



SAN DIEGO UNIFIED SCHOOL DISTRICT

STRATEGIC SOURCING AND CONTRACTS

PRIME CONTRACTOR PREQUALIFICATION FORMS FOR CONSTRUCTION CONTRACTS

TABLE OF CONTENTS

Page No.

2	General Information
3	Where to Submit
4	Basis for Prequalification
5	Quick Check
7–26	Prequalification Forms
27	Appendices
	- Detailed Information
	- Appeal Process
	- Cal/OSHA Form 300 Example

BIDDER'S QUALIFICATION AND VERIFICATION FORMS**CONTRACTOR'S STATEMENT OF EXPERIENCE
AND FINANCIAL CONDITION****REQUEST FOR PREQUALIFICATION OF BIDDERS**
(Public Contract Code Section 20111.6)

This requirement is for all contracts estimated at \$1,000,000 or over, awarded after January 1, 2014.

Each contractor wishing to bid as a prime contractor to San Diego Unified School District for projects estimated at \$1,000,000 or over must fully complete this Questionnaire and provide all materials requested herein. The prequalification will remain in effect for 12 months from the notice of qualification.

Answers to questions contained in the attached Prequalification Questionnaire and Financial Statement are required, including a complete statement of prospective bidder's financial ability and experience in performing public works. These documents will be the basis of qualifying a prime contractor wishing to bid with the District. The District reserves the right to check other sources available. Omission of, or refusal to supply, requested information can result in automatic disqualification.

The Questionnaire and Financial Statements are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. San Diego Unified School District reserves the right to reject any and all Prequalification Questionnaires and to waive any irregularities in the information contained therein.

Each Questionnaire must be signed under penalty of perjury by an individual who has the legal authority to bind the contractor on whose behalf that person is signing. If any information provided by a contractor becomes inaccurate, the contractor must immediately notify the awarding body and provide updated accurate information in writing and under penalty of perjury.

NOTICE: To prime contractors who are using subcontractors for this job, please be advised that San Diego Unified School District requires:

- Prequalification of subcontractors holding the following classifications: C-4, C-7, C-10, C-16, C-20, C-34, C-36, C-38, C-42, C-43 and C-46.**

SUBMISSION OF COMPLETED STATEMENTS

Due to precautionary measures, the San Diego Unified School District, Strategic Sourcing and Contracts personnel are working from home with modified access. During this time, please submit your completed prequalification application with the required documentation to prequal@sandi.net and copy Linda Hippe at lhippe@sandi.net. Please mark "Confidential" in subject line.

Email completed Contractor's Statement of Experience and Financial Condition along with the following:

- CalOSHA 300 logs for past 3 years
- California Contractor's License
- Certificate of Insurance
- Surety history for past 5 years
- Letter of Bondability
- Reviewed or Audited Financial Statement
- Copy of Certificate of Licensed Accountant **or** Accountant's license information

To: San Diego Unified School District
Strategic Sourcing and Contracts Department
Attn: Linda Hippe, Contracts Administration Supervisor, Construction
2351 Cardinal Lane, Building M
San Diego, CA 92123

Please mark envelope "Confidential"

BASIS FOR PREQUALIFICATION

1. Contractor will have answered “YES” to all of the Quick Check questions on Page 5 following.
2. Contractor must not have answered “YES” to *any* of the questions cited in SECTION 1 – DISQUALIFYING QUESTIONS.
3. Contractor must have *completed* a minimum of two (2) public works projects for \$1,000,000 or more in the State of California, listing the most recent first, within the last five (5) years.
4. Contractor must score a minimum of 105 points in SECTION 4 – SCORED INTERVIEW QUESTIONS.
5. Contractor must be able to secure bonding for a minimum of \$1,000,000 (contractors bidding solely as subcontractors to prime contractors do not need to meet this requirement).
6. Contractor must provide reviewed financials to bid projects valued from \$1M-\$10M and audited financials to bid projects valued at \$10M and greater, current within 18 months.

Quick Check

Should I fill out this Questionnaire?

The following are screening statements, which should be used to determine whether or not you pass the test to require you to enter the prequalification process.

You must be able to answer “YES” to each statement below.

