road
Ukiah, CA 95482

3) **PROJECT OVERVIEW**

General Scope of Work:

- A. The engineer's estimate for this project is approximately \$25,000,000. Contractor shall perform, and provide adequate and competent labor, management, supervision, permits, tools, equipment, scaffolding, utilities, installed and consumable materials, testing devices, warehousing and each and every item of expense necessary for the supply, fabrication, handling, hauling/transportation services, receiving and unloading, installation, construction, testing, evaluation, quality control, and schedules (Work) necessary for the Mendocino County SB844 Jail Expansion Project as specified.
- B. The scope of this project is for the construction of a new approximately 21,000 square foot jail facility on 1 acre of county-owned land located in Ukiah, an incorporated area of Mendocino County California, adjacent to the current jail and other county buildings. The project will include, but is not limited to, site improvements; primary utilities; foundation and structural elements; building envelope; electrical; plumbing; mechanical; heating, ventilation, and air conditioning; security systems; fire protection systems; security fencing; related work required for a new building.
- C. The project will construct housing for a total of 60 beds expandable to 90, medical clinic, intake and release, central control, interview and visitation, custody administration, support services, outdoor recreation, administration, a public lobby and visitor parking. Preliminary partial project drawings are available as part of the Prequalification Packet.
- D. Estimated Project Schedule:
 - Bidding and Contract Award: August 2022 – December 2022
 - Construction: January 2023– September 2024

EVALUATION CRITERIA

The Application for Prequalification contains the following Sections:

QUESTIONNAIRE

- Section A – Company Information – Not Confidential, available to the public
- Section B – Current Organization and Structure – Operational Capacity
- Section C – Essential Criteria Questions – Minimum Qualification
- Section D – Prequalification Criteria Questions
 - History of Business
 - OSHA, and Labor Compliance Questions
 - Compliance with Civil and Criminal Laws
- Section E – References from Recently Completed Construction Projects
- Section F – Declaration & Signature Page

ATTACHMENTS

- Section G – List of Required Attachments

Each part must be completed in its entirety to be scored. Required Attachments are further outlined in the section indicated above. An application is complete only if these attachments are included in the submitted packet.

The COUNTY shall utilize a four step system based upon the Department of Industrial Relations model to evaluate submitted applications. In order to prequalify, the contractor must meet the minimum standard for each step. The following summarizes the criteria that will be considered and evaluated.

STEP 1 - Minimum Qualifications Section C: Essential Criteria:

- a. “Yes” answers are required for Questions 1-6 regarding licensing, insurance and bonding capacity.
- b. “No” answers are required for questions 7-13 regarding major instances of violations of law or failure to perform.

The COUNTY may request additional information needed to verify responses and will disqualify applications including false information.

STEP 2 –Prequalification Criteria, Section D.

Applications are scored in Section D in order to rank the severity and frequency of more common instances of regulatory violations, poor performance and business difficulties. For questions 1 through 21 additional information provided for any questions where the answer is not “0” allows the County to rate the culpability of the Contractor and the frequency of occurrence for each question in order to calculate a score total for Section D.

Each questions in which the response is not “0” are scored. The COUNTY may request additional information needed to verify responses and will disqualify applications including false information.

For all answers which are not “0”. The COUNTY will review the additional documents to calculate a final score between 1 and 5 based on the culpability of the Contractor with a score of 1 assigned where the incident is clearly the result of a good-faith mistake and a score of 5 is assigned where the incident is clearly an overtly willful action for which the Contractor is culpable. This factor is added to the number of instances indicated in the response.

Certain questions in Section D are weighted two times as much as others because of the severity of the actions or level of a Contractor’s control over those actions. The following questions are assigned twice the weight of the remaining questions: 1 through 3, 5 through 6, 8, 10 through 12, 15 through 18, and 20.

The COUNTY will use the scoring worksheet on page 13 to calculate the Contractor’s overall weighted score for Section D. **A contractor pre- qualifies only if the overall score is 35 or less, and is disqualified if the overall score is greater than 35.**

STEP 3 - Evaluation of Comparable Project Experience

In addition to the above criteria, the General Contractor shall provide information for at **least Three (3) jail/correctional facility construction projects or a combination of correctional/medical projects in California each with a construction value of \$15,000,000 or greater** that it has recently completed (within the last fifteen years) or is currently in substantial completion, and of the three aforementioned projects, two of the facilities must be correctional. Existing jail/correctional or correctional/medical facility addition/modification projects without a large ground-up component do not qualify as new facilities. These projects will be evaluated for comparable project experience.

For Step 3, the contractor must meet the minimum prior project experience noted above and have an average total score greater than or equal to 90 from project representative interviews defined below to pass pre-qualification.

