



REDWOODS COMMUNITY COLLEGE DISTRICT
7351 Tompkins Hill Rd
Eureka, CA 95501

PREQUALIFICATION OF PROSPECTIVE BIDDERS

CREATIVE ARTS BUILDING
ESTIMATED ABOVE \$18,000,000

COLLEGE OF THE REDWOODS
EUREKA MAIN CAMPUS

June 7, 2021

Revised June 15, 2021 – Section 5, Questions 5 & 6 modified

2nd Revision June 25, 2021 – Section 2, 6i; Section 5, Questions 5 & 6; and Section 6, Question 16

NOTICE IS HEREBY GIVEN that the Redwoods Community College District, acting by and through its Governing Board, (“District”) will receive sealed General Contractors Prequalification Applications for the **CREATIVE ARTS BUILDING** project.

The District will not open bids for the Project above from bidders who were not prequalified by the District’s Prequalification team. **Bid documents for the Project are expected to be released on or about August 12, 2021.** In order to Prequalify to Bid, the Bidder shall return this fully completed Application on or before the deadline set forth at the Notice to Contractors. The Bidder shall submit the complete Prequalification Application package in accordance with the information below:

College of the Redwoods
7351 Tompkins Hill Rd, Eureka, CA 95501
Attention: Julia Morrison - Vice President, Administrative Services
CREATIVE ARTS BUILDING

All Bidders on this Project must be Prequalified prior to submitting a Bid. Prequalification Applications are required to be submitted to the District **prior to 2:00PM, July 8, 2021**, on a clock designated by the District as the official clock. The District is not responsible for ANY DELAY on receipt of submittals through any common carrier or other means of transmission. Faxed submittals are NOT acceptable. Bidders deemed by the District as Prequalified to bid on this Project shall be notified within seven (7) calendar days after the submission deadline for Prequalification Applications.

The District reserves the right to cancel this Prequalification in its entirety at any time, and to cancel this Prequalification and resolicit new Applications with revised evaluation and scoring criteria. The District also

reserves its right to cancel this Prequalification process and Bid the project with competition open to all responsive and responsible Bidders if the District determines this is in its best interests. The District shall not be liable to the applicants for the applicants' cost of responding to the Prequalification nor for any other damages occasioned by such cancellation. If this Prequalification is canceled after the Prequalification Application due date, the Applications will be returned to the applicants and no scoring results will be published.

This is a project-specific prequalification. Successful prequalification for earlier projects with the District will not substitute for applying for this project. Annual UPCCAA Prequalification with the District also will not substitute for applying for this project.

SECTION 1 NOTICE TO CONTRACTORS

Redwoods Community College District (District) in accordance with Public Contract Code Section 20651.5, hereby solicits Prequalification Applications from General Contracting firms, "Contractors". The Project subject to Prequalification is referred to as the "**CREATIVE ARTS BUILDING**", located at 7351 Tompkins Hill Rd, Eureka, CA 95501.

The College of the Redwoods **Creative Arts Building** project consists of abatement and demolition of an existing Creative Arts Building and the construction of (4) new one story, wood framed buildings (comprised of 5 separate structures), utilities, storm drain, landscape, irrigation & other site development. Interior alterations to an existing boiler room that is part of the Physical Education Building, and other Work indicated in the Contract Documents.

Bid documents for construction are expected to be released on or about **August 12, 2021**.

1. **Submittal of Prequalification Application.** All Prequalification Applications shall be submitted on or before the date/time set forth above on District forms which may be obtained from the District's Purchasing Website link: <https://www.redwoods.edu/businessoffice/Purchasing>. Contractors are solely responsible for timely obtaining and submitting the Prequalification Application. Failure to submit a completed Prequalification Application on or prior to the date and time noted above may render the Prequalification Application to be non-responsive and therefore may be rejected. The District's determination of whether a Bidder has been deemed a "Qualified Bidder" as a result of the Prequalification process is final. Appeal of such a determination is limited to the procedures set forth in this Prequalification Application package based on Public Contract Code Section 20101.
2. **Cancellation of Prequalification.** The District reserves the right to cancel this Prequalification in its entirety at any time and to re-solicit new Prequalification Applications with revised evaluation and scoring criteria. The District also reserves its right to cancel this Prequalification process and Bid the project with competition open to all responsive and responsible Bidders if the District determines this is in its best interests. The District shall not be liable to the applicants for the applicants' cost of responding to the Prequalification nor for any other damages occasioned by such cancellation. If this Prequalification is canceled after the Prequalification Application due date, the Applications will be returned to the applicants and no scoring results will be published.

