REQUEST FOR QUALIFICATIONS
TO PROVIDE DESIGN-BUILD SERVICES

FOR

HARTNELL COMMUNITY COLLEGE DISTRICT
NORTH MONTEREY COUNTY EDUCATION CENTER PROJECT

STATEMENTS OF QUALIFICATIONS
TO BE RECEIVED AT THE OFFICE OF:

HARTNELL COMMUNITY COLLEGE DISTRICT
411 CENTRAL AVENUE
SALINAS, CA 93901
Attn: JOSEPH REYES
Room E-107B

NO LATER THAN:

May 27, 2019, 3:00 P.M.

Please call 770-6195 or 770-6104 for any accessibility issues with this document.
REQUEST FOR QUALIFICATIONS
TO PROVIDE DESIGN-BUILD SERVICES

RECEIPT OF STATEMENTS OF QUALIFICATIONS:

Sealed statements of qualifications and one electronic copy will be received at the office of the
HARTNELL COMMUNITY COLLEGE DISTRICT
411 CENTRAL AVENUE
SALINAS, CA 93901
ATTN: JOSEPH REYES
Room E-107B
Email: jreyes@hartnell.edu

No later than May 27, 2019 @ 3:00 P.M.

BASIC SCOPE AND NEEDS OF THE PROJECT:

Pursuant to Education Code sections 81700 et seq., the Hartnell Community College District seeks a design-build entity to produce final designs for, and construct, the North Monterey County Education Center Project, at 10241 Tembladera Street (intersection of Merritt St. and Mead St.), Castroville, California 95012 (the “Project”). The Project will be an approximately 13,500 square foot education center comprised of: three (3) classrooms; two (2) laboratories; lab support room; community room; student success center; administrative area; and main lobby, circulation, restrooms and building support areas. The Project will also include related site improvements, including all utilities, parking, hardscape/landscape, outdoor waiting area, and other site elements. Additional details about the Project are set forth in Attachment A, and a Conceptual Site Plan for the Project attached as Exhibit B. As set forth herein, the design-build entity will be responsible for the final design and transmission of their final design to the Division of the State Architect (“DSA”), and for obtaining final DSA approval. No construction work shall be performed until the design-build entity receives written approval of the plans, as to the safety of design and construction, from the DSA.

DESIGN-BUILD ENTITY PREQUALIFICATION AND SHORTLISTING:

From the design-build entities that submit statements of qualifications, the District will determine which entities shall be short-listed for this Project. The District will select up to three (3) entities to be shortlisted for this Project. Only design-build entities that are short-listed pursuant to Education Code section 81703(b) will be issued a Request for Proposals and allowed to submit proposals.

A design-build entity will not be eligible to be prequalified or short-listed if the entity, or any consultant or contractor to the entity, participated in the preparation of this Request for Qualifications or the Request for Bids or Proposals (including the District’s requirements for the design [the “Criteria Documents”]) for the Project.
Any statement of qualifications submitted for this Project must use the template attached to this Request for Qualifications as Exhibit C, and must be certified under penalty of perjury by the design-build entity and its general partners or joint venture members.

The following non-price-related factors will be considered by the District when evaluating qualifications: Technical design and construction expertise, acceptability of safety record, possession of valid design professional and contractor licenses (including a Class “B” California contractor license), design and construction experience, financial strength, and insurance and bonding capacity.

**STIPEND FOR PREPARATION OF PROPOSAL:**

The District will select up to three (3) entities to be shortlisted for this Project and will select the entity to which the contract will be awarded on the basis of the best value to the District. The two (2) shortlisted entities who submit a proposal and are not awarded a contract for the Project will receive a reimbursement from the District in the amount of twenty thousand dollars ($20,000.00) for the costs incurred in preparation of a proposal. The entity deemed to be the best value to the District and awarded a contract for the Project will **not** receive a reimbursement. If the District, in its sole discretion, determines that a shortlisted entity fails to use good faith or best efforts to submit a competitive proposal, the District reserves the right to refuse to grant any or all of the amount of the reimbursement to the entity.

**EXPECTED COST RANGE OF THE PROJECT:**

The District expects a price in the range of $6.3 million to $6.9 million for this Project.

