NOTICE TO SUB-CONTRACTORS
FOR THE FOLLOWING SPECIALTY TRADES:

MECHANICAL SYSTEMS
PLUMBING SYSTEMS
ELECTRICAL SYSTEMS
LOCK AND SECURITY EQUIPMENT SYSTEMS
LOW VOLTAGE SYSTEMS

FOR PRE-QUALIFICATION OF SUB-CONTRACTORS SEEKING TO BID ON THE

San Luis Obispo County Juvenile Hall Expansion
Project No 320032
San Luis Obispo County, California

December 18, 2012

CONTENTS OF PRE-QUALIFICATION PACKAGE

Notification Announcement

Section 1: General Instructions and Information

- General Information
- Data required
- Current Financial information
- Accountant's Certificate
- Affidavits
- Questions
- County of San Luis Obispo Rights
- Appeal Rights

Section 2: Project Overview

- Project Location
- Project Description

Section 3: Evaluation Criteria

Section 4: Application for Pre-Qualification [documents to submit]

- Part I – Organization Information and Affidavit
- Part II – Essential Requirements for Qualification
- Part III – Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws
- Part IV – Organization's Statement of Experience and Recent Construction Projects Completed
- Part V – Organization's Financial Statements and Insurance Requirements
- Part VI – Attachments Required

Section 5: List of Scorable Questions and the Scoring Ranges

For Informational Purposes Only

Section 6: Sub-Contractor Pre-Qualification Evaluation Matrices

NOTIFICATION OF PRE-QUALIFICATION OF SUB-CONTRACTORS
Seeking to Bid on the County of San Luis Obispo Juvenile Hall Expansion, #320032
1065 Kansas Avenue, San Luis Obispo, CA

NOTICE IS HEREBY GIVEN that the County has determined that Sub-Contractors of specific specialty trades who intend to bid on the Juvenile Hall Expansion Project must be pre-qualified prior to be able to participate in the bidding process for this project. The Pre-qualification Evaluation is solely for the purpose of determining which Sub-Contractors of specialty trades are deemed qualified to participate in the successful performance of the construction of the Juvenile Hall Expansion Project in a timely manner. The act of providing a Pre-qualification submittal does not, in itself, guarantee the pre-qualification will be granted or that Sub-Contractor will receive a contract in connection with the Juvenile Hall Expansion Project.

The County of San Luis Obispo ("County") seeks to pre-qualify Sub-Contractor firms ("Sub-Contractor") of the following specialty trades: Mechanical Systems, Plumbing Systems, Electrical Systems, Lock and Security Equipment Systems, and Low Voltage Systems for the construction of the Juvenile Hall Expansion Project, and now invites sealed Pre-qualification Applications. The specialty trades which must be pre-qualified are as follows:

- Mechanical Systems (CA Class C20 contractor's license)
- Plumbing Systems (C36 contractor's license)
- Electrical Systems (CA Class C10 contractor's license)
- Lock and Security Equipment Systems (CA Class C28, contractor's license).
- Low Voltage Systems (CA Class C7 contractor's license).

Only Sub-Contractors with the required contractor's license that have been determined to be qualified under this process will be allowed to bid on the Juvenile Hall Expansion Project.

A Sub-Contractor who desires to pre-qualify and submit a bid must have specific relevant experience completing at least three projects for which total construction costs were in excess of $5,000,000, for correctional, military, justice, hospital, or educational facilities.

The engineer's estimate for this Juvenile Hall Expansion Project is **$12,700,000**. The project is an expansion of the existing 45 bed Juvenile Hall facility located at 1065 Kansas Ave in north of the city of San Luis Obispo. The expansion project includes the construction of a 20 to 30 bed detention housing unit, classrooms, gymnasium, recreational yards, staff support offices, and exterior improvements totaling approximately 22,750 square feet.