RECENTLY COMPLETED CONSTRUCTION PROJECTS INTERVIEW QUESTIONS AND SCORING

The following questions will be used to interview randomly selected contacts from up to three

recent construction projects completed. The COUNTY will conduct the phone interviews. No action on the contractor's part is necessary. These questions are included on the package given to the contractor for information only. First the reference will be asked to give a brief description of the project describing the type of work and construction cost for the purpose of determining if the experience qualifies. Then the reference will be advised of the scoring criteria and asked the following questions:

1. Are there any outstanding stop notices, liens, or claims by the contractor that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points)

For the following questions (2 to 13) the scoring is as follows:

2. On a scale of 1-10, with 10 being the best, did the contractor provide adequate personnel? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, did the contractor provide adequate supervision? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
5. On a scale of 1-10, with 10 being the best, was the contractor timely in providing reports and other paperwork, including change order paperwork and scheduling updates? (Max. 10 points)
6. On a scale of 1-10, with 10 being the best, did the contractor adhere to the project schedule that your agency approved? (Max. 10 points)
7. Was the project completed on time? (10 points if the answer is "Yes").
Or, if the answer is "no," on a scale of 1-10, with 10 being the least, to what extent was the contractor responsible for the delay in completion?
8. On a scale of 1-10, with 10 being the best, rate the contractor on the timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)
9. On a scale of 1-10, with 10 being the best, rate the contractor on how well the contractor performed the work after a change order was issued, and how well the contractor integrated the change order work into the existing work. (Max. 10 points).
10. On a scale of 1-10, with 10 being the best, rate how has the contractor been performing in the area of turning in Operation & Maintenance manuals, completing as-built drawings, providing required training, and taking care of warranty items? (Max. 10 points)
11. On a scale of 1-10, with 10 being the best, rate the contractor on whether there were an

unusually high number of claims, given the nature of the project, or unusual difficulty in resolving them. (Max. 10 points)

12. On a scale of 1-10, with 10 being the highest, rate the contractor with respect to timely payments by the contractor to either subcontractors or suppliers. (If the person being interviewed knows of no such difficulties, the score on this question should be "10.")
13. On a scale of 1-10, with 10 being the best, how would you rate the quality of the work overall? (Max. 10 points)

STEP 4 - Evaluation of Business Operations and Financial Information

The COUNTY will review submitted information included in Section B and the required attachments to verify the operational capacity of the organization with regard to bonding relationship and capacity; general liability and worker's compensation insurance history; labor compliance and safety infrastructure; local workforce utilization plan as well as the financial statements.

As a general rule, prospective bidders will be prequalified to bid on projects up to a maximum dollar amount based on the lesser of ten times working capital (current assets less current liabilities) or four times net worth (assets less liabilities) subject to adjustment upon consideration of experience, organizational stability and performance factors. Some factors may result in the disqualification of the Contractor. Working capital may be augmented by submission of a Letter of Bank Credit. Note: Statements with a "negative quick asset" amount may not be augmented. Prospective bidders are also required to show an average monthly cash balance for the last twelve months of not less than 10% of the construction cost.

STEP 2 - PREQUALIFICATION CRITERIA SCORING: SECTION D

| Question Number | Factor #1 - Points | Factor #2 - Points | Multiplying Factor | Total Points |
|-----------------|--------------------|--------------------|--------------------|--------------|
| 1 | | | x2 | |
| 2 | | | x2 | |
| 3 | | | x2 | |
| 4 | | | x1 | |
| 5 | | | x2 | |
| 6 | | | x2 | |
| 7 | | | 1 | |
| 8 | | | x2 | |
| 9 | | | x1 | |
| 10 | | | x2 | |
| 11 | | | x2 | |
| 12 | | | x2 | |
| 13 | | | x1 | |
| 14 | | | x1 | |
| 15 | | | x2 | |
| 16 | | | x2 | |
| 17 | | | x2 | |
| 18 | | | x2 | |
| 19 | | | x1 | |
| 20 | | | x2 | |
| 21 | | | x1 | |
| Total | | | = | |

Questions Type:

14 Red Flag Questions (x2)

7 Non-Red Flag Questions (x1)

Notes: The awarding body will review additional documents provided by the Contractor in response to the questions in Section D to calculate a final score using the two factors listed above. A score on a scale of 1 to 5 is assigned to each factor.

Factor #1: A score of 1 is assigned where the incident is clearly the result of a good-faith mistake, and a score of 5 is assigned where the incident is clearly an overtly willful action for which the Contractor is culpable.

Factor #2: A score of 1 is assigned where only a single incident exists, and a score of 5 is assigned where five or more incidents of that kind are reported.

A contractor is PRE-QUALIFIED if the total score above is: 35 points or LESS.

A contractor is DISQUALIFIED if the total score above is: GREATER THAN 35 points.

START OF
APPLICATION
ON NEXT PAGE

CONTRACTOR PRE-QUALIFICATION QUESTIONNAIRE

A. CONTRACTOR INFORMATION

(All Questions Must Be Answered)

Firm Name (as it appears on CSLB license): _____

Firm Type (Select one)

☐ Corporation ☐ LLC ☐ Partnership ☐ Sole Proprietorship ☐ Joint Venture

Contact Person/Title: _____

(List Owner(s) if Firm is a Sole Proprietorship or Partnership)

Local Address (P.O. Box is not acceptable):

Address 1: _____

Address 2: _____

City: _____

Zip: _____

Office Telephone: _____

Contact Mobile: _____

Fax Number: _____

E-mail Address: _____

List all California construction or other professional license numbers, classifications and expiration dates held by your firm:

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

List your firm's DIR Public Works Contractor (PWCR) Registration Number(s):

| PWCR Number | Entity Name | Expiration Date |
|-------------|-------------|-----------------|
| | | |
| | | |
| | | |

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

| License Number | Qualifying Individual | Expiration Date |
|----------------|-----------------------|-----------------|
| | | |
| | | |
| | | |
| | | |

B. CURRENT ORGANIZATION AND STRUCTURE

Complete the section below for the appropriate type of firm:

For Firms That Are Corporations:

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

| Name | Position | Years with Firm | % Ownership |
|------|----------|-----------------|-------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