1. Your firm is intending to bid as a prime contractor to the District.
2. Your firm is intending to bid a job at \$1,000,000 or over (Projects estimated at less than \$1,000,000 do not require prequalification.)
3. Your firm possesses a valid and current California Contractor’s license in the proper classification(s) for which it will perform for the project or projects for which it intends to bid.
4. Your firm has general liability insurance with a policy limit of at least \$2,000,000 per occurrence and \$4,000,000 aggregate. If your firm is bidding on a project over \$5,000,000 it has a policy limit of at least \$3,000,000 per occurrence and \$6,000,000 aggregate. NOTE: The insurance limits are fixed and are not negotiable. *If your firm does not have insurance with the required minimum levels you will not be prequalified.*
5. Your firm has a current workers’ compensation insurance policy as required by the Labor Code or it is legally self-insured pursuant to Labor Code Section 3700 et seq.
6. Your firm has an audited or reviewed financial statement with accompanying notes and supplemental information, (as appropriate), that is less than 18 months old.
7. Your firm has *completed* at least two (2) public works construction projects in the State of California valued at a minimum of \$1,000,000 each within the last five (5) years. (Public Works is defined as facilities built for government agencies including school districts, special districts, local, county, state and federal agencies and requiring prevailing wage rates paid to workers.)
8. Your firm is eligible to bid on a Public Works contract as per Sections 1777.1 and 1777.7 of the Labor Code.

If you can answer “Yes” to all of the above statements, please proceed with submission of this package.

**BEFORE YOU SUBMIT YOUR PREQUALIFICATION QUESTIONNAIRE
HAVE YOU DONE THE FOLLOWING?**

- Have you completed all the information required in Section 2 – General Information beginning on page 9?
- Did you include the CalOSHA 300 logs for past 3 years required on page 16? NOTE: Summaries are not acceptable unless there were no injuries for those years. To see an example of a 300 log please see the Appendices section at the back of the Questionnaire package.
- Have you completed all the information required in Section 3 – Organization History, Performance and Compliance with Civil and Criminal Laws beginning on page 11?
- Did you sign the affidavit on page 16?
- Did you include the Certificate of Insurance required on page 18?
- Did you include a total of five (5) years of surety information required on page 19?
- Did you include an attached Letter of Bondability from your bonding surety?
- Did you include at least two (2) recent construction projects and all of the requested information in Section 7 starting on page 20? NOTE: Please include CURRENT contact information for the projects listed.
- Did you include either a Reviewed or Audited Financial Statement required in Section 8 – Financial Information on page 24?

IF YOU HAVE ANY QUESTIONS REGARDING THE QUESTIONNAIRE AND/OR ITS REQUIREMENTS, PLEASE CONTACT (858) 522-5832 or prequal@sandi.net

SECTION 1 - DISQUALIFYING QUESTIONS

A “Yes” response to any of the following questions will result in automatic disqualification from bidding on San Diego Unified projects.

1. Is your firm currently the debtor in a bankruptcy case?
 Yes No
If Yes, please explain on an attached separate sheet of paper.
2. Have any of your contractor’s licenses been revoked at any time in the last five (5) years?
 Yes No
If Yes, please explain on an attached separate sheet of paper.
3. In the last five (5) years has your firm, or any firm with which any of your company’s owners, officers or partners was associated, been debarred, disqualified, defaulted, found non-responsible, terminated for cause, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason? This includes any agreement in which your firm voluntarily agrees not to bid.
NOTE: “Associated with” 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 Section 3, question 1c or 1d in this questionnaire.
 Yes No
If Yes, please explain on an attached separate sheet of paper.
4. In the last five (5) years, 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
If Yes, please explain on an attached separate sheet of paper
5. At any time during the last five (5) years, has any surety company made any payments on your firm’s behalf as a result of a default, to satisfy any claims made against a **payment bond** issued on your firm’s behalf in connection with a construction project, either public or private?
 Yes No
If Yes, please list all instances with explanations on an attached separate sheet of paper.
6. At any time during the last five (5) years, has any surety company made any payments on your firm’s behalf as a result of a default, to satisfy any claims made against a **performance bond** issued on your firm’s behalf in connection with a construction project, either public or private?
 Yes No
If Yes, please list all instances with explanations on an attached separate sheet of paper.
7. 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
If Yes, please list all instances with explanations on an attached separate sheet of paper.
8. 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 construction, either public or private?
 Yes No
If Yes, please list all instances with explanations on an attached separate sheet of paper.
9. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?
 Yes No
If Yes, please list all instances with explanations on an attached separate sheet of paper.

10. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the last 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, please list all instances with explanations on an attached separate sheet of paper.

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

Yes No

If Yes, please list all instances with explanations on an attached separate sheet of paper.

12. At the time of submitting this prequalification form, 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 sections 1777.1 or 1777.7?

Yes No

If Yes, please list all instances with explanations on an attached separate sheet of paper.