END OF SECTION 1

SECTION 2 PREQUALIFICATION APPLICATION

TO: CONTRACTORS

Redwoods Community College District (“District”) intends to solicit General Contracting firms (“Contractor”) Bids for construction of the Project referred to as **Creative Arts Building**.

The **Creative Arts Building** project consists of abatement and demolition of an existing Creative Arts Building and the construction of (4) new one story, wood framed buildings (comprised of 5 separate structures), utilities, storm drain, landscape, irrigation & other site development. Interior alterations to an existing boiler room that is part of the Physical Education Building, and other Work indicated in the Contract Documents.

As a condition of bidding on the Project and in accordance with the provisions of California Public Contract Code § 20101, the District requires that prospective bidders be Prequalified by the District prior to submitting a Bid on the Project. It is mandatory that all Contractors who intend to submit a Bid, fully complete the Prequalification Application, provide all materials requested herein, and be approved by the District to be on the final Prequalified Bidders list. No Bid will be accepted from a Contractor that has failed to comply with these requirements. 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 member of the Joint Venture must be separately Prequalified to Bid.

PREQUALIFICATION QUESTIONNAIRES ARE DUE PRIOR TO 2:00 PM, JULY 8, 2021.

The District will notify the Applicant if, in the District’s finding, the Applicant meets the District’s Prequalification requirements and may Bid Projects valued at greater than the amount of the Prequalification Application.

1. Prequalification Application

The District requires Contractors to answer to all questions contained in this Application including a complete statement of the prospective Bidder’s financial ability and experience in performing public works, and California Division of the State Architect (DSA) projects. These documents will be the basis of rating Contractors to determine whether a Bidder is Prequalified to Bid on this Project.

All Prequalified firms must submit a Validation Form (Section 9) **with the Bid package on the date and time Bids are due (not with this application package)** certifying that the information contained in the Application has not changed. If the information has changed or the firm’s ownership or financial status has changed, the firm must attach a separate sheet attached to the Validation Form with a full explanation. Any new annual financial statements or tax returns published since submittal of the Prequalification Application must also be attached. A copy of the Validation Form is attached hereto in Section 9.

2. Questions Regarding the Prequalification Application.

All questions regarding the Prequalification Application or prequalification process must be submitted **in writing** via email to: Steven-McKenzie@Redwoods.edu.

3. Submission of Completed Application.

One hard copy and one electronic copy on a flash drive of a fully completed Prequalification Application with all required documentation must be submitted to the District in a sealed envelope labeled “CONFIDENTIAL, Prequalification Application” and submitted to:

College of the Redwoods
7351 Tompkins Hill Rd, Eureka, CA 95501
Attention: Julia Morrison - Vice President, Administrative Services
CREATIVE ARTS BUILDING

4. Notarized Statement of Bonding Capacity

The Prequalification Applicant must attach a notarized statement from an admitted surety insurer authorized to issue bonds in the State of California which states the Contractor’s current available bonding capacity. The surety must be an admitted surety in the State of California and have an A.M. Best rating of VII A- or better.

5. Notarized Statement of Insurability.

The Prequalification Applicant must attach a notarized statement from a qualified insurer which states the current insurability of Contractor. The Contractor must provide \$5,000,000 per occurrence/\$10,000,000 aggregate in Comprehensive General Liability Insurance. Policies of insurance required of the Contractor will be accepted by the District only if the insurer(s) are all of the following: (a) A.M. Best rated A- or better; (ii) A.M. Best Financial Size Category VII or higher; and (iii) authorized under California law to transact business in the State of California and authorized to issue insurance policies in the State of California. All three requirements must be met in order for your submittals to be deemed responsive to the prequalification process.