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

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person's Name | Construction Firm | Date of Person's Participation with Firm |
|---------------|-------------------|--|
| | | |
| | | |
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| | | |

For Firms That Are Limited Liability Companies (LLC):

- 1a. Date Article of Organization filed: _____
- 1b. Under the laws of what state: _____
- 1c. Provide all the following information for all members of the LLC:

| Name | Position | Years with Firm | % Ownership |
|------|----------|-----------------|-------------|
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| | | | |

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

| Person's Name | Construction Firm | Date of Person's Participation with Firm |
|---------------|-------------------|--|
| | | |
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| | | |
| | | |
| | | |

For Firms That Are Partnerships:

- 1a. Date incorporated: _____
 1b. Under the laws of what state: _____
 1c. Provide all the following information for each partner who owns ten percent or more of the firm.

| Name | Position | Years with Firm | % Ownership |
|------|----------|-----------------|-------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

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

| Person's Name | Construction Firm | Date of Person's Participation with Firm |
|---------------|-------------------|--|
| | | |
| | | |
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| | | |

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business _____
- 1b. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person's Name | Construction Firm | Date of Person's Participation with Firm |
|---------------|-------------------|--|
| | | |
| | | |
| | | |
| | | |

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

- 1a. Date of commencement of joint venture: _____
- 1b. Provide all the following information for each firm that is a member of the joint venture that expects to bid on the project

| Name of Construction Firm | % Ownership |
|---------------------------|-------------|
| | |
| | |
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| | |

Note: Explain on a separate sheet. Provide separate application(s) for each Corporation, LLC, Partnership, or Sole-Proprietorship that is a part of the Joint Venture, each referencing the other in this item.

FOR ALL FIRMS:

2. At any time during the past five years, has your firm shared office space, warehouse space, yard, plant or shop facilities, staff, equipment, telecommunications or other assets with any other construction firm? (If yes, identify and explain below.)

| Construction Firm | Description of Sharing Agreement | Location of Facilities |
|-------------------|----------------------------------|------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |

3. State your firm's gross revenues for each of the last three fiscal years:
 Current year (\$): _____
 Previous year (\$): _____
 Year prior to previous year (\$) _____

4. How many years has your firm been in business in California as a contractor under your present business name and license number? _____

5. Bonding Capacity – Provide documentation from your surety identifying the following:
 Name of Bonding Company/Surety: _____
 Name of Surety Agent: _____
 Address: _____
 Telephone number: _____

6. If your firm was required to pay a premium of more than one percent for a performance and payment bond on any project(s) over \$10 Million on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one percent, if you wish to do so.

7. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates on which they were issued:

| Name | Address | Date |
|------|---------|------|
| | | |
| | | |
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| | | |
| | | |

8. Does your firm have an established Safety Policy and Procedures Plan, if so can you make this plan available for review upon award? _____
9. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:
 Current year rate: _____
 Previous year rate: _____
 Year prior to previous year rate: _____
10. Does your firm regularly utilize a third-party consultant to review labor compliance documents of subcontractors on a public works project? ☐ Yes ☐ No

11. Provide the name, address and telephone number of the apprenticeship program (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to employ on any public works project awarded by the County.

| Name | Address | Phone |
|------|---------|-------|
| | | |
| | | |
| | | |
| | | |
| | | |

12. Provide the name, address and telephone number of the apprenticeship program (approved by the California Apprenticeship Council) from whom you have requested and/or employed apprentices in the past three years.

| Name | Address | Phone |
|------|---------|-------|
| | | |
| | | |
| | | |
| | | |
| | | |

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

- Identify the craft or crafts in which your firm provided apprenticeship training in the past year;
- State the year in which each such apprenticeship program was approved and attach evidence of the most recent California Apprenticeship Council approval(s);
- For each craft, list the number apprentices employed by your firm and the number of individuals that completed apprenticeships while employed by your firm during the last three years.

| Craft | Year | No. Apprentices | No. Completed |
|-------|------|-----------------|---------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

14. Has your firm changed names or license number in the past five years?
(If yes, explain on a separate sheet, including the reason for the change.) ☐ Yes ☐ No
15. Has there been any change in ownership of your firm at any time during the last five years?
(If yes, explain on a separate sheet.) ☐ Yes ☐ No

NOTE: A corporation whose shares are publicly traded is NOT required to answer this question.

16. Is your firm a subsidiary, parent, holding company or affiliate of another construction firm? ☐ Yes ☐ No
(If yes, explain on a separate sheet.)

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.

17. Has any owner, partner and/or officer of your firm operated or been connected to a construction firm under any other name in the last five years not listed in Section A or Section B above at any time in the past five years? ☐ Yes ☐ No

(If yes, provide the person's name, construction firm name, and dates of participation.)

| Name | Construction Firm | Dates of Participation |
|------|-------------------|------------------------|
| | | |
| | | |
| | | |
| | | |

C. ESSENTIAL CRITERIA QUESTIONS – Minimum Qualifications

1. Does your firm possess a valid and current California Contractor's or other professional license as required by law for the project or projects for which it intends to submit a bid? ☐ Yes ☐ No
2. Is your firm registered with DIR as a Public Works Contractor for the current fiscal year? ☐ Yes ☐ No
3. Does your firm have a liability insurance policy with a policy limit of at least \$5,000,000 combined single limit? ☐ Yes ☐ No
4. Does your firm have current workers' compensation insurance policy as required by the Labor Code or is your firm legally self-insured pursuant to Labor Code section 3700 et. seq.? ☐ Yes ☐ No
5. Have you attached your firm's latest copy of reviewed or audited financial statements with accompanying notes and supplemental information? ☐ Yes ☐ No

NOTE: Financial statements that are not either reviewed or audited are not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statements.

6. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) authorized to issue bonds in the State of California, which states that: (a) your current bonding capacity is sufficient for the project for which you seek pre-qualification. ☐ Yes ☐ No

NOTE: Notarized statement must be from the surety company, not an agent or broker.

Questions below referring to "your firm" means the firm completing the application and any firm identified in Section A or Section B above.

7. Has your firm had your contractor's or other professional license been revoked at any time in the last five years? ☐ Yes ☐ No
8. Has a surety firm completed a contract on behalf of your firm because your firm was in default and/or terminated by a project owner within the last five years? ☐ Yes ☐ No

9. Is your firm, any of its officers, supervisors, managers ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to Labor Code section 1777.1, Labor Code section 1777.7, or any other federal, state, county, municipal or other local law providing for the debarment of the contractors from public works. ☐ Yes ☐ No
10. Has your firm, any of its officers, supervisors, managers, or any firm or individual identified above in Section A and/or B been convicted of a crime involving the awarding of a contract of a government construction project, the bidding or performance of a government contract, antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing wages, hours or labor standards, or laws involving fraud, theft, or any other act of dishonesty? ☐ Yes ☐ No
11. Is your firm currently the debtor in a bankruptcy case? ☐ Yes ☐ No
- (If yes, attach a copy of the bankruptcy petition showing the case number and date on which the petition was filed.)
12. Has your firm, any of its officers, supervisors, managers ever been terminated from a public works contract, including but not limited to termination based on any misconduct, such as failure to comply with contractual, statutory, or other legal obligations from any public construction project? ☐ Yes ☐ No
13. Does your firm, any of its officers, supervisors, managers currently have any delinquent liability to an employee, the state, or any awarding body for any assessment of back wages or related damages, interest, fines or penalties pursuant to any final judgement, order, or determination by any court or any federal, state, or local administrative agency, including a confirmed arbitration award? ☐ Yes ☐ No

* Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 percent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is \$10 million, and 25 percent of that amount, therefore, is \$2.5 million.

** An additional notarized statement from the surety may be requested by the County at the time of submission of a bid if this pre-qualification questionnaire is submitted more than 60 days prior to submission of the bid.

D. PREQUALIFICATION CRITERIA QUESTIONS

Questions below referring to “your firm” means the firm completing the application and any firm identified in Section A or Section B above.

Prior History

- | | | | | | | |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. How many times has your firm, or any of its officers, supervisors, or managers, declared bankruptcy at any time during the last five years? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| (This question refers only to a bankruptcy action that was not described in your answer to Question 11 in Section C. If yes, attach a copy of the bankruptcy Court’s discharge order or any other document that concluded the case if no discharge order was issued.) | | | | | | |
| 2. How many times has your firm, or any of its officers, supervisors, or managers, had an injunction, judgment, order, or lien entered against it for outstanding taxes assessed or fines, penalties and/or unpaid employee wages at any time in the last five years? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| (Explain on a separate sheet. Provide details, including the name of the government agency, caption, date, case or docket number, and disposition. Be sure to note any judgments or liens that have not been fully satisfied.) | | | | | | |
| 3. How many times in the past five years, has your firm, or any of its officers, supervisors, or managers, been a party in any civil litigation or administrative proceeding alleging violation of any of the following: contract antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing wages, hours or labor standards, or laws involving fraud, theft, or any other act of dishonesty? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| (Explain on a separate sheet. Provide details including the nature of the claims and defenses, caption, date, case or docket number, name of the court or agency before which the case is pending or which it was heard, and current status.) | | | | | | |
| 4. How many times in the past five years, has your firm, or any of its officers, supervisors, or managers, been a party in any civil litigation or administrative proceeding alleging a violation by a subcontractor hired by your firm of any of the following: contract antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing wages, hour or labor standards, or laws involving fraud, theft, or any other act of dishonesty? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain on a separate sheet. Provide details including the nature of the claims and defenses, caption, date, case or docket number, name of the court or agency before which the case is pending or which it was heard, and current status.)

- | | | | | | | |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 5. How many times in the past five years, has your firm, or any of its officers, supervisors, or managers, paid any amount, fine or otherwise, regardless of characterization, to settle any of the allegations listed in Questions 3 and 4 above, whether with or without an admission of responsibility or liability? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain on a separate sheet. Provide details, including the caption, date, case or docket number, and name of the court or agency before which the case was brought.)

- | | | | | | | |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 6. How many times has your firm, or any of its officers, supervisors, or managers, been debarred, suspended, disqualified, denied a classification rating or pre-qualification or otherwise been declared not responsible to or prevented from bidding or performing work on any public works contract or subcontract in the last five years? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain on a separate sheet. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, name of the person within your firm who was associated with that company, date, owner of the project, project name and information, basis for the action, and case or docket number.)

- | | | | | | | |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 7. How many times in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain on a separate sheet. Identify all such projects by owner, owner's address, date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.)

- | | | | | | | |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 8. How many times during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf, in connection with a construction project, either public or private? | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain on a separate sheet. Identify the amount of each such claim, name and telephone number of the claimant, date of claim, grounds for claim, present status of claim, date of resolution of such claim if resolved, method by which claim was resolved if resolved, nature of resolution and amount, if any, at which claim was resolved.)