CONTRACTOR'S STATEMENT OF EXPERIENCE AND FINANCIAL CONDITION

Please Type or Print Clearly

SECTION 2 - GENERAL INFORMATION

Contractor: (As name appears on license)

Check One: Corporation Partnership Sole Prop. Joint Venture

Contact Person:

E-Mail Address:

Address:

Phone Fax Number Email

License # Class: Exp. Date:

Supplemental classification(s) held, if any, and license number(s)

District Use Only: Verified by District License Clear: DIR Active:

Tax ID Number Date Business Formed:

Corporate Identification Number

Dept. of Industrial Relations, Public Works Contractor Registration Number

1. In what type of construction do you specialize?

2. Are you currently prequalified with any other school district or public agency in San Diego County?

If yes, list ALL agencies for which you have already prequalified:

Blank lines for listing agencies.

3. Is your firm an EBE (Emerging Business Enterprise)? If yes, list all of your certifications.

(Visit our Business Outreach webpage at <https://www.sandiegounified.org/node/1270> to get on the opportunities database and learn how to do business with the district.)

4. Is your firm a Disabled Veteran Business Enterprise (DVBE) contractor? ____ Yes ____ No.
If Yes, list your DGS certification number, or if you are certified through Service Disabled Veteran-Owned Business (SDVOB) please provide a copy of your verification letter.

5. Is your firm willing to bid on Project Stabilization Agreement (PSA) jobs and abide by the terms and conditions of the PSA? ____ Yes ____ No
If your answer is No, you will not be prequalified to bid directly to the District on any construction projects estimated at \$1,000,000 or higher.

6. Is your firm a union signatory? ____ Yes ____ No ***If Yes, list each craft:***

7. If the answer to #5 above was “Yes”, list your firm’s core workers, i.e. workers that have been in your employment for 30 out of the last 180 days, possesses all necessary certifications/licenses to perform craft work (if any), and is a resident of San Diego County:

8. Is your firm interested in attending District training sessions for PSA? ____ Yes ____ No

If yes, please visit the San Diego Unified School District PSA web page at <https://www.sandiegounified.org/project-stabilization-agreement-psa> for more information and a list of department contacts. PSA training will be scheduled upon request.

9. List any specific SDUSD project(s) you are prequalifying for, if applicable.

SECTION 3 - ORGANIZATION, HISTORY, PERFORMANCE, AND COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

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 per cent 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 per cent or more of the business, or 10 per cent or more of its stock, if the business is a corporation.

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

- 1e. Provide a copy of most recent certification from the California Secretary of State indicating standing.

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 per cent or more of the firm.

Name	Position	Years with Co.	% 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 per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Company	Dates of Person's Participation with Firm

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Social security 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 per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

Person’s Name	Construction Company	Dates of Person’s Participation with Co.

For Firms That Intend to Submit 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

- 1c. Please provide a true, correct executed copy of the joint venture agreement.

NOTE: The joint venture agreement must contain identical or similar language as follows:

“All obligations, expenses and losses incurred, and all payments made in connection with the Joint Venture including, without limitation, any liability for damages arising out of claims or actions against the Joint Venture in connection with the anticipated contract(s) or projects, shall be the obligations of the Joint Venture. Each Joint Venturer shall be individually liable according to its pro rata share of ownership as well as jointly and severally liable to the District for the obligations of the Joint Venture, including but not limited to claims or actions on indemnity, defect, and warranty.”

B. History of the Business and Organizational Performance

- 2. Has there been any change in ownership of the firm at any time during the last three (3) 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 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 per cent 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. How many years has your organization been in business in California as a contractor under your present business name and license number? _____

6. Was your firm in bankruptcy at any time during the last five (5) years?
 Yes No

If Yes, explain on a separate page.

C. Licenses

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.

8. Has your firm changed names or license number in the last five (5) years?
 Yes No

If Yes, explain on a separate signed page, providing prior name/license number, date of change and circumstances surrounding 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, provide the prior name, the date of change and the circumstances surrounding the change.

10. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five (5) years?
 Yes No

If Yes, please explain on an attached separate sheet of paper.

D. Contractual Obligations and Disputes – SD Unified Projects

11. At any time during the last five (5) years has your firm received one or more “Notices of Non Compliance” from the District’s representative on District projects?
 Yes No

If Yes, explain on a separate signed page, providing the project name(s), contract number(s), date of award and circumstances related to your receipt of the notice.

12. At any time in the last five (5) years has your firm filed two or more requests to withdraw or to be released from a District bid?
 Yes No

If Yes, explain on a separate signed page, providing the project name(s), contract number(s) and the circumstances under which you sought withdrawal.

13. At any time during the last five (5) years has your firm been penalized for illegal/improper Substitution of a Listed Subcontractor on District projects?
 Yes No

If Yes, explain on a separate signed page, providing the project name(s), contract number(s), the name(s) of the subcontractor(s).

14. At any time in the last five (5) years, has your firm been assessed and paid liquidated damages after completion of a project on District projects?
 Yes No

If Yes, please explain on an attached separate sheet of paper.