**PROJECT ADMINISTRATION:**

All questions relative to this Project shall be directed to the following District representatives. No telephone calls will be accepted; submit letter or email questions only:

Hartnell Community College District  
411 Central Avenue  
Salinas, CA 93901  
Room E-107B  
Attn: Josep Reyes, Executive Director Facilities, Planning & Construction Management  
Email: jreyes@hartnell.edu

**EVALUATION OF PROPOSALS, AND SELECTION OF THE DESIGN-BUILD ENTITY:**

Best value will be the methodology used to evaluate the proposals and select the design-build entity that will receive award of the contract. The procedures for the evaluation of the proposals for best value may include requests for additional information or revisions to proposals, discussions, interviews, and negotiations. More detail about the best value process will be included in the Request for Proposals.
The schedule for selection of the design-build entity will be as follows:

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission of statements of qualifications</td>
<td>May 27, 2019</td>
</tr>
<tr>
<td>District gives notice of its decision regarding shortlisted contractors</td>
<td>June 7, 2019</td>
</tr>
<tr>
<td>District issues Request for Proposals</td>
<td>June 14, 2019</td>
</tr>
<tr>
<td>Last day for design-build entities to submit questions</td>
<td>June 28, 2019</td>
</tr>
<tr>
<td>Last day for District to respond to questions</td>
<td>July 8, 2019</td>
</tr>
<tr>
<td>Proposals due</td>
<td>July 12, 2019</td>
</tr>
<tr>
<td>Interviews by District Committee</td>
<td>July 16, 2019</td>
</tr>
<tr>
<td>District Board awards the contract</td>
<td>August 6, 2019</td>
</tr>
</tbody>
</table>

The District reserves the right to amend this schedule for any reason.

DATED: May 6, 2019

HARTNELL COMMUNITY COLLEGE DISTRICT

Joseph Reyes
Executive Director Facilities Planning & Construction Management
## PROJECT DESCRIPTION - EXHIBIT A

<table>
<thead>
<tr>
<th>Room Type</th>
<th>Description</th>
<th>TOP Code</th>
<th>Department</th>
<th>No. Rooms</th>
<th>Sq. Ft. Per Room</th>
<th>Capacity/People</th>
<th>Required SF</th>
<th>Total ASF (JCAF 31)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>110</td>
<td>Classroom #1</td>
<td>99</td>
<td>General Assignment Classroom</td>
<td>1</td>
<td>1,200</td>
<td>45</td>
<td>1,200</td>
<td>3,600</td>
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<tr>
<td>110</td>
<td>Classroom #2</td>
<td>99</td>
<td>General Assignment Classroom</td>
<td>1</td>
<td>1,200</td>
<td>45</td>
<td>1,200</td>
<td></td>
<td></td>
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<tr>
<td>110</td>
<td>Classroom #3</td>
<td>99</td>
<td>Computer Classroom / Lab</td>
<td>1</td>
<td>1,200</td>
<td>45</td>
<td>1,200</td>
<td></td>
<td></td>
</tr>
<tr>
<td>210</td>
<td>Class Lab</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td>2,800</td>
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<td>210</td>
<td>Dry Lab</td>
<td>1901</td>
<td>Physical Sciences, General</td>
<td>1</td>
<td>1,400</td>
<td>30</td>
<td>1,400</td>
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<tr>
<td>210</td>
<td>Wet Lab</td>
<td>0410</td>
<td>Anatomy / Physio Logic Lab</td>
<td>1</td>
<td>1,400</td>
<td>30</td>
<td>1,400</td>
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<tr>
<td>215</td>
<td>Class Lab Service</td>
<td></td>
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<td></td>
<td></td>
<td>600</td>
<td></td>
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<tr>
<td>210</td>
<td>Lab Storage</td>
<td>1901</td>
<td>Lab Storage / Support</td>
<td>1</td>
<td>600</td>
<td>1</td>
<td>600</td>
<td></td>
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<tr>
<td>310</td>
<td>Office</td>
<td>99</td>
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<td></td>
<td></td>
<td>750</td>
<td></td>
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<tr>
<td>310</td>
<td>Counselor Office #1</td>
<td>99</td>
<td>Counselor</td>
<td>1</td>
<td>140</td>
<td>1</td>
<td>140</td>
<td></td>
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<tr>
<td>310</td>
<td>Administrator Office</td>
<td>99</td>
<td>Administrator</td>
<td>1</td>
<td>140</td>
<td>1</td>
<td>140</td>
<td></td>
<td></td>
</tr>
<tr>
<td>310</td>
<td>Faculty Office #1</td>
<td>99</td>
<td>Faculty</td>
<td>1</td>
<td>100</td>
<td>1</td>
<td>100</td>
<td></td>
<td></td>
</tr>
<tr>
<td>310</td>
<td>Faculty Office #2</td>
<td>99</td>
<td>Faculty</td>
<td>1</td>
<td>100</td>
<td>1</td>
<td>100</td>
<td></td>
<td></td>
</tr>
<tr>
<td>310</td>
<td>Financial Aid</td>
<td>99</td>
<td>Open Area</td>
<td>1</td>
<td>150</td>
<td>2</td>
<td>150</td>
<td></td>
<td></td>
</tr>
<tr>
<td>310</td>
<td>Reception</td>
<td>99</td>
<td>Open Area</td>
<td>1</td>
<td>120</td>
<td>2</td>
<td>120</td>
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<tr>
<td>315</td>
<td>Office Service</td>
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<td>100</td>
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<tr>
<td>310</td>
<td>File Storage</td>
<td>99</td>
<td>File Storage / Work Room</td>
<td>1</td>
<td>100</td>
<td>0</td>
<td>100</td>
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<tr>
<td>410</td>
<td>Read/Study Room</td>
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<td>2,200</td>
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<tr>
<td>410</td>
<td>Community Room</td>
<td>6110</td>
<td>Community Room</td>
<td>1</td>
<td>1,200</td>
<td>60</td>
<td>1,200</td>
<td></td>
<td></td>
</tr>
<tr>
<td>410</td>
<td>Student Engagement</td>
<td>6110</td>
<td>Learning Resource / Study</td>
<td>1</td>
<td>1,000</td>
<td>40</td>
<td>1,000</td>
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</tr>
</tbody>
</table>