- | | | | | | | |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 9. How many times in the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for your | 0 | 1 | 2 | 3 | 4 | 5+ |
| | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

firm?

(Explain on a separate sheet. Name the insurance carrier, form of insurance, and year of refusal.)

10. How many times during the last five years, has your firm been denied bond coverage by a surety company, or has there been a period of time when your firm had no surety bond in place during a public works construction project when one was required? (Explain on a separate sheet. Indicate the date when your firm was denied coverage, name of the company or companies which denied coverage, and the time period during which you had no surety bond in place.)
- | 0 | 1 | 2 | 3 | 4 | 5+ |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Criminal Matters and Civil Suits

11. How many times has your firm, or any of its officers, supervisors, or managers, ever been convicted of a crime involving any federal, state, or local law related to construction? (Explain on a separate sheet. Identify who was involved, name of the public agency, date of conviction, and grounds for conviction.)
- | 0 | 1 | 2 | 3 | 4 | 5+ |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
12. How many times has your firm, or any of its officers, supervisors, or managers, ever been found liable in civil suit or convicted of a federal or state crime of fraud, theft, or involving any other act of dishonesty, such as making any false claim or material misrepresentations? (Explain on a separate sheet. Identify the person or persons convicted or found liable, court [the county if a state court, the district or location if federal court], year, and conduct involved).
- | 0 | 1 | 2 | 3 | 4 | 5+ |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

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

13. How many times in the last five years has any claim against your firm concerning your firm’s work on a construction project been filed in court or arbitration? (Explain on a separate sheet. Identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim [e.g. “pending” or, if resolved, a brief description of the resolution].)
- | 0 | 1 | 2 | 3 | 4 | 5+ |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

14. How many times in the last five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?
- | | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 0 | 1 | 2 | 3 | 4 | 5+ |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain on a separate sheet. Identify the claim(s) by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim [e.g. “pending” or if resolved, a brief description of the resolution]).

Occupational Health and Safety Compliance

15. How many times in the last five years has CalOSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violation(s) of the federal Occupational Safety and Health Administration cited and assessed penalties against your firm for violation(s) of safety or health regulations?
- | | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 0 | 1 | 2 | 3 | 4 | 5+ |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

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.

16. How many times in the last five years has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor? (Explain on a separate sheet describing each citation.)
- | | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 0 | 1 | 2 | 3 | 4 | 5+ |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

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

17. How many times within the last five years has there ever been a period when your firm had employees but was without workers’ compensation insurance or state-approved self-insurance?
- | | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 0 | 1 | 2 | 3 | 4 | 5+ |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

(Explain the reason for each absence of workers’ compensation insurance on a separate sheet. If “None,” please provide a statement by your current workers’ compensation insurance carrier that verifies periods of workers’ compensation insurance coverage for the last five years.

Prevailing Wage and Apprenticeship Compliance

18. How many times during the last five years, has your firm been required to pay back wages and/or penalties related to **state or federal** prevailing wage laws for work performed by **your firm**? 0 1 2 3 4 5+
☐ ☐ ☐ ☐ ☐ ☐

(Explain on a separate sheet. Describe the nature of each violation and identify the name of the project, date of its completion, public agency for which it was constructed, number of employees underpaid, and amount(s) of back wages and penalties your firm was required to pay.)

NOTE: Question 18 refers only to the violation of prevailing wage laws by your firm, not to violations by a subcontractor.

19. How many times during the last five years, has your firm or any subcontractors hired by your firm been required to pay back wages and/or penalties related to **state or federal** prevailing wage laws for work performed by a **subcontractor**? 0 1 2 3 4 5+
☐ ☐ ☐ ☐ ☐ ☐

(Explain on a separate sheet. Identify the subcontractor's business name and CSLB license number, describe the nature of each violation, and identify the name of the project, date of its completion, public agency for which it was constructed, number of employees underpaid, and amount(s) of back wages and penalties your firm was required to pay.)

NOTE: This question refers only to the violation of prevailing wage laws by subcontractors, not to violations by your firm.

20. How many times during the last five years, has your firm paid any penalties related to any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works projects, including Labor Code sections 1777.5 and 1777.7? 0 1 2 3 4 5+
☐ ☐ ☐ ☐ ☐ ☐

(Explain on a separate sheet. Provide the date(s) of such findings, case number(s), and attach copies of the Department's final decision(s).)

21. How many times during the last five years, has any subcontractor hired by your firm paid any penalties related to any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works projects, including Labor Code sections 1777.5 and 1777.7? 0 1 2 3 4 5+
☐ ☐ ☐ ☐ ☐ ☐

Explain on a separate sheet. Provide the date(s) of such findings, case number(s), and attach copies of the Department's final decision(s).)

NOTE: Omissions, misrepresentations and any failure to disclose associations with other firms or any prior history of alleged violations may lead to loss of your eligibility to register as a Public Works Contractor, disqualification of bids, and/or grounds for termination of a contract.

E. RECENTLY COMPLETED CONSTRUCTION PROJECTS

Provide information about the firm's six most recently completed public works projects and its three largest completed private projects within the last three years. Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information: Only list projects your firm performed as the general contractor.