The Pre-qualification Process will include the submittal by Sub-Contractors of completed Pre-qualification Documents within the prescribed deadline and the County's evaluation of Pre-qualification Document responses based on a list of Scorable Questions and Scoring Ranges. **Only pre-qualified Sub-Contractors will be eligible to participate in the bidding process with the pre-qualified General Contractors.**

The County is concurrently in the process of pre-qualifying General Contractors. In the event a Sub-Contractor desires to qualify for more than one specialty trade, the contractor must submit a pre-qualification application for each specialty trade and must be separately pre-qualified to self-perform each specialty trade. In the event a contractor desires to pre-qualify for this project as a General

Contractor and wishes to self-perform one or more of the specialty trades listed above, the contractor must also submit a pre-qualification application for that specialty trade and must be separately pre-qualified to self-perform that specialty trade. General Contractors that wish to use particular sub-contractors for a specialty trade listed above need to notify those sub-contractors of the pre-qualification application process.

SUBMISSION OF PRE-QUALIFICATION APPLICATIONS

On **May 6th, 2013**, Pre-qualification Applications will be available to interested Sub-Contractors and may be obtained from the General Services Agency receptionist at 1087 Santa Rosa, San Luis Obispo, CA, (805) 781-5200 and is posted on the County's Purchasing website at:

www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm

Any changes, additions, deletions, clarifications to this application process will be the form of a written addendum issued by the County. **Addendums shall be posted on the website. Contractors must check the website for Addendums or other relevant information during the response period.** All addendums become a part of this application request. The County is not responsible for the failure of any prospective applicant to receive such addendum and information issued during the response period. It is solely the responsibility of each contractor to ensure that they receive any and all addenda.

Requests for Clarification of the process or the documents may be in writing and submitted by mail or email to the project manager listed below, no later than 5:00 p.m. (PST), June 10, 2013. The County reserves the right to determine the appropriateness of the comments/questions that will be posted on the Website.

County of San Luis Obispo, General Services Agency
Kathy Mac Neill, Architectural Services
1087 Santa Rosa, San Luis Obispo, CA 93408
(805) 781-5200, kmacneill@co.slo.ca.us

Applications must be received by **5:00 p.m. (PST) on June 20, 2013** at the above address. No fax or e-mail copies will be accepted. One (1) original, five (5) copies, and one (1) electronic version of the completed Pre-qualification Documents shall be submitted with the exception of the financial statement information required in Section 4, Part V and Part VI, which only requires only one (1) copy (instead of five (5) copies) in addition to the original and electronic versions. The originals, copies, and electronic version shall be submitted in two (2) sealed packets (one with original and electronic copy, one with copies) to:

County of San Luis Obispo, General Services Agency
Debbie Belt, GSA Purchasing
1087 Santa Rosa, San Luis Obispo, CA 93408
(805) 781-5200, dbelt@co.slo.ca.us

Pre-qualification Applications shall be submitted in sealed envelopes, clearly marked:

Sub-Contractor – "Specify the Specific Trade You are Applying For"
CONFIDENTIAL: Pre-Qualification Application
JUVENILE HALL EXPANSION PROJECT, # 320032
Contractor Business Name
Business Address

It is **mandatory** that all Sub-Contractors who intend to submit a bid for the Juvenile Hall Expansion Project fully complete the Pre-qualification Questionnaire, provide all materials requested therein, and be found acceptable by a County appointed selection committee in order to be placed on the pre-qualified bidders list. No bid will be accepted from a Sub-Contractor that has failed to comply with these requirements.

APPLICATION FOR PREQUALIFICATION OF SUB-CONTRACTORS

Seeking to Bid

San Luis Obispo County Juvenile Hall Expansion
1065 Kansas Avenue
San Luis Obispo, CALIFORNIA

Qualification Process Administered by
COUNTY OF SAN LUIS OBISPO, GENERAL SERVICES AGENCY
1087 Santa Rosa Street
San Luis Obispo, CA. 93408

The following Application for Prequalification (AFP) document is distributed with the intent to pre-qualify sub-contractors for construction of the San Luis Obispo Juvenile Hall Expansion (Project). The Project will construct three new buildings and an exterior covered walkway providing approximately 22,750 square feet of additional new housing, recreation yard, classrooms, mental health office, counseling rooms, training/conference rooms, indoor multi-purpose/recreation, and administrative/teachers office space.