6. Prequalification Requirements/Scoring.

To prequalify, each Contractor must meet or exceed the following minimum requirements:

- i) Ability to secure Project performance and payment bonds in the penal sum of **Twenty Five Million Dollars (\$25,000,000)**;
- ii) Provide truthful and acceptable answers to the questions in Section 5, **ESSENTIAL REQUIREMENTS FOR QUALIFICATION**;
- iii) Achieve a minimum total score of **70 points out of 100** on the scored questions in Section 6, **RATING QUESTIONS**; and
- iv) Meet all other requirements identified in this Prequalification Application.

Please note that NOT all questions in the questionnaire are rated; some questions simply ask for information about the contractor firm’s structure, officers and history. The scoring for all scored questions is set forth immediately below the question.

7. Submittal Requirements and Non-Responsiveness.

Each Prequalification Application submission will consist of the following:

- The completed Prequalification Application Form, Sections 3-8
- A Reviewed or Audited Financial Statement, with a Certificate or Cover Letter from the Accounting Firm that Created the Statement;

- Notarized Statement of Bonding Capacity;
- Notarized Statement of Insurability
- All required attachments for information requested in Sections 5 and 6

Prequalification Application submissions not containing the above-referenced requisite documents, complete with all information required and bearing the signature of the Contractor's duly authorized representative under penalty of perjury may render the Prequalification Application non-responsive and may therefore be rejected. All Contractor information or responses in the Prequalification Application, and other documents accompanying the Prequalification Application, shall be complete, accurate and true. If the District determines that any information provided by a Contractor in the Prequalification Application submission is false or misleading or is incomplete to be false or misleading, the District may reject the Prequalification Application submitted by such Contractor as being non-responsive.

8. Waiver of Irregularities.

The District reserves the right to waive minor irregularities in the information contained in the Prequalification Application submitted, and to make all final determinations.

9. Late Applications.

The District may reject incomplete and/or late Applications. There is no appeal for failure to submit a complete Application or a late Application. The closing time for receiving Prequalification Applications will not be changed to accommodate supplementation of an incomplete submission of an Application, or a late submission of an Application. The closing time for receiving Prequalification Applications may be changed via addendum at District's discretion.

10. Confidentiality.

The completed Prequalification Applications submitted by Contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, investigation of substantial allegations, or in the appeal process. State law requires, however, that the names of Contractors applying for prequalification status shall be subject to disclosure.

11. Notification of Prequalification Results.

Notification of preliminary Prequalification results may be provided as soon as the Prequalification team has evaluated all submissions. This preliminary notification will allow for Contractor appeal, if any. Contractors will be notified by email message of their final Prequalification Status within 14 calendar days after the Prequalification Application deadline, or after all appeals, if any, have been resolved.

12. Post-Bid Determination of Responsibility.

While it is the intent of this Prequalification Application to assist the District in determining Bidder responsibility prior to Bid of Projects in excess of the minimum value on the Application, and to aid the District in selecting the lowest responsive and responsible Bidder, neither the fact of Prequalification, nor any Prequalification Score, will preclude the District from a post-Bid consideration and determination of whether a Bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed Project work, and has demonstrated the requisite trustworthiness.

13. Appeal of Prequalification Rating.

Where a timely and completed Prequalification Application results in a negative Section Five Prequalification finding, or a Section Six score below that necessary to Prequalify, a written Notice of

Appeal may be made by the Contractor. An appeal is begun by the Contractor by delivering such written notice to the Vice President of Administrative Services, for the District stating its intention to appeal of the decision with respect to its Prequalification finding or Prequalification Score, no later than three (3) working days after the District provides notice to Contractor of their preliminary Prequalification finding and score for the Application. The written Notice of Appeal shall set forth in detail all grounds for the appeal, including without limitation all facts, supporting documentation, legal authorities and argument in support of the grounds for the appeal. Any matters not set forth in the written Notice of Appeal shall be deemed invalid. All factual contentions must be supported by competent, admissible and credible evidence.

Unless the Contractor submits a timely Notice of Appeal, the Contractor waives any and all rights to challenge the decision of the District, whether by administrative process, judicial process or any other legal process or proceeding.