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

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

Construction Manager (name and current phone number):

Description of Project, Year Completed, DBB or DB, Scope of Work
Performed:

Original Contract Price: _____

Total Value of Construction (including change orders): _____

Change Orders Cost & Percent of Contract _____

Stop Notices Cost & Percent of Contract _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

F. DECLARATION & SIGNATURE

Questionnaires submitted by corporations must be signed with the legal name of the corporation, followed by the name of the state of incorporation and by the signature and designation of the chairman of the board, president or any vice president, and then followed by a second signature by the secretary, assistant secretary, the chief financial officer or assistant treasurer. All persons signing must be authorized to bind the corporation in the matter. The name of each person signing shall also be typed or printed below the signature. Satisfactory evidence of the authority of each officer signing on behalf of a corporation shall be furnished.

Questionnaires submitted by partnerships must furnish the full name of all partners and must be signed in the partnership name by a general partner with authority to bind the partnership in such matters, followed by the signature and designation of the person signing. The name of the person signing shall also be typed or printed below the signature.

Each person signing below makes the following representations under penalty of perjury:

The submitter of the foregoing answers to the questionnaire has read the same and the matters stated therein are true to the best of his or her own personal knowledge. This information is provided for the purpose of qualifying to bid on the Project, and any individual, company or other agency named herein is hereby authorized to supply the awarding body with any information necessary to verify the prospective bidder's statements. By signing below, the submitter and the named contractor hereby grant permission to the County to contact any or all of the above listed persons or entities to confirm facts or otherwise investigate the above facts and issues.

The submitter understands that any statement which is proven to be false shall be grounds for immediate disqualification from bidding on the Project. The submitter whose signature appears below represents and warrants that he or she has authority to bind the named contractor.

I, _____ (Name), the undersigned, am the _____
(Title), with the authority to act for and on behalf of _____
(Contractor Entity Name), declare under penalty of perjury under the laws of the State of California that the foregoing information provided in this Pre-qualification Questionnaire is true, full, and correct.

I understand that making a false statement may result in disqualification from bidding on any public works project, registering as a Public Works Contractor with the Department of Industrial Relations, and may be grounds for termination of a public works contract.

Executed on this: _____ day of _____ at _____.
(Date) (Month/Year) (City/State)

Name of Contractor Representative: _____

Signature of Contractor Representative: _____

G. LIST OF REQUIRED ATTACHMENTS

The following required attachments are to be submitted as part of the Prequalification Application. These requirements have been previously specified as part of the application. This section is meant to further define what is required to be contained in the attachments and also to sum up the required documents that must be attached to the application.

Failure to provide all these attachments, unless specifically indicated as optional, will be cause for disqualification status for this project.

ATTACHMENT 1 – ORGANIZATION’S FINANCIAL STATEMENT

Financial Statement and Supplemental Information are required to be included as part of the Prequalification Application for General Contractors only. Information you must submit includes:

- A. Full set of your most recent year-end financial statements, accompanied by either an audit or review report by an independent Certified Public Accountant. The financial statement shall include all footnote disclosures and supplemental information. Compiled or internally prepared year-end financial statements will not be accepted. Statements which are older than nine (9) months must be supplemented by internal financial statements, which update the information to no less than three (3) months from the date of submission of the Prequalification Packet. This supplemental information does not need to be audited/reviewed but must be prepared in accordance with generally accepted accounting principles (GAAP), including all required information disclosures.
- B. Letter from a financial institution in support of available lines of credit or other facilities if you wish them to be considered in pre-qualification. Letter must be an original or a certified copy.

ATTACHMENT 2 - NOTARIZED STATEMENT FROM BONDING COMPANY

- A. Attach an original notarized statement from the bonding company your firm proposes to use indicating its commitment to provide a Bid Bond and a Performance and Payment Bond for the full amount of the contract for the Project named in this Prequalification Packet.
- B. Statement must also confirm the firm’s current bonding capacity.

ATTACHMENT 3 – PLAN FOR UTILIZING LOCAL WORKERS AND COMPANIES

- A. Contractor to prepare and attach a written plan outlining the efforts they anticipate implementing for outreach to obtain local workers, subcontractors, and material providers for this project.

**PREQUALIFICATION OF PROSPECTIVE BIDDERS LINE OF CREDIT LETTER
(Optional)**

Mendocino County
General Services Agency-
Facility and Fleet Division
841 Low Gap Road
Ukiah, California 95482
Attention: Doug Anderson

Subject: Unqualified Line of Credit Letter
Date:

Reference is made to the prequalification of _____ under Section 20101 of the Public Contract Code to perform a contract with the Mendocino County ("County"). We certify that the above contractor has been extended an unqualified line of credit not to exceed \$ _____, and that such credit will not be withdrawn or reduced without notice to the County.

It is understood that this unqualified Line of Credit Letter is to be used by the County solely for determining the financial resources of the said contractor during the term of his/her prequalification with the County.

(Name of Bank)

(Address)

(City)

(Telephone)

BY: _____
(Original Signature Required)

(Please type or print name and title)

PLEASE NOTE: The above form may be completed by your bank to augment your working capital. If they prefer, your bank may issue a Line of Credit Letter on their own letterhead, provided the Line of Credit Letter contains substantially the same provisions, is addressed to COUNTY, and bears an original signature.

END OF
APPLICATION
ON PREVIOUS

APPENDIX

- 1) Recent Construction Projects Interview Questions and Scoring
- 2) Sources for Verification of Information Given by Contractors
- 3) COUNTY's Insurance Requirements

SOURCES FOR VERIFICATION OF INFORMATION PROVIDED BY CONTRACTORS

The information provided to COUNTY by Contractors seeking prequalification is provided under oath, with the understanding that the intentional providing of false information is, in itself, grounds for disqualification. The following information is provided for reference by COUNTY staff and/or consultants as a reference for reviewing the answers provided when deemed appropriate by COUNTY staff.