The new maximum security housing facility will be a single story building with approximately 7,920 square feet of living space, with 20 single occupancy sleeping rooms. This new housing wing will also include a large day room to be used for eating meals and activities, and two counseling interview rooms. Adjacent to this housing facility will be a new outdoor recreation yard approximately 6,800 square feet. The project will also include a bid alternate for an additional 10 single occupancy sleeping rooms within the proposed footprint of the housing facility. The funding for this bid alternate would be provided by the county.

The academics/administration building will be a two-story building of approximately 9,824 square feet. This building will contain administration and staff support areas; classrooms, teacher conference room; and mental health office.

A multi-purpose/recreation facility will be a single story building with approximately 5,000 square feet of space with a bid alternate to increase the building to 5,680 square feet. This building will be accessible from the other buildings via an exterior covered walkway and will serve as an indoor large muscle exercise multipurpose gymnasium. The gymnasium will allow daily physical education when it is raining or there is other inclement weather.

This project will include, but is not limited to, electrical; lighting; energy management and savings systems; plumbing; mechanical; heating, ventilation, and air conditioning; security; digital cameras; and fire protection systems. The buildings will be constructed of steel, mansonry, and concrete for long-term durability. In addition, there will be a detention basin and drainage improvements that provide storm water control measures, retaining walls, security systems, a fire access road, and security fencing with lighting surrounding the facility to provide grounds security.

The specialty trades which must be pre-qualified are as follows:

- Construction of Mechanical Systems (requires current and active CA Class C20 contractor's license). Construction includes, but is not limited to the furnishing and installation of metal and non-metal ducts, power ventilators, air terminal units, air-handling units, and split-system air-conditioners, smoke control systems.

- Construction of Plumbing Systems (requires current and active C36 contractor's license). Construction includes, but is not limited to the furnishing and installation of facility water distribution piping, domestic water piping, facility sanitary sewers, facility storm drainage piping, water heaters, and plumbing fixtures.
- Construction of Electrical Systems (requires current and active CA Class C10 contractor's license). Construction includes, but is not limited to, the furnishing and installation of electrical power, low-voltage transformers and switchgear, emergency generators, transfer switches, exterior lighting, interior lighting and network lighting controls.
- Construction of Lock and Security Equipment Systems (requires current and active CA Class C28 contractor's license). Construction includes, but is not limited to, the furnishing and installation of exterior and interior detention hollow metal, detention locking systems/hardware, security glazing, detention furnishings, and detention metal wall panels.
- Construction of Low Voltage Systems (requires current and active CA Class C7 contractor's license). As it applies to the following Security systems and equipment including, but is not limited to, the furnishing and installation of the door/gate control and alarm monitoring, duress alarm, video surveillance (CCTV), intercom and public address, programmable logic controllers, and all software development/PLC programming for security and related system integration.

Applications for Prequalification are DUE June 20, 2013. No fax or e-mail copies will be accepted. Submittals received after the specified time and date will not be considered and will be returned unopened to the sender. **THIS SUBMISSION DEADLINE WILL BE STRICTLY ENFORCED.** Contractors are encouraged to submit pre-qualification packages as soon as possible, so that they may be notified of omissions of information to be remedied or of their pre-qualification status well in advance of the bid advertisement for this project.