E. Contractual Obligations and Disputes – All Public Works Projects

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

15. Within the last five (5) years, how many times has your company been awarded a public works contract in which you “failed to execute” a contract? **Note: “Failure to Execute” is any of the following: (1) Refusal to pick up, sign, and/or return contract documents; (2) Inability to obtain insurance and/or bond requirements; or (3) Failure to submit required agreement forms such as a Project Stabilization Agreement.**

Yes No

If Yes, please list all instances with explanations on an attached separate sheet of paper.

16. In the last five (5) years, has any claim **against** your firm concerning your firm’s work on a construction project, either public or private, been **filed in court or 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 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).

17. In the last five (5) years, has your firm been involved in any arbitration, mediation, or other dispute resolution process, or litigation with a project owner, filed any claims with a project owner or had any claim filed against it by a project owner, regardless of outcome?

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 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).

18. In the last five (5) years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes No

If Yes, please list all instances with explanations on an attached separate sheet of paper.

19. Has your firm been required to pay a premium (other than standard sliding scale bonding rates) of more than one per cent (1%) for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years?

Yes No

If Yes, state the percentage that your firm was required to pay and provide an explanation for a percentage rate higher than two per cent (2%) on an attached separate sheet of paper.

_____ %

20. During the last five (5) years, has your firm ever been denied bond credit by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

Yes No

If Yes, please list all instances with explanations on an attached separate sheet of paper.

F. Worker Safety, Prevailing Wage, Workers Compensation, Apprenticeship – All Public Works Projects

21. Within the past five (5) years has the Department of Industrial Relations/Division of Labor Standards Enforcement found your firm or, if a General Contractor, your subcontractors to have failed to pay prevailing wage on a public works project?

Yes No

If Yes, please explain _____

22. Has there been more than one occasion during the last five (5) years on 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?

Yes No

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

If Yes, please list all instances with explanations on an attached separate sheet of paper.

23. During the last five (5) years, has there been more than one occasion on which your own firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements?

Yes No

If Yes, please list all instances with explanations on an attached separate sheet of paper.

24. Has the EPA, Department of Environmental Health or any Air Quality Management District or any Regional Water Quality Control Board or any other agency with competent jurisdiction cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the last 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, please list all instances with explanations on an attached separate sheet of paper.

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

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

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, attach a letter of explanation.

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

27. 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 list all instances with explanations on an attached separate sheet of paper.

- 28. Attach copies of OSHA 300 Logs from the past 3 years. SEE APPENDICES FOR EXAMPLE OF FORM 300 LOG. SUMMARIES (Form 300A) ARE NOT ACCEPTABLE, unless there were no accidents for those years.

District Use Only:
 Verified by District by _____ on _____

- 29. Provide the name, address, and telephone number of the apprenticeship program sponsor(s) (approved by the California Division of Apprenticeship Standards) that will provide apprentices to your company for use on any public work project for which you are awarded a contract by San Diego Unified School District.

- 30. If your firm operates its own State-approved apprenticeship program:
 - a. Identify each craft or crafts in which your firm 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 your firm as apprentices at any time during the past three (3) years in each apprenticeship and the number of persons who, during the past three (3) years, completed apprenticeships in each craft while employed by your firm.

Provide all requested information on a separate sheet of paper and attach to this Questionnaire.

- 31. At any time during the last five (5) years, has your firm been found to have violated any provision of the California apprenticeship laws or regulations, or the laws pertaining to the 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).

I, the undersigned, as an authorized agent of my firm, certify and declare that I have read all the foregoing answers and accompanying documents to this prequalification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the information provided in this application is true and correct. In addition, by submitting this application, I am authorizing the District to verify all information and contact any and all references listed in order to determine prequalification.

Executed in the City of _____

Signed: _____ Dated: _____

Print Name: _____ Title: _____

SECTION 4 - SCORED INTERVIEW QUESTIONS

The following questions will be used to interview randomly selected contacts from **at least two (2) completed projects**. If you have performed projects for the District within the last five (5) years, District will interview the project and construction managers for the project for the two (2) most recently completed projects. The District will conduct the interviews. No action on the contractor's part is necessary. These questions are included on the package given to the contractor for information only.

The highest possible score on any single project is 130 points. An average score of less than 105 points disqualifies a contractor from bidding on projects that are proposed by San Diego Unified School District.

