

Support Document

Pre-Qualification Questionnaire

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Step 1 — Pre-Qualification

- Contractor Information**
- Firm Name*
 - Contact Person*
 - Address*
 - Phone Number*
 - Fax Number
 - Email Address*
 - Contractor's License Number*
 - Program links to Contractor's State License Board page for that license number
 - Drop down menus to enter multiple License Classifications*

- Business Certifications**
- Select at least one business certification*:
- Minority Business (MBE)
 - Disadvantaged Business (DBE)
 - Disabled Veteran Business (DVBE)
 - Women Owned Business (WBE)
 - Small Business (SBE)
 - None

Qualification

Answer the Yes/No questions:

1. Does Contractor possess a valid and current California Contractor's license for the project or projects for which it intends to submit a bid?*
2. Does Contractor have a liability insurance policy in accordance with minimum State requirements?*
- If yes, a drop down form opens requesting amount of coverage.
3. Does Contractor have current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et Seq.?*
4. Has your firm or any of its owners or officers ever been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?*
5. Has any contractor's license held by your firm, or its responsible managing employee ("RME") or responsible managing officer ("RMO") been suspended or revoked at any time in the last five years?*
6. Has your firm registered using the Department of Industrial Relation's Public Works Contractor Online Application System as required by SB 854?*
- If yes, drop down forms opens requesting more information (Contractor Registration Number* and Expiration Date*).

Step 2 — General Requirements

- Business Structure** 7. Select Business Type (drop down menu):
- Corporation (date Incorporated*, under the laws of what state*)
 - Partnership (date of formation*, under the laws of what state*)
 - Sole Proprietorship (date of commencement of business*, person's name*, construction company*, dates of person's participation with company*).

- Business Information** 8. Please upload a copy of your latest reviewed or audited financial statement with accompanying notes and supplemental information. (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.)

Note: A financial statement that is not either reviewed or audited is 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 statement.*

- A checkbox is featured; By checking this box, I certify that my business qualifies as a small business as defined in GC 14837(d)(1) and an exempt from this requirement. If checked the Financial Statements upload form is removed.
9. Has your firm or any firm with which any of your company's owners, officers or members was associated, ever been disbarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?*
- If yes, a drop down form opens requesting more information (name of company*, name of the person within your firm who was associated with that company*, year of event*, owner of the project*, project name*, and basis for the action).
10. Has your firm ever been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?*
- If yes, a drop down form opens requesting more information (year of the event*, name of owner*, project name*, and basis for the finding by the public agency).
11. The following three 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 passthrough disputes in which the actual dispute is between a subcontractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

12. Has any claim against your firm concerning your firm's work on a Construction project ever been filed in court or arbitration?*
 - If yes, a drop down form opens requesting more information (project name*, date of claim*, name of claimant*, brief description of the nature of the claim, the court in which the case was filed*, a brief description of the status of the claim).
13. Has your firm ever filed a claim in court or arbitration against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?*
 - If yes, a drop down form opens requesting more information (project name*, date of claim*, name of entity (or entities) against whom the claim was filed*, brief description of the nature of the claim, the name of the court in which the case was filed*, brief description of the status of the claim).
14. Has your firm had a contract for a public work of improvement that was terminated for cause by a public agency? Note: you need not answer yes if the public entity terminated the contract for convenience.*
 - If yes, a drop down form opens requesting more information (owner's name*, name of your bonding company*, original contract value*, value of the work terminated*, brief explanation of the circumstances leading to the termination).
15. Has your firm ever agreed with a public entity that your firm would not bid on future projects advertised by the public entity for a specified period of time?*
 - If yes, a drop down form opens requesting more information (name of public entity*, year of agreement*, period of time during which your firm agreed not to bid*).
16. Has any surety company ever 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? *
 - If yes, a drop down form opens requesting more information (amount of such claim*, name of claimant*, telephone number of claimant*, date of claim*, grounds for the claim, present status of claim*, date of resolution of such claim if resolved*, method by which claim was resolved if resolved*, nature of the resolution*, amount of resolution*).
17. Has your firm or any of its owners, partners or members 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?*
 - If yes, a drop down form opens requesting more information (name of people involved*, name of public agency*, date of investigation*, grounds for the finding, name of claimant*, telephone number of claimant*).

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

 - If yes, a drop down form opens requesting more information (name of people involved*, name of public agency*, date of conviction*, grounds for conviction).

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

 - If yes, a drop down form opens requesting more information (name of person or persons convicted*, name of the court (include the name of the county if a state court or the district or location if federal court)*, year of the event*, description of criminal conduct).

20. Within 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 construction project when one was required?*

 - If yes, a drop down form opens requesting more information (date when your firm was denied coverage*, name of company or companies which denied coverage, the period during which no surety bond was in place*).

21. 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?*

 - If no, please upload a statement from your workers' compensation insurance carrier verifying coverage for the last five years (include dates and policy numbers on carrier letterhead) by pressing the 'ADD STATEMENT' button. If your firm has been in business for less than five years, upload a statement from your workers' compensation insurance carrier verifying continuous coverage for the period your firm has been in the construction business.*

Step 3 — History and Performance

Company History

22. Has there been any change of more than 10 percent in ownership of the firm at any time during the last three years? Note: A corporation whose shares are publicly traded is not required to answer this question.*

 - If yes, a drop down form opens requesting more information (year of change in ownership* and area to provide explanation).

23. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?*

 - If yes, a drop down form opens requesting more information (area to provide explanation)*.

Note: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner or officer of your firm holds a similar position in another firm.

24. Are any corporate officers, partners or members connected to any other construction firms?*
- If yes, a drop down form opens requesting more information (area to provide explanation).*

Note: include information about other firms if an owner, partner or officer of your firm holds a similar position in another firm.