The Contractor may request a hearing. 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 four (4) working days after the District's receipt of the Notice of Appeal. The hearing shall be an informal process conducted by the District Vice President of Administrative Services or Director of Facilities and Planning, or other such person chosen by the District President. Either at or prior to the hearing, the Contractor will be advised of the basis for the District's Prequalification finding and scoring rationale. The Contractor will be given the opportunity to present information and present reasons in opposition to the Prequalification finding and score assigned by the District. Within two (2) working days after the conclusion of the hearing, the District will render a final decision. The District does not intend to delay or postpone the date for the submission and opening of any Bids to allow for completion of an appeal process. Any appeal not conforming to the foregoing shall be rejected by the District as invalid, and any such decision shall be final.

14. Cancellation of Prequalification.

The District reserves the right to cancel this Prequalification in its entirety at any time, and to resolicit new Prequalification Applications with revised evaluation and scoring criteria. The District also reserves its right to cancel this Prequalification process and Bid the Project with competition open to all responsive and responsible Bidders if the District determines this is in its best interests. The District shall not be liable to the applicants for the applicants' cost of responding to the Prequalification nor for any other damages occasioned by such cancellation. If this Prequalification is canceled after the Prequalification Application due date, the Applications will be returned to the applicants and no scoring results will be published.

END OF SECTION 2

**SECTION 3
CONTACT INFORMATION**

Firm Name: _____ Check One:
(as it appears on Contractor's License)

- Corporation
- Partnership
- Sole Proprietor
- Joint Venture

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

Email: _____ Tax ID No.: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company _____

Contractor's License Number(s): (California State License Board Classification)

Throughout this document, respondents are requested to attach supporting or amplifying information on separately attached sheets. **In all cases, the separately attached sheets need to identify the Section and question number that called for the information in the upper right corner of each sheet of the attachment for proper identification.**

END OF SECTION 3

SECTION 4 ORGANIZATION and HISTORY

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 Co.	% 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 10 percent or more of its stock, if the business is a corporation.

Person’s Name	Construction Firm	Dates of Person’s Participation with Firm

For Firms That Are Partnerships:

1a. Date of formation: _____

1b. Under the laws of what state: _____

1c. Provide all the following information for each partner who owns 10 percent or more of the firm.

Name	Position	Years with Partnership	% Ownership	

1d. Identify every construction company that any partner 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 Company	Dates of Person’s Participation with Company

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Tax ID number of company owner _____
- 1c. 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 Company	Dates of Person’s Participation with Company

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

- 1a. Date of commencement of joint venture. _____
- 1b. 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:

Name of Firm	% Ownership of Joint Venture

For All Firms¹

2. Has there been any change 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.
 Yes No
 Contractor is a corporation with publicly traded shares
If “yes,” explain on a separate signed page.

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?
NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.
 Yes No
If “yes,” explain on a separate signed page.

4. 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 page.

5. State your firm’s gross revenues for each of the last three years:

_____ _____ _____
2020 2019 2018

Total of last three years: _____

6. **List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm:**

If more space is needed add a separate signed page.

7. If any of your firm’s license(s) are held in the name of a corporation 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.

If more space is needed add a separate signed page.

¹ If additional information is requested in any question, that question will be evaluated negatively, or no points will be allowed, if the requested information is not provided.

8. Has your firm changed names or license number in the past five (5) years?
 Yes No
If “yes,” explain on a separate signed page, including the reason for the change.

9. Has any owner, partner or (for corporations) officer of your firm operated a construction firm under any other name in the last five (5) years?
 Yes No
If “yes,” explain on a separate signed page, including the reason for the change.

10. Has a claim or other demand ever been made against your organization’s California Contractors License Bond?
 Yes No
If yes, on a separate attachment, state the following: (i) the name, address and telephone number of each person or entity making claim or demand; (ii) the date of each claim or demand; (iii) the circumstances giving rise to each such claim or demand; and (iv) the disposition of each such claim or demand.

11. Has a complaint ever been filed against your organization’s California Contractors License with the California Contractors State License Board (CSLB)?
 Yes No
If yes, on a separate attachment, state the following for each complaint: (i) the name, address and telephone number of each person or entity making the complaint; (ii) the date of each complaint; (iii) the circumstances giving rise to each such complaint; and (iv) the disposition of each such complaint, including without limitation, any disciplinary or other action imposed or taken by the California Contractors State License Board as a result of any such complaint.