### Gross Area

- Circulation: 1 room, 2,000 sq. ft., 0 capacity, 2,000 required SF
- Vending: 1 room, 100 sq. ft., 0 capacity, 100 required SF
- Toilets: 1 room, 700 sq. ft., 0 capacity, 700 required SF
- Data: 1 room, 120 sq. ft., 0 capacity, 120 required SF
- Electrical: 1 room, 120 sq. ft., 0 capacity, 120 required SF
- Mechanical: 1 room, 80 sq. ft., 0 capacity, 80 required SF
- Janitor: 1 room, 50 sq. ft., 0 capacity, 50 required SF

**Total Area:** 13,220 sq. ft.
CONCEPTUAL SITE PLAN - EXHIBIT B

NORTH MONTEREY COUNTY OUTREACH CENTER
EXHIBIT C

STATEMENT OF QUALIFICATIONS

TEMPLATE ON FOLLOWING PAGES

LEFT BLANK INTENTIONALLY
EXHIBIT C - STATEMENT OF QUALIFICATIONS

Important Instructions:

“You” or “your” refers to the proposing design-build entity.

For every question below, if you are a partnership or joint venture, you must provide separate answers for each of your partners or members. If a partner in a partnership or member of a joint venture believes that a question does not apply to it (e.g., a question about past liability for liquidated damages to an architect), the partner or member may explain why he/she believes that the question is not applicable to it. Questions of applicability will be determined by the District in its sole discretion.

A. General Information

1. Your name as it appears on license:

CIRCLE ONE: Corporation Partnership Sole Proprietorship Joint Venture

Contact Person: ____________________________________________

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

__________________________________________________________

Telephone: (__) ___________________ Fax: ________________________

E-mail address: ___________________________

2. List all of your shareholders, partners, or members known at the time of this Statement of Qualifications who will perform work on the Project:

<table>
<thead>
<tr>
<th>Name of shareholder, partner, member</th>
<th>Name of shareholder, partner, member</th>
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3. Attach to this Statement of Qualifications a copy of the organizational documents or agreement committing to form your design-build entity.
B. **History and Ownership of Firm**

1. How many years have you been in business in California under your present business name and license number? ________ years.