Information about a Contractor's License(S)

Names and addresses of licensed contractors, information about the type of license(s) issued and the dates when licenses were issued (and certain other information), are available from the Contractors' State Licensing Board (CSLB), 9821 Business Park Drive, Sacramento, CA 95827. Telephone number 800-321-2752. The CSLB web site for public information is: www.CSLB.ca.gov.

Information about Workers' Compensation Insurance

Every workers' compensation insurance carrier issues to each of its insured businesses a Certificate of Insurance. The contractor should be willing to provide a copy upon request.

Each contractor's Experience Modification Rate for the year should be stated in a letter to the contractor from the contractor's workers' compensation insurance carrier.

Some large companies are legally self-insured for workers' compensation, with the consent and authorization of the Department of Industrial Relations. The names of companies that are legally self-insured are available from the Department's Office of Self-Insurance Plans, Workers' Compensation, 2265 Watt Avenue, Suite 1, Sacramento, CA 95825; (916) 483-3392.

The names of each business's current and recent workers' compensation insurance carriers are available from the Workers' Compensation Insurance Reporting Bureau (WCIRB). WCIRB is not a public agency but it provides information to the public. It will provide the names of the current and recent workers' compensation insurance carriers of every employer in California, in response to a written request, for a fee of \$8 for every year for which you seek information.

Information about Whether Surety Insurance Carriers are "Admitted" to do Business in California

The California Department of Insurance will verify whether an insurance carrier is "admitted" to issue insurance policies within the State. The Department has a "Hot-Line" number – 800-927-4357, and a web-site from which the information is available: www.insurance.ca.gov

Information on Disqualification from Bidding on Public Contracts

Information on the identities of contractors that have been disqualified from bidding on public works contracts is available from the California Labor Commissioner, Division of Labor Standards Enforcement, 455 Golden Gate Avenue, San Francisco, telephone (415) 703-4810.

Information Available from the Secretary of State about Corporations

The California Secretary of State has certain current and historical information about all corporations that operate in California: dates of incorporation, articles of incorporation, the name of the original incorporators, the names of the corporate officers (who are not necessarily the corporate stockholders) and an agent for service of process for the corporation. This information is available from the Secretary of State upon written request. (Secretary of State, Business Programs Division, 1500 Eleventh Street, Sacramento, CA 95814. Telephone (916) 653-2121 or 653-1239). The Secretary of State does not ordinarily have a listing of the names of initial stockholders or current stockholders, and that information is generally not available in any public record.

Information Available from County Clerks about Partnerships and Sole Proprietorships

Every business, including a partnership, that operates under a “fictitious name” (for example, “Ajax Sheet Metal Contractors” or “Smith Brothers Electrical Contractors”) is required to file with the County Clerk in the county in which its home office is located a “Fictitious Business Name” statement. This statement will indicate the owner of the business, if the business is a sole proprietorship, and the names of partners, if the business is a partnership. The information is available to the public from the County Clerk upon request. A written request may be necessary.

Information about Bankruptcy Proceedings

Bankruptcy petitions, which include the names of the person or business that is seeking protection from the Bankruptcy Court, are available for public inspection at the office of the Clerk of each Bankruptcy Court (which are federal courts). In California, Bankruptcy Courts are located in Sacramento, Modesto, Fresno, San Francisco, Oakland, San Jose, Los Angeles, Santa Ana, Riverside, and San Diego. Most documents filed in court in bankruptcy proceedings are available for public inspection, at the Bankruptcy Court clerk’s office. Some information on bankruptcy filings may also be available from commercial enterprises that collect and sell information from public records). In addition, some information about bankruptcy cases filed August 1990 and later is available on-line through the “PACER” (Public Access to Court Electronic Records) system. To obtain information from PACER, you must register with the system, and pay a fee for the materials obtained. Call 1-800-676-6856 or you may register online at <http://pacer.psc.uscourts.gov/>.

Information about Civil Suits and Arbitration Cases

Each court keeps records of every civil suit filed in that court, and of the judgments that are issued after trials. However, the exact terms of pre-trial settlements are generally not recorded in court files. Documents related to disputes submitted to arbitration are generally not available for public inspection. Public agencies, however, are required to disclose the terms of such settlements, when documents are requested under the California Public Records Act.

Information about Criminal Convictions

Criminal convictions are a matter of public record. Each courthouse (in both the federal and state court systems) has an index of its own criminal records. In addition, a few data collection

businesses have collected criminal conviction information from public records throughout the state, and the collected information about particular individuals or businesses is available for sale from these private businesses.

Information about Federal Court Civil and Criminal Cases

Information about federal criminal cases (filed August 1991 and later) and civil cases (filed August 1990 and later) is available on-line through the "PACER" (Public Access to Court Electronic Records) system. To obtain information from PACER, you must register with the system, and pay a fee for the materials obtained. Call 1-800-676-6856) or you may register online at <http://pacer.psc.uscourts.gov/>.

Information about Citations Issued for Violation of Industrial Safety and Health Laws

Information about citations issued by both the federal Occupational Safety and Health Administration and the California Division of Occupational Safety and Health (Cal OSHA) are available on a web-site maintained by federal OSHA, <http://www.osha.gov>. At that web site, click on "Library." On the Library page, click on "Statistics and Inspection Data." Next, click on "Establishment Search." When the next screen appears, enter the name of the contractor about whom you seek information in the "Establishment" window. In the "Process" window, enter the number 999999. Click on California in the "State" window. In the "Inspection Date" window, enter "1990." Then click the submit button.