12. List all other sureties (name and full address) that have written bonds for your firm during the last five (5) years, including the dates during which each wrote the bonds:

If more space is needed add a separate signed page.

13. On a separate attachment for each, Contractor shall provide the following information for each construction project with a value greater than **\$15,000,000** that your firm has **in progress** in the State of California:

Project Name

Location

Owner

Owner Contact:
(Name and Current Phone Number)

Architect or Engineer of Record

Architect or Engineer Contact:
(Name and Current Phone Number)

Construction Manager:
(Name and Current Phone Number)

Description of Project

Scope of Work Performed

Original Construction Contract Award Value

Total Current Value of Construction Contract
(Including Change Orders)

Original Scheduled Completion Date

Time Extensions Granted
(Number of Days)

Percent of Current Project Completion

Current Schedule Completion Date

END OF SECTION 4

SECTION 5
ESSENTIAL REQUIREMENTS FOR QUALIFICATION²

- **Contractor will be immediately disqualified if the answer to any of questions 1 through 9 is “NO.”**
- **Contractor will be immediately disqualified if the answer to any of questions 10 through 19 is “YES.”³**

1. Contractor possesses a VALID AND CURRENT California Contractor’s license for the project or projects for which it intends to submit a Bid.
 Yes No

2. Contractor has a liability insurance policy with a policy limit of AT LEAST \$5,000,000 per occurrence and \$10,000,000 aggregate.
 Yes No

3. Contractor has CURRENT workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.
 Yes No
 Contractor is exempt from this requirement, because it has no employees

4. Have you attached your latest copy of a REVIEWED OR AUDITED financial statement with accompanying notes and supplemental information?
 Yes No
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.

5. Has your firm completed ONE (1) or more public works nonresidential, commercial building construction projects, each with single initial contract values GREATER THAN \$7,000,000 within the last seven (7) years?
 Yes No
If “Yes” using the enclosed form “**RECENT CONSTRUCTION PROJECTS COMPLETED**”, attach project details for each separate project.

6. Has your firm completed ONE (1) or more K-12 (public or charter school), or public higher education construction projects in California within the last seven (7) years, with single initial contract values GREATER THAN \$7,000,000?
 Yes No
If “Yes” using the enclosed form “**RECENT CONSTRUCTION PROJECTS COMPLETED**”, attach project details for each separate project.

2 If additional information is requested in any question, that question will be evaluated negatively, or no points will be allowed, if the requested information is not provided.

3 A contractor disqualified solely because of a “Yes” answer given to question 9 through 19 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

7. 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 available bonding capacity?⁴

Yes No

Current available bonding capacity: _____

Name of bonding company/surety: _____

Surety address and telephone number:

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

8. Not used.

9. Not used.

=====

10. Has any California State License Board (CSLB) license held by your firm, or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended or revoked within the last five (5) years?

Yes No

11. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was terminated for default by the project owner within the last five (5) years?

Yes No

12. At the time of submitting this Prequalification Application, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

Yes No

13. At any time during the last five (5) years, has your firm, or any of its owners, officers, or partners been convicted of a crime involving the awarding of a contract of a government or Public construction project, or the bidding or performance of a government or Public contract?

Yes No

14. Has your firm or any of its owners, officers, or partners ever been convicted of a crime involving any federal, state, or local law related to bidding, awarding, or performance of any construction contract?

Yes No

⁴ An additional notarized statement from the surety may be requested by the District at the time of submission of a Bid, if this pre-qualification package is submitted more than 60 days prior to submission of the Bid.

15. Has your firm or any of its owners, officers or partners 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
16. Is your firm CURRENTLY the debtor in a bankruptcy case?
 Yes No
17. In the last twelve (12) months has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?
NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position.
 Yes No
18. In the last twelve (12) months has your firm 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?
 Yes No
19. Within the last two (2) years has there ever been a period when your firm had employees but was without Workers' Compensation insurance or state-approved self-insurance?
 Yes No

END OF SECTION 5

SECTION 6
RATING QUESTIONS
(Total Available Points: 100)⁵

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

3 years or less = Subtract 5 points

4-5 years = Subtract 3 points

6-7 years = 0 points

7 years or more = 5 points

2. At any time in the last five (5) years has your firm been assessed and paid liquidated damages (LDs) after completion of a project under a construction contract with either a public or private owner?