2. Has there been any change in your ownership at any time during the last three years?

   NOTE: *A corporation whose shares are publicly traded is not required to answer this question; please indicate “N/A – Publicly traded corporation.”*

   ☐ Yes ☐ No

   If yes, please provide details on a separate signed page.

3. Are you a subsidiary, parent, holding company or affiliate of another firm?

   NOTE: *Include information about other firms if one firm owns 50 percent or more of another.*

   ☐ Yes ☐ No

   If yes, please provide details on a separate signed page.

4. Please provide the information appropriate to your form of entity.

   a. **For Firms That Are Corporations**

   Date incorporated ________

   Under the laws of what state ________

   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.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Years with Company</th>
<th>% Ownership</th>
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   |      |          |                    |             |
   |      |          |                    |             |
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.

<table>
<thead>
<tr>
<th>Person’s Name</th>
<th>Construction Firm</th>
<th>Dates of Person’s Participation with Firm</th>
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b. For Firms That Are Partnerships

Date of formation: ______________________

Under the laws of what state: _________

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Years with Company</th>
<th>% Ownership</th>
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</table>

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 per cent or more of the business, or ten percent or more of its stock, if the business is a corporation.

<table>
<thead>
<tr>
<th>Person’s Name</th>
<th>Construction Company</th>
<th>Dates of Person’s Participation with Company</th>
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<tbody>
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</table>

c. For Firms That Are Sole Proprietorships

Date of commencement of business: ______________________

Social security number of company owner: ____________________
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.

<table>
<thead>
<tr>
<th>Person’s Name</th>
<th>Construction Company</th>
<th>Dates of Person’s Participation with Company</th>
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</thead>
<tbody>
<tr>
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**d. For Firms That Are a Joint Venture**

Date of commencement of joint venture: __________________________

Provide all of the following information for **each** firm that is a member of the joint venture:

<table>
<thead>
<tr>
<th>Name of firm</th>
<th>% Ownership of Joint Venture</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

On a separate sheet, provide all other pertinent information required in Sections 8.4.a-c, above, for **each** corporation, partnership or sole-proprietorship that is a member of the joint venture.

5. **State your gross revenues for each of the last three fiscal years:**

   Current year: ________________

   Previous year: ________________

   Year prior to previous year: ________________

6. **State the number of projects you have completed in each of the last three fiscal years:**

   Current year: ________________

   Previous year: ________________

   Year prior to previous year: ________________
7. Have you changed names or license numbers in the past five years?

☐ Yes  ☐ No

If yes, explain on a separate signed page, including the reason for the change.

C. Bonds and Insurance

1. Name of bonding company/surety that will provide all bonds, including payment and performance bonds, for you on the Project: ________________________________

Name of surety agent, address and telephone number ________________________________

Please attach 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.

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

<table>
<thead>
<tr>
<th>NAME</th>
<th>FULL ADDRESS</th>
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<tbody>
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</tbody>
</table>

3. For all insurance that will be provided for the Project (including CGL, auto, errors and omissions, and builder’s risk), list the agent (including company name, address, telephone, and fax number) and insurance company that will provide the required insurance on this contract:

AGENT ________________________________ ________________________________

COMPANY NAME ________________________________

ADDRESS: ________________________________

________________________________________

PHONE :(____) __________________ FAX :(____) __________________

INSURANCE COMPANY: ________________________________
D. **Financial Information**

1. Attach the most current audited year-end financial statement for you, which must have been prepared by a certified public accountant within twelve (12) months of submission of this statement of qualifications. Also, please provide the most current financial statement for you, which must have been prepared within three (3) months of submission of this statement of qualifications. These statements must ensure that you have the capacity to complete the Project.

2. Name of accounting firm and primary contact: ________________________________

__________________________________________________________________________

Address: __________________________________________________________________

Telephone: __________________________________________________________________

How many years has this accounting firm prepared financial statements for you?