Information about Prevailing Wage Law Violations

Information about recent prevailing wage law violations is available from the Division of Labor Standards Enforcement, at 2424 Arden Way, Suite 360, Sacramento, CA 95825. A model letter asking for such information is enclosed.

Citations from Either Air Quality or Water Quality Board for Violations of Regulations

Information about citations issued by the California Air Resources Board is available from that agency under the Public Records Act. Their address is 2020 L Street, Sacramento, CA 95814, or Post Office Box 2815, Sacramento, CA 95812. In addition, Regional Air Quality Management Districts and Regional Water Quality Control Boards throughout the state may issue citations for violation of air quality or water quality standards. Consult the appropriate board in your area for information about how to gather appropriate information.

Information about State-Approved Apprenticeship Plans and Violations of State Apprenticeship Laws

Information about violations of state apprenticeship laws can be obtained from the Division of Apprenticeship Standards, 455 Golden Gate Avenue, 8th Floor, Post Office Box 420603, San Francisco, CA 94142.

COUNTY'S INSURANCE REQUIREMENTS

The Contractor shall procure and maintain, for the duration of the Contract and for the period of twelve months after final acceptance of Contractor's work by the Mendocino County Board of Supervisors, insurance coverage as specified in the terms below. The language below will be incorporated into the contract between COUNTY and any contractor that is ultimately awarded a contract.

Maintenance of proper insurance coverages as described herein is a material element of this Contract. Failure to maintain or renew coverage or to provide evidence of renewal may be treated by COUNTY as a material breach of this Contract. The Contractor acknowledges that the insurance coverage and policy limits set forth in this Contract constitute the minimum amount of coverage required. Any insurance proceeds available to COUNTY in excess of the limits and coverage required in this Contract and which is applicable to a given loss, will be available to COUNTY.

CONTRACTOR shall obtain and maintain in full force and effect throughout the term of this Agreement, and thereafter as to matters occurring during the term of this Agreement, the following insurance coverage:

(a) Workers' Compensation insurance. To the extent required by law during the term of this Agreement, CONTRACTOR shall provide workers' compensation insurance for the performance of any of CONTRACTOR's duties under this Agreement, including but not limited to, coverage for workers' compensation and employer's liability and a waiver of subrogation, and shall provide COUNTY with certification of all such coverages upon request by COUNTY's Risk Manager.

(b) Liability insurance. CONTRACTOR shall obtain and maintain in full force and effect during the term of this Agreement the following liability insurance coverages, issued by a company admitted to do business in California and having an A.M. Best rating of A:VII or better, or equivalent self-insurance:

(1) General Liability. Commercial general liability [CGL] insurance coverage (personal injury and property damage) of not less than FIVE MILLION DOLLARS (\$5,000,000) combined single limit per occurrence, covering liability or claims for any personal injury, including death, to any person and/or damage to the property of any person arising from the acts or omissions of CONTRACTOR or any officer, agent, or employee of CONTRACTOR under this Agreement. If the coverage includes an aggregate limit, the aggregate limit shall be no less than twice the per occurrence limit.

2) Comprehensive Automobile Liability Insurance. Each party shall obtain and maintain in full force and effect during the term of this Agreement a comprehensive automobile liability insurance policy (Bodily Injury and Property Damage) on owned, hired, leased and non- owned vehicles used in conjunction with that party's activities under this Agreement of not less than TWO MILLION DOLLARS (\$2,000,000) combined single limit per occurrence.

(c) Certificates of Coverage. Where the foregoing coverages are provided by insurance rather than by self-insurance (written proof of which shall be provided to the other party), the

coverages shall be evidenced by one or more certificates of coverage which shall be filed with the other party's Secretary or Clerk prior to reimbursement for performance of any of the party's duties under this Agreement; shall reference this Agreement by its COUNTY number or title and department; and shall provide that the inclusion of more than one insured shall not operate to impair the rights of one insured against another insured, the coverage afforded applying as though separate policies had been issued to each insured, but the inclusion of more than one insured shall not operate to increase the limits of the company's liability. For the insurance coverages referenced in 7(b)(1) and (3), CONTRACTOR shall also file with the evidence of coverage an endorsement from the insurance provider naming COUNTY, its officers, employees, agents and volunteers as additional insureds and waiving subrogation, and the certificate or other evidence of coverage shall provide that if the same policy applies to activities of CONTRACTOR not covered by this Agreement then the limits in the applicable certificate relating to the additional insured coverage of COUNTY shall pertain only to liability for activities of CONTRACTOR under this Agreement, and that the insurance provided is primary coverage to COUNTY with respect to any insurance or self- insurance programs maintained by COUNTY. The additional insured endorsements for the general liability coverage shall use Insurance Services Office (ISO) Form No. CG 20 09 11 85 or CG 20 10 11 85, or equivalent, including (if used together) CG 2010 10 01 and CG 2037 10 01; but shall not use the following forms: CG 20 10 10 93 or 03 94. Upon request by the other party, the party shall provide or arrange for the insurer to provide the other party with certified copies of the actual insurance policies or relevant portions thereof within thirty (30) days of the request.

(d) Deductibles/Retentions. Any deductibles or self-insured retentions shall be declared to COUNTY's Risk Manager.