

**SAN RAFAEL CITY SCHOOLS  
ANNUAL PREQUALIFICATION QUESTIONNAIRE FOR  
PROSPECTIVE CONTRACTORS**

Pursuant to Public Contract Code section 20111.6, each prospective prime contractor (referred to herein as "Contractor") shall submit the following information to establish its qualifications to perform construction work as the prime contractor on District Lease-Leaseback and projects using funds received pursuant to the Leroy F. Greene School Facilities Act of 1998 or any funds received, including funds reimbursed, from any future state school bond for a public project that involves a projected expenditure of one million dollars (\$1,000,000) or more.

**A. CONTRACTOR'S INFORMATION**

Firm name: \_\_\_\_\_  
\_\_\_\_\_

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

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Mobile Telephone: \_\_\_\_\_

E-mail: \_\_\_\_\_

By: \_\_\_\_\_ Date: \_\_\_\_\_  
(Name of individual completing statement)

Years in business as a licensed contractor: \_\_\_\_\_

Types of work performed with own forces: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Years in business under current firm name: \_\_\_\_\_

Years at the above address: \_\_\_\_\_

Receipt and acceptance of the following addenda is hereby acknowledged:

No. \_\_\_\_\_, Dated \_\_\_\_\_

No. \_\_\_\_\_, Dated \_\_\_\_\_

No. \_\_\_\_\_, Dated \_\_\_\_\_

**B. CURRENT ORGANIZATION AND STRUCTURE OF THE BUSINESS**

1. For Firms that Are Corporations:

- a. Date incorporated: \_\_\_\_\_
- b. Under the laws of what state: \_\_\_\_\_
- c. 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 10% of the corporation's stock.

Name	Position	Years with Co.	% Ownership

2. For Firms that Are Partnerships:

- a. Date of formation: \_\_\_\_\_
- b. Under the laws of what state: \_\_\_\_\_
- c. Provide all the following information for each partner who owns ten percent (10%) or more of the firm.

Name	Position	Years with Co.	% Ownership

3. For Firms that Are Sole Proprietorships:

- a. Date of commencement of business: \_\_\_\_\_

4. For Firms that Intend to Bid as a Joint Venture:

- a. Date of commencement of joint venture: \_\_\_\_\_
- b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects. Attach all additional references and/or information on separate signed sheets.

Name of Firm	% of Ownership of Joint Venture

5. Associated Firms

For any of the above business structures, 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 past 5 years.

Person's Name	Name of Construction Firm & License No.	Dates of Person's Participation with Firm

Attach all additional references and/or information on separate signed sheets.

**C. HISTORY OF THE BUSINESS AND ORGANIZATIONAL PERFORMANCE**

1. Has there been any change in ownership of the firm at any time during the past 5 years? NOTE: A corporation whose shares are publicly traded is not required to answer this question.

- Yes       No

If "yes," explain on a separate signed sheet.

2. Is the firm a subsidiary, parent, holding company, or affiliate of another construction firm? NOTE: Include information about other firms if one firm owns 10% or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

- Yes       No

If "yes," explain on a separate signed sheet. Include name of the related company and percent ownership.

3. Are any corporate officers, partners or owners connected to any other construction firms? NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.

- Yes       No

If "yes," explain on a separate signed sheet.

4. Has any owner, partner, CSLB qualifier or corporate officer of the firm operated as a contractor under any other name or license number (not listed above) in the last 5 years?

- Yes       No

If "yes," explain on a separate signed sheet, including the name and license number of the other company.

5. State your firm's gross revenues for each of the past 3 years:

Year	Gross Revenue
	\$
	\$
	\$

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

7. Is your firm currently the debtor in a bankruptcy case or was in bankruptcy at any time during the last 5 years?

- Yes       No

If "yes," please attach a copy of the bankruptcy petition and a copy of the Bankruptcy Court's discharge or any other document that ended the case, if any.

**LICENSES/REGISTRATION**

8. Please provide the following licensing information:
- a. Name of license holder exactly as on file with the California State License Board: \_\_\_\_\_  
\_\_\_\_\_
  - b. License classification(s): \_\_\_\_\_
  - c. License #: \_\_\_\_\_
  - d. Expiration Date: \_\_\_\_\_
  - e. Public Works Contractor’s Registration # as on file with Department of Industrial Relations: \_\_\_\_\_
9. Has any CSLB license held by your firm or its Responsible Managing Employee or Responsible Managing Officer been suspended or revoked within the last 5 years?
- Yes       No
- If “yes,” explain on a separate signed sheet.
10. Has your firm changed names or license number in the past 5 years?
- Yes       No
- If “yes,” explain on a separate signed sheet, including the reason for the change.

**DISPUTES**

11. At any time in the last 5 years, has your firm been assessed liquidated damages under a construction contract with any public or private owner?
- Yes       No
- If “yes,” explain on a separate signed sheet, identifying projects by owner, owner’s address, and date of completion.
12. At any time in the last 5 years, has your firm, or any owners, officers or partners, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any public works project?
- Yes       No
- If “yes,” explain on a separate signed sheet, including the name of the person who was associated with that company, the year of the event, owner, owner’s address and basis for the action.

13. At any time in the last 5 years, has a public agency found your company was not a responsible bidder?
- Yes       No
- If "yes," explain on a separate signed sheet, including the year of the event, owner, owner's address and basis for the finding.
14. In the past 5 years, has any claim exceeding \$50,000 against your firm or by your firm against an owner been filed in court or arbitration concerning your firm's work or payment on a construction project?
- Yes       No
- If "yes," explain on a separate signed sheet, including the project name, court or arbitration case name and number, and a brief description of the status of the claim.