25. Gross revenues (drop downs to add three or more years of gross revenues) If your firm has not been in business for three years, enter \$0 for the gross revenue amount of prior years. Press the 'ADD GROSS REVENUE YEAR / AMOUNT' button to add revenues for each year.*
26. How many years has your organization been in business in California as a contractor under your present business name and license number?*
- Drop down selection menu
27. Is your firm currently the debtor in a bankruptcy case? If so, please upload a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed*
- If yes, an upload form is added to attach bankruptcy petition by pressing the 'ADD BANKRUPTCY PETITION' button.
28. Was your firm in bankruptcy at any time during the last five years? If so, please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and please attach a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued*
- If yes, an upload form is added to attach bankruptcy petition or discharge order.

Licenses

29. If any of your firm's license(s) are held in the name of a corporation, partnership, or limited liability company, 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. ▪
A text box is provided to enter the required information.
30. Has your firm changed names or license number in the past five years?*
- If yes, drop down area opens to provide explanation, including the reason for the change.
31. Has any owner, partner, member or (for corporations or limited liability companies) officer of your firm operated a construction firm under any other name in the last five years?*
- If yes, drop down area opens to provide explanation, including the reason for the change.

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Disputes

32. At any time 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?*
- If yes, drop down opens: Enter information about projects in which your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner. Press the 'Add Project' button to add additional projects. Each drop down form is requesting name of project*, owner's name*, owner's address*, date of completion of the project*, amount of liquidated damages assessed*, further explanation*.
33. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?*
- If yes, a drop down form opens requesting more information (name of insurance carrier*, form of insurance*, year of the refusal*).
34. In the last three years has your firm held a public works contract on which more than three (3) stop payment notices were served against your firm?*
- If yes, a drop down form opens up requesting more information (name of project*, dollar value of project*. Yes/No option: Did any Stop Payment Notice result in a claim against your Payment Bond?*).

Bonding

35. Firm's current maximum bonding capacity*
36. Provide the name and address of your bonding company*
37. Was your firm required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years?*
- If yes, provide percentage firm was required to pay* (drop down menu to select percentage and area for explanation).
38. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds.*
- Area to provide explanation.

Compliance

39. Has CAL OSHA cited and assessed penalties against your firm for any serious, willful or repeat violations of its safety or health regulations in the past five years?*
- If yes, number of CAL OSHA penalties* (drop down selection menu) and area to provide description of citation, dates of citation*, area to provide nature of violation, name of project*, amount of penalty paid*. Yes/No option: Was citation appealed to the Occupation Safety and Health Appeals Board?* If yes, drop down form opens up for case number*, status of decision*, decision*, date of decision*.
40. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?*

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- If yes, number of Federal Occupational Safety and Health Administration citations* (drop down to select number), area for description of citation(s), and the date of citation*.
41. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?*
- If yes, drop down for number of citations* (select number), area for description of citation(s), and date of citation*.
42. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?*
- Drop down menu to select frequency (weekly, monthly, quarterly, other).
43. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years.* Press the 'ADD EMR RATE' button to add each year* and select the rate*.
44. Please upload a copy of your most recent EMR letter(s)* Press the 'ADD EMR LETTER' button to upload a letter (or letters) from your broker that verifies your EMR rates for last three years.
45. Has there been an occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the state's prevailing wage laws? If the answer is yes, enter one or more wage violations by pressing the 'ADD STATE WAGE VIOLATION' button below NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.*
- If yes drop down opens for name of project*, nature of violation*, public agency name*, number of unpaid employees*, penalty and back wages paid*. Press 'ADD STATE WAGE VIOLATION' button to add additional violations.
46. During the last five years, has there been an occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements?*
- If yes, drop down form opens: Number of occasions in which your own firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements. Drop down menu to select number and area to add description of each violation, name of project*, date of completion*, name of public agency*, number of employees who were initially underpaid*, amount of back wages and penalties required to pay*.
47. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?*

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- If yes, drop down opens for number of apprenticeship law violations* (select number) and date(s) of such findings*.

Step 4 — Recent Construction Projects***Project History***

48. Provide the information requested below for the six largest public works projects for an educational institution and three largest private works of improvement on which you have completed your scope of work in the last five years. If you do not have six projects in education, list those first then all other public works. If you are a general contractor, list projects that your firm performed as the general contractor in charge of all trades for the construction of a building. If you are a M/E/P contractor, list your largest projects in both categories. "Largest" means highest contract dollar value, including change orders. Reference names and phone numbers must be current and verifiable. Provide email addresses for all references where feasible. Press the 'ADD PROJECT' button to add detailed information about each relevant project your company has worked on.*

- Project name*
- Project type*
- Location*
- Owner*
- Owner Contact (Name and Current Phone #)*
- Owner Contact Email*
- Architect or Engineer*
- Architect or Engineer Contact (Name and Current Phone #)*
- Architect or Engineer Contact Email
- Construction Manager*
- Construction Manager Contact (Name and Current Phone #)*
- Construction Manager Email
- Description of Project, Scope of Work Performed*
- Total Value of Construction (including change orders)*
- Original Value of Construction*
- Original Scheduled Completion Date*
- Time extensions granted (# of days)*
- Actual date of completion

5 — Finish

District Requirements Select at least one district to send this application to. When the application is submitted each district that is selected below will receive an email notifying them of your application.

Additional District Requirements The districts can create additional requirements in the Admin / Pre-Qual settings.

Submit Application Before the contractor can submit the application; they are prompted to agree to the following:

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

Note to contractor: Once your application has been submitted you will no longer be able to make modifications unless it is returned to you by a district for corrections or updates.