1. Are there any outstanding stop notices, liens or claims by the contractor that are currently unresolved on contracts for which notices of completion are recorded? (10 points if none)
2. Please rate the contractor's performance regarding your supervision during execution of the project. (10 points maximum)
3. Please rate the contractor's performance in providing reports and other paperwork, including change order paperwork and scheduling updates in a timely manner. (10 points maximum)
4. Did the contractor finish the project on schedule? Please rate the contractor's performance on the following factors:
 - a. Providing sufficiently experienced supervision over the project (10 points maximum)
 - b. Adequately staffing the project (10 points maximum)
 - c. Providing sufficient equipment to perform the work in a timely manner on the project (10 points maximum)
 - d. Required supervision from owner (10 points – minimal supervision, 0 points – excessive supervision)
5. Were there any change orders on the project? Please rate the contractor's performance on the following factors:
 - a. The quality of the change order work (10 points maximum)
 - b. Providing timely submission of cost and time estimates to perform change order work (10 points maximum)
 - c. How well the contractor integrated the change order work into the existing work (10 points maximum)
6. Rate how the contractor performed in the area of project close out, including turning in Maintenance & Operations manuals, completing as-built drawings, providing required training and completing warranty work. (10 points maximum)
7. Did the contractor assert unilateral change orders and claims totaling more than 10% of the project value? (20 points if none) If so, please rate whether the claims were:
 - a. Substantiated in whole or in part in the contractor's favor (10 points maximum)
 - b. Resolved in a professional, orderly and timely manner (10 points maximum)

SECTION 5 - INSURANCE

For projects *under* \$5,000,000, do you currently have a minimum of \$2,000,000 per occurrence and \$4,000,000 aggregate Combined Comprehensive Single Limit Liability Insurance? ____ Yes ____ No.

For projects *over* \$5,000,000, do you currently have a minimum of \$3,000,000 per occurrence and \$6,000,000 aggregate Combined Comprehensive Single Limit Liability Insurance? ____ Yes ____ No.

Attach your certificate of insurance for verification.

AMOUNT OF INSURANCE \$ _____ per occurrence and _____ aggregate.

Provide two (2) years of history of insurance:

Years with this Ins. Co. _____

Insurance Company Information

Name: _____

Address: _____

Phone # () _____

Contact: _____

Years with this Ins. Co. _____

Prior Insurance Company Information

Name: _____

Address: _____

Phone # () _____

Contact: _____

NOTE: If less than two years of history has been provided above, please list your prior insurance companies on a separate page, including phone numbers and contact names.

<p>District Use Only: Verified by District by _____ on _____ by speaking with _____ Comments: _____ _____ Certificate of Insurance attached? ____ Yes ____ No Expiration date of insurance: _____</p>

SECTION 6 - SURETY INFORMATION

Provide a statement listing names of all surety companies, not agencies, utilized by your firm in the last five (5) years. Please provide a letter stating bondability from a surety company that is authorized to do business in California, is listed as a surety with the California Department of Insurance and is rated at least A-: VII, by A.M. Best Key Rating.

Surety Company	Contact & Phone #	Largest Bond	Years Used

Surety Agent (current) **Name:** _____
 Company: _____
 Phone: _____
 Email (optional): _____

District Use Only:

Verified by District by _____ on _____ by speaking with _____
 From Company _____ <http://www.ambest.com>/ Bonder Key Rating of at least A- : VII _____
 How long has the contractor been client? _____
 Has the contractor defaulted on a contract that caused the surety to suffer a loss in the past two years?: _____ Yes _____ No
 Comments: _____
 Has the contractor ever failed to complete a contract? _____ Yes _____ No
 Comments: _____
 Has the contractor been suspended, dismissed, deemed not responsible, debarred, terminated for cause, or declared in default from a project during the past two years?: _____ Yes _____ No
 Comments: _____
 Has the contractor declared bankruptcy or ever been placed in receivership within the past three years?: _____ Yes _____ No
 Comments: _____
 [Are there any positive answers to the prior three questions? If yes, contractor is disqualified.]
 What is the largest contract this contractor has had bonded through this surety? _____
 What maximum size project would your surety most likely bond this contractor for? _____
 Are there any outstanding stop notices or liens currently unresolved on contracts that have been completed that you are aware of? _____ Yes _____ No
 If yes # _____ Comments: _____

SECTION 7-RECENT CONSTRUCTION PROJECTS COMPLETED

Contractor shall provide information about its three (3) *most recent public works projects as a prime contractor* of \$1,000,000 or more completed in the State of California within the last five (5) years. Names and references must be current and verifiable.