3. **Banking information:**

| Name of Bank: | ________________________________ |
| Account Manager: | ________________________________ |
| Address: | __________________________________________________________________ |
| Telephone: | __________________________________________________________________ |
| Account No.: | ________________________________ |
| Line of Credit: | ________________________________ |
| Amount in Use: | ________________________________ |
| How Secured: | ________________________________ |
| Expiration Date: | ________________________________ |

(Attach extra sheets for additional banks/accounts)
E. **Licenses**

1. List all California design professional and contractor licenses held by you, including license numbers, classifications, and expiration dates. If the license is held in the name of a corporation, partnership, or joint venture, also list the names of the qualifying individual(s) listed who meet(s) the experience and examination requirements for each license.

<table>
<thead>
<tr>
<th>License Type</th>
<th>License Number</th>
<th>Classification</th>
<th>Expiration</th>
<th>Qualifying Individual(s)</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

2. List all California design professional and contractor licenses held by individuals or entities that you will be hiring as sub consultants or subcontractors for the Project, including license numbers, classifications, and expiration dates. If the license is held in the name of a corporation or partnership, also list the names of the qualifying individual(s) listed who meet(s) the experience and examination requirements for each license.

<table>
<thead>
<tr>
<th>Consultant</th>
<th>License #</th>
<th>Exp. Date</th>
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</tbody>
</table>
3. Will you have every design professional, contractor, and license necessary to legally perform its duties and obligations for the Project, including design and construction?

☐ Yes    ☐ No

If “no,” explain here or on a separate page.

4. Did you participate, or will you be retaining a consultant or contractor that participated, in the preparation of the Request for Qualifications or the Request for Bids or Proposals (including the criteria documents) for the Project?

☐ Yes    ☐ No

NOTE: If the answer is “yes,” then you will not be prequalified or short-listed for the Project.

F. **Recent Projects Completed**

Please provide the information requested below about all of your current public works projects, public works projects completed in the last two years, and DSA-approved California public education projects (either K-12 or community college) completed in the last three years. Include all projects, whether using design-build, design-bid-build, lease-leaseback, or other delivery methods, and whether providing design or construction services. Names and references must be current and verifiable.

Use separate sheets of paper that contain all of the following information for each public works project:

Project Name:

Location: __________________________________________

Owner: ____________________________________________

Owner Contact (name and current phone number): ________________________________

Architect Engineering Firm: _________________________________________________

Lead Architect or Engineer: _________________________________________________

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

Contractor: __________________________________________

Contractor Contact (name and current phone number): __________________________

Construction Manager (name and current phone number): ______________________
Inspector of Record (name and current phone number): __________________________

Description of Project, Scope of Work Performed ________________________________

Total Value of Construction (including change orders): ____________________________

Date Construction Commenced ________________________________

Original Contractual Completion Deadline: ________________________________

Adjusted Completion Deadline Based on Time Extensions Granted by Owner: __________

Actual Date of Completion: _________________________________________________

Architect or Engineer: ______________________________________________________

General Contractor’s Project Manager (lead contact in office): _________________

General Contractor’s Superintendent (lead contact on project site): ______________

G. **Apprenticeship Program Information**

1. Provide the name, address and telephone number of the apprenticeship program sponsor(s) (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your company for the Project.

   ____________________________________________________

   ____________________________________________________

2. If you operate your own State-approved apprenticeship program:

   (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.

   (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).

   (c) State the number of individuals who were employed by you as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by you.
H. **Design Qualifications**

1. Do you possess a valid and current California architectural or engineering license for the Project?
   
   [ ] Yes [ ] No
   
   State the license number(s): ______________________

2. For what design specialties will you be hiring sub consultants?

3. Identify and describe all projects in the last 5 years that you have designed, which are similar to the Project (other than those listed in response to Section F, above).

4. Identify the proposed key personnel that will perform the design services necessary for the Project.

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5. For each person identified in response to the previous question, list evidence that he/she (a) has completed, or has demonstrated the experience, competency, capability, and capacity to complete, projects of similar size, scope, and complexity as the Project; and (b) has sufficient experience and training to competently manage and complete the construction of the Project.

6. Has your license, or any credential or registration, ever been revoked or suspended at any time in the last five years, even if later reinstated retroactively?

   [ ] Yes [ ] No
I. **Construction Qualifications**

1. Do you possess a valid and current Class _____ California contractor’s license, which is required for the Project?

   ☐ Yes      ☐ No

   If yes, identify the holder of the license and the license number.