SECTION 1: GENERAL INSTRUCTIONS AND INFORMATION

A. General Information

This Pre-qualification to bid the **San Luis Obispo County Juvenile Hall Expansion,** located at **1065 Kansas Avenue, San Luis Obispo, California,** is required regardless of and in addition to any prequalification for County of San Luis Obispo work which a sub-contractor may already have on file. Pre-qualification by County of San Luis Obispo for this Project shall remain valid until the contract for construction is awarded or until responding firms are notified in writing by the County in the unexpected event that no construction contract is awarded. It is mandatory that all Sub-Contractors who intend to submit a bid with a General Contractor fully complete the pre-qualification questionnaire, provide all materials requested, and be approved by San Luis Obispo County to be on the final qualified Bidders list. No bid will be accepted from a Contractor that has failed to comply with these requirements**.**

NOTES:

1. Limited Liability Corporations (LLC) will be required to comply with a Guaranty of Obligations. Answers to questions contained in the attached questionnaire and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information are required. San Luis Obispo County will use these documents as the basis of rating Sub-Contractors in respect to the size and scope of contracts upon which each Sub-Contractor is qualified to bid. San Luis Obispo County reserves the right to check other sources available. San Luis Obispo County's decision will be based on objective evaluation criteria. San Luis Obispo County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Sub-Contractors, whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a prequalification rating. While it is the intent of the pre-qualification questionnaire and required documents to assist San Luis Obispo County in determining bidder responsibility prior to bid and to aid San Luis Obispo County in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude San Luis Obispo County from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness to be awarded a contract pursuant to California Public Contract Code.

B. Data Required

All portions of Application for Pre-qualification Parts I through VI, should be completed, with additional information attached if the space provided does not suffice. Failure to include the information called for may result in disqualification. It is essential that construction experience of the sub-contractor be demonstrated, as such experience is considered in establishing prequalification.

NOTE: The pre-qualification packages (questionnaire answers and financial statements) submitted by Sub-Contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

Each affidavit and certification form must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Sub-Contractor on whose behalf that person is signing. If any information provided by a Sub-Contractor becomes inaccurate, the Sub-Contractor must immediately notify San Luis Obispo County and provide updated accurate information in writing, under penalty of perjury.

Sub-Contractors shall submit pre-qualification packages during regular working hours on any day that the San Luis Obispo County, General Services Agency offices are open, up to the deadline of 5:00 PM, local time**, June 20, 2013**. San Luis Obispo County may refuse to grant pre-qualification where the requested information and materials are not provided by the submittal deadline. There is no appeal from a refusal for an incomplete or late application. The closing time for applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

C. Current Financial Information

Sub-Contractor shall provide a complete financial statement indicating organization's financial condition. Financial statements provided by sub-contractors shall not be older than six (6) months prior to the date of filing this Pre-qualification Application. The financial statements are to be reviewed and audited, and submitted with any accompanying notes and supplemental information. The County of San Luis Obispo reserves the right to reject financial statements in which the financial condition reported is of a date six (6) months or more prior to the date of filing.

D. Accountant's Certificate

The certificate of a Certified Public Accountant (CPA) is required to verify the accountant's qualifications to review and certify the financial statement submitted by the Contractor. The CPA may make a statement in their own words, including such qualifications as may be necessary in view of the scope of this assignment, provided that such qualifications shall not be so extensive as to nullify the value of the statement or its usefulness to the County of San Luis Obispo. Certificate shall be signed and shall indicate license/certificate number. Bearing in mind that working capital is an important factor in determining the prequalification of the sub-contractor, the accountant will perform a valuable service for their client and at the same time assist the County, if they will furnish, by supplemental schedules or as part of their certificate, any information not specifically called for by the statement which in their opinion might be taken into consideration. In the event that the sub-contractor's job income and expenditures are accounted on a completed contract basis and the balance sheet includes an item reflecting the excess of costs to date over billings to date, or vice versa, the elements of "Accumulated Costs" and "Billings to Date" must be shown in support of the balance sheet item.

E. Affidavits

The appropriate affidavit must be completely executed or the statement will be disqualified.