1. Project Name: _____

Location: _____

Was your company a Prime contractor on this project? (yes / no) _____

Project Owner (agency that awarded the contract): _____

Owner Contact (person's name, job title, phone #): _____

Architect or Engineer of Record (name of firm): _____

AOR/EOR Contact (name, title, phone #): _____

Owner's Construction Manager and/or Project Manager **NOTE:** This must be someone who was on site and can evaluate the Applicant's performance. (Please furnish person's name, title, employer, email address, and current phone #): _____

Description of Project and Scope of Work: _____

Original Contract Value: _____

Total Number of Change Orders on Project: _____ Extension Granted (# of days): _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____ Actual Date of Completion _____

2. Project Name: _____

Location: _____

Was your company a Prime contractor on this project? (yes / no) _____

Project Owner (agency that awarded the contract): _____

Owner Contact (person's name, job title, phone #): _____

Architect or Engineer of Record (name of firm): _____

AOR/EOR Contact (name, title, phone #): _____

2. continued.

Owner's Construction Manager and/or Project Manager NOTE: This must be someone who was on site and can evaluate the Applicant's performance. (Please furnish person's name, title, employer, email address, and current phone #): _____

Description of Project and Scope of Work: _____

Original Contract Value: _____

Total Number of Change Orders on Project: _____ Extension Granted (# of days): _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____ Actual Date of Completion _____

3. Project Name: _____

Location: _____

Was your company a Prime contractor on this project? (yes / no) _____

Project Owner (agency that awarded the contract): _____

Owner Contact (person's name, job title, phone #): _____

Architect or Engineer of Record (name of firm): _____

AOR/EOR Contact (name, title, phone #): _____

Owner's Construction Manager and/or Project Manager NOTE: This must be someone who was on site and can evaluate the Applicant's performance. (Please furnish person's name, title, employer, email address, and current phone #): _____

Description of Project and Scope of Work: _____

Original Contract Value: _____

Total Number of Change Orders on Project: _____ Extension Granted (# of days): _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____ Actual Date of Completion _____

4. List projects completed for *California school districts*, including community college districts, as a prime contractor in the last five (5) years (if not listed above). You may list two (2) San Diego Unified School District projects. Use a separate sheet if needed.

School District _____ Contract \$ _____ Prime? ____ Date Completed _____ Project Name/Description of Work _____ District Contact (PM/CM/Super) _____ Title _____ Phone _____ Email _____ Contact (PM/CM/Super/Inspect) _____ Title _____ Phone _____ Email _____
School District _____ Contract \$ _____ Prime? ____ Date Completed _____ Project Name/Description of Work _____ District Contact (PM/CM/Super) _____ Title _____ Phone _____ Email _____ Contact (PM/CM/Super/Inspect) _____ Title _____ Phone _____ Email _____
School District _____ Contract \$ _____ Prime? ____ Date Completed _____ Project Name/Description of Work _____ District Contact (PM/CM/Super) _____ Title _____ Phone _____ Email _____ Contact (PM/CM/Super/Inspect) _____ Title _____ Phone _____ Email _____
School District _____ Contract \$ _____ Prime? ____ Date Completed _____ Project Name/Description of Work _____ District Contact (PM/CM/Super) _____ Title _____ Phone _____ Email _____ Contact (PM/CM/Super/Inspect) _____ Title _____ Phone _____ Email _____
School District _____ Contract \$ _____ Prime? ____ Date Completed _____ Project Name/Description of Work _____ District Contact (PM/CM/Super) _____ Title _____ Phone _____ Email _____ Contact (PM/CM/Super/Inspect) _____ Title _____ Phone _____ Email _____

5. List two (2) current principle Trade Suppliers

Company	Material or Service Provided	Approx. Annual Volume	Contact	Phone #
				()
				()

6. List three (3) current principle Subcontractors

				()
				()
				()

District Use Only: Trade - Reference Verification <u>Supplier</u> Co. Name: _____ Spoke With: _____ Annual Volume: _____ Pd. at terms: Yes _____ No _____ Last usage date: _____ Ver. by _____ on _____ Comments: _____ <u>Subcontractor</u> Co. Name: _____ Spoke With: _____ Annual Volume: _____ Pd. at terms: Yes _____ No _____ Last usage date: _____ Ver. by _____ on _____ Comments: _____
--

7. List experience record of staff. You may also attach professional resumes of staff.

Name	Position	Years with Firm	Experience

SECTION 8 - FINANCIAL INFORMATION

Reviewed or audited statements will be required for bidding on projects under \$10,000,000.

Audited statements will be required for bidding on all construction projects of \$10,000,000 plus.

NOTE: A compilation is not acceptable.

NOTE: The Certificate of Accountant accompanying the financial statements shall not be made by any individual who is the regular employ of the individual, partnership or corporation submitting the statement; nor by any individual who is a member of the firm with more than a ten percent (10%) financial interest.