### **INSURANCE**

15. Does Contractor have liability insurance policy with a policy limit of at least \$5,000,000 per occurrence and \$10,000,000 aggregate?
- Yes       No
- If "No," provide on a separate signed sheet what limits are available to the Contractor.
16. Does Contractor have current workers' compensation insurance policy as required by the California Labor Code or is legally self-insured pursuant to California Labor Code section 3700 *et seq.*?
- Yes       No
17. In the last 5 years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?
- Yes       No
- If "yes," explain on a separate signed sheet, including the name of the insurance carrier, form of insurance and year of the refusal.

### **CRIMINAL MATTERS AND RELATED CIVIL SUITS**

18. Has your firm or any of its owners, partners or officers ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?
- Yes       No
- If "yes," explain on a separate signed sheet, identifying who was involved, name of the public agency, date of the investigation and grounds for the filing.

19. Has your firm or any of its owners, partners or officers ever been convicted of a crime involving any federal, state, or local law related to construction or fraud, theft, or any other action of dishonesty?

Yes       No

If "yes," explain on a separate signed sheet, identifying who was involved, name of the public agency, date of conviction and grounds for the conviction.

**SAFETY**

20. Within the past 5 years, has the California or federal OSHA cited and assessed against your firm, or any associated firm, for "serious," "willful" or "repeat" violations of its safety or health regulations?

Yes       No

If "yes," explain on a separate signed sheet, identifying the citation(s), nature of the violation(s), project, and amount of penalty paid, if any.

21. Within the past 5 years, has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against your firm or the owner of the project on which your firm was the Contractor?

Yes       No

If "yes," explain on a separate signed sheet, describing the citation(s).

22. State the Contractor's Workers' Compensation Experience Modification Rate for the past 3 premium years:

Year	Modification Rate

If your EMR is 1.00 or higher, you may attach a letter of explanation.

23. Within the past 5 years, has there ever been a period when your firm and/or any associated firm had employees but was without workers' compensation insurance or state-approved self-insurance?

Yes       No

If yes, explain on separate sheet, including the date(s) and reason(s) for the absence of workers' compensation insurance.

**PREVAILING WAGE AND APPRENTICESHIP COMPLIANCE**

24. In the past 5 years, has there been more than one occasion in which your firm was required to pay either back wages or penalties for your firm’s failure to comply with California prevailing wage laws or federal Davis-Bacon prevailing wage requirements?

- Yes       No

If “yes,” explain on a separate signed sheet, describing the nature of the violation(s), project, owner, and amount paid, if any.

25. At any time during the past 5 years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or laws pertaining to use of apprentices on public works projects?

- Yes       No

If “yes,” explain on a separate signed sheet, including date(s) of such findings and attaching the DAS’ final decision(s).

**BONDING**

26. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance and authorized to issue bonds in the State of California), which states your current bonding capacity?

- Yes       No

27. Provide the name, address and telephone number of the surety agent:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

28. List all sureties that have written bonds for your firm currently and during the last 5 years:

Name	Address	Dates of bonds

29. In the last 5 years, has any surety paid on your firm’s behalf as a result of a default to satisfy any claims made against a payment or performance bond issued on your firm’s behalf?

- Yes       No

If “yes,” explain on a separate signed sheet, including the amount of each claim, name and telephone number of claimant, date of and grounds for the claim, and present status.

30. If your firm was required to pay a premium of more than 1% for a performance and payment bond on any project on which your firm worked in the last 3 years, state the percentage that your firm was required to pay: \_\_\_\_\_.

You may explain on a separate sheet, why you were required to pay a premium of more than 1%.

31. In the last 5 years, has your firm ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place when one was required?

Yes       No

If "yes," explain on a separate signed sheet, including the name of the surety company and the period during which your firm had no bond in place.

**D. PROJECT REFERENCES**

List at least 3 of your firm's most recent California K-12 projects (both under construction and completed), with a total contract price of \$1 million or more in which the Contractor under all firm names identified in Section B has participated on the form attached as Exhibit A. Please include all projects performed under all firm names identified in Section B. Please identify all projects utilizing Lease-Leaseback project delivery method. Use and attach additional signed sheets when needed to explain or clarify any response or to include more responses with all requested information.

**E. FINANCIAL INFORMATION**

Contractor must submit a reviewed or audited financial statement with accompanying notes and supplemental information for the past two (2) full fiscal years. A letter verifying availability of a line of credit may also be attached; however, it will be considered supplemental information only, and is not a substitute for the required financial statement.

**CERTIFICATION**

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct:

Date: \_\_\_\_\_

Proper Name of Contractor: \_\_\_\_\_

\_\_\_\_\_

Signature by an officer of the Contractor: \_\_\_\_\_

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

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



**EXHIBIT A**

1. Project Name/Identification:

- a. Project Name: \_\_\_\_\_  
\_\_\_\_\_
- b. Project address/location: \_\_\_\_\_  
\_\_\_\_\_
- c. Owner (name of district reference and tel. no.): \_\_\_\_\_  
\_\_\_\_\_
- d. Architect (name and tel. no.): \_\_\_\_\_  
\_\_\_\_\_
- e. Construction Manager (name and tel. no.): \_\_\_\_\_  
\_\_\_\_\_
- f. Scope of Work: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- g. Original completion date: \_\_\_\_\_
- h. Actual date of completion: \_\_\_\_\_
- i. Time extensions granted: \_\_\_\_\_
- j. Initial contract value: \_\_\_\_\_
- k. Final contract value: \_\_\_\_\_

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

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