F. Questions

Sub-Contractors are required to submit any questions in writing no later than 5:00 PM, local time**, June 10, 2013**. No other questions will be received after deadline. Only written inquiries will be permitted. Questions must be submitted in writing, by mail, email or fax to the Project Manager:

Ms. Kathy Mac Neill
c/o County of San Luis Obispo,
General Services Agency
1087 Santa Rosa Street
San Luis Obispo, California 93408
Email: kmacneill@co.slo.ca.us
Phone No: 805-781-5200

Only written inquiries will be responded to. Under no circumstance are any prospective sub-contractors or anyone receiving the Application for Pre-qualification, to contact, discuss with, or inquire of any County consultant, employee, or elected official on any matter relating to this solicitation process. This requirement is to ensure that the same information is communicated to all parties and that no inconsistent, incomplete, or inaccurate information is transmitted separately.

G. COUNTY OF SAN LUIS OBISPO RIGHTS

The County reserves the right to waive minor irregularities and omissions in the information contained in the Pre-qualification Application submitted, and to make all final determinations. The County also reserves the right to terminate this Pre-qualification Process at any time.

The County may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by the date specified above. There is no appeal from a refusal to grant pre-qualification for an incomplete or late application. The closing time for the submission of Pre-qualification Applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

The County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequent learned information. A Sub-contractor that is pre-qualified may take out bidding documents and submit a bid for the Juvenile Hall Expansion Project (Project) to the pre-qualified General Contractors. A Sub-contractor that is not pre-qualified is not eligible to submit a bid as a Sub-contractor for a specified specialty trade. While it is the intent of the Pre-qualification Documents to assist the County in determining bidder responsibility prior to bid and to aid it in selection of the lowest responsible bidder, the pre-qualification will not preclude the County from conducting a post-bid evaluation of whether a bidder: (a) has the quality, fitness, experience, competency, capability and demonstrates the requisite trustworthiness to complete a project of this type, (b) has key personnel with sufficient expertise and training to competently manage and complete the construction of the project; and (c) has the financial capacity to perform and complete the project. Sub-contractors whose rating changes sufficiently to disqualify them will be notified and given an opportunity for a hearing consistent with the hearing procedures described for appealing a pre-qualification rating.

H. Appeal Rights

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is initiated by the Contractor delivering notice to San Luis Obispo County of Contractor's appeal of the decision with respect to its pre-qualification rating, **no later than ten business days** following the date of written notification from San Luis Obispo County that the Contractor does not meet the rating established by San Luis Obispo County. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of San Luis Obispo County, whether by administrative process, judicial process or any other legal process or proceeding. If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after San Luis Obispo County's receipt of the notice of appeal. The hearing shall be an informal process conducted by an Appeals Panel to which the County Administrator's Office has delegated responsibility to hear such appeals. At or prior to the hearing, the Contractor will be advised of the basis for San Luis Obispo County's pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within one day after the conclusion of the hearing, the Appeals Panel will render its decision which shall be final and not subject to further appeal. It is the intention of San Luis Obispo County that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

Note: A Contractor may be found not pre-qualified for bidding on the aforementioned specific Juvenile Hall Expansion project to be let by San Luis Obispo County until the contractor meets San Luis Obispo County's requirements. In addition, a contractor may be found not pre-qualified for either:

(1) Omission of requested information or
(2) Falsification of information

SECTION 2: PROJECT OVERVIEW

A. Project Location

The project is located at the existing San Luis Obispo County Juvenile Service Center at 1065 Kansas Avenue, San Luis Obispo, San Luis Obispo County, California. The project delivery method for San Luis Obispo County Juvenile Hall Expansion project will be through a single prime contract awarded through a Lump Sum bid package. The Project is expected to bid in September 2013. The County's estimate of probable construction costs is $12,700,000 and the estimated construction duration is eighteen (18) months.

B. Project Description

This project will design and construct an expansion of the existing County Juvenile Hall located on approximately 2 acres of approximately 10.7± acres of county owned land. The project will construct three new buildings and an exterior covered walkway providing approximately 22,750 square feet of additional new housing, recreation yard, classrooms, mental health office, counseling rooms, training/conference rooms, indoor multi-purpose/recreation, and administrative/teachers office space.