Accountant information:

Accounting Firm Name _____

Contact Name _____

Phone Number _____

Email Address _____

District Use Only: Verified by District by _____ on _____ by contacting _____ Is the client open and transparent with their financials? _____ Have there ever been any signs of fraud? _____ Were there events since issuing these financials that have changed your mind about their accounting practices? Comments: _____ _____ _____
--

SECTION 9 - SUPPLEMENTAL PREQUALIFICATION (OPTIONAL)

On September 1, 2017, SDUSD introduced higher tiers of prequalification. In order to prequalify for one or more higher tiers, contractors must meet all the requirements of the prequalification questionnaire for projects of \$1 million or greater ((\$1M+) = (Level 1)).

LEVEL 1 IS THE DISTRICT'S STANDARD PREQUALIFICATION. SEE PAGE 2.

PROJECTS OF \$30 MILLION OR GREATER – LEVEL 2

To be eligible to bid projects estimated at \$30M or greater, your firm must have completed at least one (1) K-12 or Community College District project of \$30M+ as a prime contractor in the State of California within the last five (5) years.

Use the Contractor Project Reference Form (Attachment A) to provide information on all K-12 or Community College District \$30M+ projects where your firm was the awarded prime contractor, both completed and currently in progress within the last 5 years in the State of California. Use as many forms as necessary, using one form for each project.

LEASE-LEASEBACK PROJECTS – LEVEL 3

Applicable to future RFQ/Ps let by the District.

To be considered as a prime contractor submitting proposals to San Diego Unified School District for Lease-Leaseback projects, your firm must have completed at least one (1) K-12 or Community College District project as a prime contractor of \$26M+ and completed at least one (1) Lease-Leaseback contract as a prime contractor, of over \$1 million, both in the State of California within the last seven (7) years.

Use the Contractor Project Reference Form (Attachment A) to provide information on all Lease-Leaseback K-12 or Community College District projects where your firm was the awarded prime contractor, both completed and currently in progress within the last 7 years in the State of California. Use as many forms as necessary, using one form for each project.

Attachment A
(Complete for Section 9 only)

Project Reference Form **Contractor Name:** _____
(Use 1 form per project)

Owner Agency: _____

Project Name: _____

Was your company a Prime contractor on this project? Yes / No

Scope of Work Performed: _____

Contract Type used (circle one): Lease-Leaseback, Design-Build, or Hard Bid

Original Contract Value: _____ Final Contract Value: _____

Change Orders – Total Number: _____ Change Orders - Total Value: _____

Owner-Initiated Change Orders - % of Total: _____

Change Orders due to differing site conditions - % of Total: _____

Other Change Orders - % of Total: _____

Original Scheduled Completion Date: _____ Actual Date of Completion _____

Time extensions voluntarily resolved with owner – calendar days: _____

Time extensions involuntarily resolved by mediation, arbitration or litigation – calendar days: _____

Architect or Engineer of Record (Firm): _____

AOR/EOR Contact (Name, Title, Phone #): _____

Owner Contact (Person’s Name, Job Title, Phone #): _____

Owner’s Construction Manager and/or Project Manager (This is someone who was on site and can evaluate your company’s performance.):

Name	Title	Employer	Phone
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APPENDICES

DISTRICT PREQUALIFICATION STANDARDS

- (1) Contractor's Statement of Experience
- (2) Appropriate California Contractor's License
- (3) Contractor's Financial Condition and Bondability
- (4) Certificate of Insurance
- (5) Certificate of Licensed Public Accountant

Only one (1) copy of the prequalification is required to be submitted. A new and current submittal shall be required each year by the anniversary date of initial qualification. In no case will prequalification remain in effect longer than one (1) year from the date of notice of prequalification. The District reserves the right to update or modify the Questionnaire at any time, which may result in a different Questionnaire being issued for any subsequent annual re-qualification. The following items must be provided or the prequalification submittal will not be accepted.

FINANCIAL INFORMATION

A. Audited & Reviewed Statement Requirements

Reviewed or audited statements will be required for bidding projects over \$1 million and under \$10 million. Audited statements will be required for bidding all construction projects totaling \$10 million or greater. *Note: A compilation is not acceptable.*

B. Accountant's Certificate

The certificate of a licensed Certified Public Accountant will be required in all cases. It will be acceptable for the accountant to submit a certificate in the accountant's own words. However, such qualifications shall not be so extensive as to nullify the value of the statement or its usefulness to the District.

C. Term of Financial Statements

A Contractor's financial information is valid until the date shown is more than eighteen (18) months old. The District reserves the right to reject statements in which the financial information is more than eighteen (18) months old. All applicable portions of the form should be completed with schedules attached if the space provided does not suffice.

PUBLIC WORKS REQUIREMENTS

Projects estimated at \$1,000,000 or above require the successful completion of at least two (2) public works projects completed in the state of California in the last five (5) years, where the contractor was the Prime and the award was for at least \$1,000,000.