2. For what construction specialties will you be hiring subcontractors?

3. Identify and describe all projects in the last 5 years that you have constructed that are similar to the Project (other than those listed in response to Section F, above).

4. Identify the proposed key personnel that will perform the construction services necessary for the Project.

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<th>NAME of KEY Personnel</th>
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5. For each person identified in response to the previous question, list evidence that he/she (a) has completed, or has demonstrated the experience, competency, capability, and capacity to complete, projects of similar size, scope, and complexity as the Project; and (b) has sufficient experience and training to competently manage and complete the construction of the Project.

6. Do you have a liability insurance policy with a policy limit of at least $3,000,000 per occurrence and $5,000,000 aggregate?

   ☐ Yes      ☐ No

7. Do you have current workers’ compensation insurance policy as required by the Labor Code or are you legally self-insured pursuant to Labor Code section 3700 et seq.?

   ☐ Yes      ☐ No

   ☐ Contractor is exempt from this requirement, because it has no employees.
8. Have you completed at least two California public education (either K-12 or community college) construction projects, subject to DSA approval?

☐ Yes  ☐ No

9. Are you currently registered with the Department of Industrial Relations and qualified to submit a bid or proposal and to otherwise perform work on a public project pursuant to Section 1725.5 of the Labor Code?

☐ Yes  ☐ No  Provide PWC#______________

10. Has your contractor’s license, or any credential or registration, ever been revoked or suspended at any time in the last five years, even if later reinstated retroactively?

☐ Yes  ☐ No

11. At the time of submitting this form, are you 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

If yes, state the beginning and ending dates of your ineligibility to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract:

12. Are you currently the debtor in a bankruptcy or receivership case?

☐ Yes  ☐ No

If yes, please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

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

☐ Yes  ☐ No

14. Have you, or any of your owners, officers, 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?

☐ Yes  ☐ No

If yes, explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.
15. Have you or any of your owners, officers, partners, or members ever been convicted of a crime involving any federal, state, or local law related to design or construction?

☐ Yes    ☐ No

16. Have you or any of your owners, officers, partners, or members ever been convicted of a federal or state crime of fraud, theft, or any act of dishonesty?

☐ Yes    ☐ No

If yes, identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

J. Financial History & Licensing

1. Were you in bankruptcy or receivership any time during the last five years?

☐ Yes    ☐ No

If yes, please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court’s discharge order, or of any other document that ended the case, if no discharge order was issued.

2. Has any license held by you, or held by its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO), been suspended within the last five years?

☐ Yes    ☐ No

K. Disputes

1. At any time in the last five years, have liquidated damages been assessed or levied against you under a construction contract with either a public or a 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 or levied by the owner, amount of liquidated damages paid or credited by you to the owner, and all other information necessary to fully explain the assessment or levy of liquidated damages.
2. In the last five years have you, or any firm with which any of your company’s owners, officers, partners, or members 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” refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 4 on Part I of this form.

☐ Yes    ☐ No

If yes, explain on a separate signed page. State whether the firm involved was the firm applying for prequalification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

3. In the last five years, have you been denied an award of a public works contract based on a finding by a public agency that you were not a responsible bidder?

☐ Yes    ☐ No

If yes, explain on a separate page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

NOTE: The following two questions refer only to disputes between you and the owner of a project. You need not include information about disputes between you 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. In addition, you may omit reference to all disputes about amounts of less than $50,000.

4. In the past five years, has any claim by a project owner (including a complaint) against you concerning your design or construction work on a project been filed in court or been the subject of arbitration?

☐ 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 and amount of the claim (including a breakdown of the major elements 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).
5. In the past five years, have you filed any claim (including a complaint) in court or arbitration against a project owner concerning work on a project or payment for a contract?

☐ Yes    ☐ No

If yes, on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature and amount of the claim (including a breakdown of the major elements 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).

6. Have you had a contract for a public work of improvement in the last five years that was terminated for cause by a public entity, or terminated in whole or in part with or without your consent? Note: You need not answer “yes” if the public entity terminated the contract for convenience.

☐ Yes    ☐ No

If the answer is “Yes,” for each such contract attach a separate sheet identifying the owner, your bonding company, and the original contract value, the value of the work terminated and a brief explanation of the circumstances leading to the termination.