Yes No

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

No projects with LDs = 5 points.

One project with LDs, but less than \$10,000 = 0 points.

Subtract 3 points for one project greater \$10,000, but less than \$25,000.

Subtract 5 points for one project greater than \$25,000.

Subtract 5 points for 2 or more projects with LDs, regardless of the amount.

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 dispute only includes a sub contractor's direct cost for additional work performed and only includes the Contractor's contract allowed markup on said direct cost. If a dispute includes a request for indirect costs such as a compensable time extension (e.g., field office overhead and/or home office overhead) by either the sub-contractor or contractor, this is NOT considered a "pass through" dispute by the District). You may omit reference to all disputes concerning amounts of less than \$25,000.

3. In the past five (5) years has any claim **against** your firm, concerning your firm's work on a construction project, been **filed by the project owner in court, arbitration, mediation, or other dispute resolution proceeding, regardless of the outcome?**

Yes No

If "yes," on separate signed sheets of paper 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 (pending or, if resolved, a brief description of the resolution).

10 points for "No"

0 points for "Yes" indicating 1 such instance

Subtract 10 points for "Yes" if more than 1 instance

⁵ If additional information is requested in any question, that question will be evaluated negatively, or no points will be allowed, if the requested information is not provided.

4. In the past five (5) years has your firm made any claim against a PUBLIC project owner concerning work on a project or payment for a contract and **filed that claim in court, arbitration, mediation, or other dispute resolution proceeding, regardless of the outcome?**

Yes No

If “yes,” on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the public 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 (pending, or if resolved, a brief description of the resolution).

*8 points for “No”,
0 points for “Yes” indicating 1 such instance
Subtract 8 points for “Yes” if more than 1 such instance*

5. At any time during the past five (5) years has any surety company made any payments on your firm’s behalf as a result of a default or termination, 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?

Yes No

If “yes,” explain all such instances on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

*5 points for “No”
Subtract 5 points for “Yes”*

6. In the last twelve (12) months has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes No

If “yes,” explain all such claims on a separate signed page. Name the insurance carrier, the form of insurance, and the year of the refusal.

*5 points for “No”
0 points for “Yes” indicating 1 such instance
Subtract 5 points for “Yes” if more than 1 such instance*

7. During the last five (5) years, has your firm ever been denied bond coverage by a surety company?

Yes No

If yes, provide details on a separate signed sheet indicating the date when your firm was denied coverage and the name of the company or companies which denied coverage; and the period during which you had no surety bond in place.

*4 points for “No”
0 points for “Yes” indicating 1 such instance
Subtract 5 points for “Yes” if more than 1 such instance*

8. Has either the California State Division of Occupational Safety and Health OR the Federal Occupational Safety and Health Administration cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five (5) years?

NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals

Board has not yet ruled on your appeal, you need not include information about it.

Yes No

If “yes,” enter the number of citations here, _____, and attach a separate signed page describing all such citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

5 points for “No”

Subtract 5 points for “Yes”

9. List your firm’s Worker’s Compensation Experience Modification Rate (EMR) (California Workers’ Compensation insurance) for the current year and each of the previous two premium years. Attach evidence of your current year EMR:

NOTE: An Experience Modification Rate is issued to your firm annually by your Workers’ Compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher provide a letter from your insurer addressing claims cost detail/information in the previous three years.

10 points for three-year average EMR of equal to or less than .80

5 points for three-year average of EMR of greater than .80 but equal to or less than 0.95

0 points for three-year average of EMR of greater than .95 but equal to or less than 1.05

Subtract 5 points for three-year average of EMR of greater than 1.05 but equal to or less than 1.2

Subtract 10 points for three-year average of EMR of greater than 1.2

10. Use your most recent OSHA logs to provide the following information, and attach the relevant portions of the log:

(a) Total cases with days away from work, job transfer, or restriction: _____

(b) Total man-hours worked, including overtime (in 000's): _____

(c) Days Away, Restricted, or job Transfer Rate (DART) equal to number in (a) times 200,000, divided by number in (b):

DART = _____.