INSURANCE

A minimum \$2,000,000 per occurrence and \$4,000,000 aggregate combined comprehensive single limit liability insurance is required for any project under \$5,000,000, and a minimum \$3,000,000 per occurrence and \$6,000,000 aggregate combined comprehensive single limit

liability insurance is required for any project over \$5,000,000. A Certificate of Insurance must state levels and dates of coverage.

BONDABILITY

The bonding surety is required to be an authorized surety in the state of California with an A.M. Best Key Rating of A-:VII or better. It is required that the contractor includes a letter of bondability from the surety indicating their support levels.

In the event that a Contractor is unable to obtain a bond in the time prescribed by the District, the Contractor may be suspended from the prequalified contractors list and not be allowed to bid on District projects until proof of bondability is provided.

NOTIFICATION OF PREQUALIFICATION RESULT

Completed prequalification forms must be submitted no later than the proposal deadline established in the Notice to Contractors.

Contractors will be notified of their prequalification rating by fax, e-mail or US mail, as well as posted to a list of prequalified contractors on the District's website. Notification will be made as soon as possible, but no later than 5 business days prior to bid opening.

PROCEDURE FOR APPEAL OF PREQUALIFICATION RESULTS

An appeal of prequalification results must be made in writing (e-mail is not acceptable). The appeal must be filed and received by the Contracts Administration Supervisor, at the address as mentioned herein, not more than five (5) calendar days following the date of issuance of the District's letter of denial of prequalification; and the written appeal sets 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 appeal shall be deemed waived. All factual contentions must be supported by competent, admissible and creditable evidence.

Within thirty (30) days after receipt of the Contractor's request the District will call to order a three-member appeal panel made up of Facilities Planning and Construction management/supervisory staff or any other staff deemed qualified by the District. The Contractor and up to three (3) representatives are invited to appear in person to bring before the appeal panel any additional or new information; Contractor's testimony shall be limited to twenty (20) minutes. The panel shall advise the Contractor on the points where his/her questionnaire response has fallen below the minimum required number of points to qualify, and allow the Contractor to speak to the issues. The Contractor is then released from the meeting and the panel members shall come to consensus on whether or not to allow the Contractor to prequalify. The Contractor will be faxed notification of the appeal panel's decision within five (5) days after the meeting.

If Contractor is not prequalified, they may not submit a new prequalification questionnaire for a period of one (1) year from date of disqualification. If Contractor requests an appeal and loses the appeal, the disqualification shall be for one (1) year from date of the panel's written decision.

Example of OSHA Form 300

Cal/OSHA Form 300 (Rev. 7/2007) Appendix A
 Log of Work-Related Injuries and Illnesses

Attention: This form contains information relating to employee health and must be used in a manner that protects the confidentiality of employees to the extent possible while the information is being used for occupational safety and health purposes. See CCR Title 8 14300.29(b)(8)-(10)

Year 20 
 Department of Industrial Relations
 Division of Occupational Safety and Health

You must record information about every work-related death and about every work-related injury or illness that involves loss of consciousness, restricted work activity or job transfer, days away from work, or medical treatment beyond first aid. You must also record significant work-related injuries and illnesses that are diagnosed by a physician or licensed health care professional. You must also record work-related injuries and illnesses that meet any of the specific recording criteria listed in CCR Title 8 Section 14300.8 through 14300.12. Feel free to use two lines for a single case if you need to. You must complete an Injury and Illness Incident Report (Cal/OSHA Form 301) or equivalent form for each injury or illness recorded on this form. If you're not sure whether a case is recordable, call your local Cal/OSHA office for help.

Establishment name _____
 City _____ State _____

Identify the person		Describe the case				Classify the case				Enter the number of days the injured or ill worker was		Check the "injury" column or choose one type of illness					
(A) Case no.	(B) Employee's name	(C) Job title (e.g., Welder)	(D) Date of injury or onset of illness	(E) Where the event occurred (e.g., Loading dock north end)	(F) Describe injury or illness, parts of body affected, and object/substance that directly injured or made person ill (e.g., Second degree burns on right forearm from acetylene torch)	Using these four categories, check ONLY the most serious result for each case:				(K)	(L)	(M)					
						Death	Days away from work	Restricted work activity				(1) Injury	(2) Skin disorder	(3) Respiratory condition	(4) Poisoning	(5) Hearing loss	(6) All other illnesses
						(G)	(H)	(I) Job transfer or restriction	(J) Other recordable cases	_____ days	_____ days	(1)	(2)	(3)	(4)	(5)	(6)
_____	_____	_____	month/day	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ days	_____ days	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Page totals >>> _____												(1)	(2)	(3)	(4)	(5)	(6)

Be sure to transfer these totals to the Summary page (Form 300A) before you post it.

Page ____ of ____