7. At any time during the past five years, has any surety company made any payments on your behalf to satisfy any claims made against a performance or payment bond issued on your behalf, in connection with a construction project, either public or private?

☐ Yes    ☐ No

If “yes,” explain 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.

8. In the last three years have you held a public works contract on which more than three (3) stop payment notices were served against your firm?

☐ Yes    ☐ No

If “yes,” explain on a separate signed page.
9. In the last 3 years have you had any Stop Payment Notice result in a claim against your Payment Bond?

☐ Yes    ☐ No

If “yes,” explain on a separate signed page.

L. **Insurance and Bonding**

1. In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for you?

☐ Yes    ☐ No

If yes, how many instances? ______________________________

2. If you were required to pay a premium of more than one percent for a performance and payment bond on any project(s) on which you worked at any time during the last five years, state the percentage that you were required to pay, identify the project, identify the owner, and identify the dates of the project. You may provide an explanation for a percentage rate higher than one percent, if you wish to do so.

__________________

%  

3. During the last five years, have you ever been denied bond coverage by a surety company, or has there ever been a period of time when you had no surety bond in place during a public construction project when one was required?

☐ Yes    ☐ No

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

M. **Compliance with Law, Worker’s Compensation, and Safety Record**

1. Has CAL OSHA cited and assessed penalties against you for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

   **Note:** If you have filed an appeal of a citation and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes    ☐ No

If yes, attach a separate signed page describing each citation.
2. Has the federal Occupational Safety and Health Administration cited and assessed penalties against you in the past five years?

   **Note:** If you have filed an appeal of a citation and the appropriate appeals Board has not yet ruled on your appeal, you need not include information about it.

   ☐ Yes ☐ No

   If yes, attach a separate signed page describing each citation.

3. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either you or the owner of a project on which you were the contractor, in the past five 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.

4. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

   ____________________________________________________________

   Describe your worker safety program: __________________________

5. List your Experience Modification Rate (EMR) (California workers’ compensation insurance) for each of the past three premium years:

   **Note:** An Experience Modification Rate is issued to you 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, you may, if you wish, attach a letter of explanation.
6. Within the last five years, has there ever been a period when you had employees but were without workers’ compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

7. State your average total recordable injury or illness rate and average lost work rate for the most recent three-year period: ________________________________

N. **Prevailing Wage and Apprenticeship Compliance Record**

1. Has there been any occasion during the last five years on which you were required to pay either back wages or penalties for your failure to comply with the state’s prevailing wage laws?

☐ Yes ☐ No

**NOTE:** This question refers only to your own violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

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 number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

2. During the last five years, has there been any occasion on which you have been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

If yes, attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

3. Other than as already described in response to any question above, have any other labor or environmental charges or penalties been assessed or levied against, or paid by, you or the owner of a project on which you were the contractor in the past five years?

☐ Yes ☐ No
4. At any time during the last five years, have you 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).

If yes, attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, and the public agency for which it was constructed.
CERTIFICATION

Statements of Qualifications submitted by a corporation must be signed by (1) the chairperson of the board, president or any vice president, and then (2) 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 and title of each person signing and the legal name of the corporation (including the state of incorporation) 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.

Statements of Qualifications submitted by a partnership 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. The name and title of the person signing and the name of the partnership shall also be typed or printed below the signature.

Statements of Qualifications submitted by a joint venture must furnish the full name of all members of the joint venture and must be signed by a representative of each member who has authority to bind the member in such matters. The name and title of the person signing and the name of the member 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 of his or her own personal knowledge. This information is provided for the purpose of qualifying to submit a bid or proposal for the Project, and any individual, company or other agency named herein is hereby authorized to supply the District with any information necessary to verify the prospective bidder’s or proposer’s statements. By signing below, the submitter and the design-build entity hereby, grant permission to the District 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 false, shall be grounds for immediate disqualification from proposing on the Project. The submitter whose signature appears below represents and warrants that he or she has authority to bind the named contractor.

I, the undersigned, certify and declare that I have read all the foregoing answers and information in this Statements of Qualifications and know their contents. The matters stated in the Statements of Qualifications 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.
(Add additional signature pages as necessary to comply with the directions above.)