10 points for DART equal to or less than 1.0

5 points for DART greater than 1.0 but equal to or less than 1.5

0 points for DART greater than 1.5 but equal to or less than 1.9

Subtract 5 points for DART greater than 1.9 but equal to or less than 2.2

Subtract 10 points for DART greater than 2.2

11. 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 (5) years?
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.
 Yes No
If "yes," attach a separate signed page describing each citation.
*5 points for "No",
0 points for "Yes" and 1 such instance
Subtract 5 points for more than 1 such instance*
12. Within the last five (5) years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?
 Yes No
If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five (5) years. (If your firm has been in the construction business for less than five (5) years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)
*5 points for "No",
Subtract 5 points for 1 or more such instances*
13. Has there been more than one occasion during the last five (5) 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 OR federal Davis-Bacon prevailing wage requirements?
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.
 Yes No
If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed, the state or federal wage law violation; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.
*5 points for "No",
Subtract 5 points for "Yes" for more 1 or more such instances*
14. At any time during the last five (5) 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?
 Yes No
If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).
*4 points for either "No", or "Yes" indicating no more than 2 such instances
0 points for "Yes" and more than 2 such instances*
15. During the last five (5) years, how many K-12, community college, or other public construction projects under the jurisdiction of the California Division of State Architect/ Department of General

Services, with single initial contract award value GREATER THAN \$20,000,000, has your firm completed? Using the enclosed form “**RECENT CONSTRUCTION PROJECTS COMPLETED**”, attach project details for each separate project.

Number of projects: _____
5 points for 2 projects or more
3 points for 1 project
0 points for 0 projects

16. Not including any projects submitted in answer to question 15 above, during the last ten (10) years, how many public construction projects, with a single initial contract award value GREATER THAN \$7,000,000, has your firm completed where the project was in any one of the following counties: Del Norte, Humboldt, Trinity, Shasta, Siskiyou, or Mendocino.

Note: Attach a list on a separate sheet of paper indicating the following: The Project Owner, the Project Name, the Project Location, and the initial contract award amount.

Number of projects: _____
5 points for 5 projects or more
3 points for 3 projects
0 points for 1-2 projects
Subtract 5 points for 0 projects

17. Your firm’s corporate headquarters is located within the boundaries of Humboldt County.

Yes No

4 points for “Yes”
0 points for “No”.

18. Does your firm have an established process, which has been in place for at least one (1) year, to Prequalify major subcontractors (structural, mechanical, electrical, plumbing)?

Yes No

If “Yes” submit the prequalification criteria your firm uses

END OF SECTION 6

**SECTION 7
RECENT CONSTRUCTION PROJECTS COMPLETED**

Use this form to provide details on projects requested. Refer to Section 5, question 5 and question 6.
Section 6, question 15.

Names and references must be current and verifiable. You may use separate sheets of paper that contain all of the following information:

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Name: _____ Phone: _____

Architect or Engineer: _____

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

Name: _____ Phone: _____

Construction Manager (name and current phone number):

Name: _____ Phone: _____

Description of Project, Scope of Work Performed:

Original Contract Value: _____

Total Value of All Change Orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

If you wish, you may submit additional projects using this form for projects completed that had construction costs greater than \$20,000,000.

END OF SECTION 7

SECTION 9 – PREQUALIFICATION VALIDATION FORM

To Be Submitted at Time of Bid

This Validation Form must be submitted with the Bid. The Validation Form must be completed and signed by at least one General Partner, Owner, Principal or Officer authorized to legally commit the Bidder. An evaluation of the new information could result in the change in Prequalification status of the Bidder and if the Prequalification status is denied, Bidder may be considered nonresponsive.

Bid Name and Number: _____

DECLARATION

I, (printed full name) _____, hereby declare that I am the (position or title) _____ of (Bidder) _____,

and that I am duly authorized to execute this Validation Statement on behalf of this entity. I acknowledge that any false, deceptive or fraudulent statements on this validation will result in denial of Prequalification. I hereby state:

The Prequalification Application dated on file with District is correct and current as submitted.

OR

The Prequalification Application dated on file with District is correct and current as submitted, except as modified by the attached changed pages and/or attachments to said Application.

(Applicant shall attach additional sheets to describe changes).

Signature of Person Certifying for Bidder

Date

Name of Bidder: _____

Tax ID No. or SSN: _____

END OF APPLICATION