The new maximum security housing facility will be a single story building with approximately 7,920 square feet of living space, with 20 single occupancy sleeping rooms. This new housing wing will also include a large day room to be used for eating meals and activities, and two counseling interview rooms. Adjacent to this housing facility will be a new outdoor recreation yard approximately 6,800 square feet. The project will also include a bid alternate for an additional 10 single occupancy sleeping rooms within the proposed footprint of the housing facility. The funding for this bid alternate would be provided by the County.

The academics/administration building will be a two-story building of approximately 9,824 square feet. This building will contain administration and staff support areas; classrooms, teachers conference room; and mental health office space.

A multi-purpose/recreation facility will be a single story building with approximately 5,000 square feet of space with a bid alternate to increase the building to 5,680 square feet. This building will be accessible from the other buildings via an exterior covered walkway and will serve as an indoor large muscle exercise multipurpose gymnasium. The gymnasium will allow daily physical education when it is raining or there is other inclement weather.

This project will include, but is not limited to, electrical; lighting; energy management and savings systems; plumbing; mechanical; heating, ventilation, and air conditioning; elevators; security; digital cameras; and fire protection systems. The buildings will be constructed of steel and concrete for long-term durability. In addition, there will be a detention basin and drainage improvements that provide storm water control measures, retaining walls, security systems, a fire access road, and security fencing with lighting surrounding the facility to provide grounds security.

Contractor Project Milestone Schedule

The County currently anticipates conducting the procurement of the Juvenile Hall Expansion Project in accordance with the following milestones, leading to award of a construction contract. This schedule is subject to revision and the County reserves the right to modify this schedule as it finds necessary.

Issue Application for Pre-qualification	May 6, 2013
Deadline for Questions	June 10, 2013
PRE-QUALIFICATION APPLICATION DUE	**June 20, 2013**
Selection of pre-qualified Sub-Contractors	August 2013
Issue of Bid Documents	October 2013
Bids Due	November 2013
Contract Award/Notice to Proceed	January/February 2013
Project Substantial Completion	August 2015

SECTION 3: EVALUATION CRITERIA

A. General: The County intends to utilize the Department of Industrial Relations, Model Forms for Pre-qualification, suggested scoring method for scorable questions. The scoring of the recent construction projects will be based on the submitted comparable projects that meet as many of the following components as possible:

- Facilities with approximately 10,000 gross square footage area and total construction costs of at least $5,000,000.
- Large, complex, detention or other applicable secure campus facilities
- Projects with complex interrelated building systems such as security monitoring and alarm, building and energy management, telecommunications, data distribution and other related subsystems
- Projects requiring completion of the project in phases, allowing owner occupancy of portion of completed phase(s) prior to final completion of whole project
- Projects requiring work in adjacent existing site/facility that remains occupied and operational, while new work including utilities, site features, security, building and energy management, and telephone/data systems are constructed and connected to the existing facility

B. Qualifications will include:

- Evaluation and verification of Sub-Contractor's or entity's current ability and history to secure Liability and Workers' Compensation insurance
- Evidence and history of proper licensing
- Financial ability
- History of litigation and claims; or other adverse actions
- Safety record

C. Experience to be evaluated will include:

- History of firm/entity
- Organization of firm/entity
- Relevant experience of firm/entity
- Experience of proposed key personnel to be assigned to Project
- Firm's/entity's experience in successfully completing public works projects of similar size, scope and complexity

SECTION 4: APPLICATION FOR PRE-QUALIFICATION

The specific documents that must be submitted and attached are:

Part I Organization Information and Affidavit

Part II Essential Requirements for Qualification

Part III Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws

Part IV Organization's Statement of Experience and Recent Construction Projects Completed

Part V Organization's Financial Statements and Insurance Requirements

Part VI Attachments Required

PART I. ORGANIZATION INFORMATION and AFFIDAVIT

The following documents, Pre-qualification Application, Parts I through VI, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification, in accordance with the Public Contract Code, for the aforementioned Project:

Firm Name: Check One:

☐ Corporation (as it appears on license)

☐ Partnership

☐ Sole Prop

Contact Person:_____

Address: _____

Phone: Fax: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s) Classification(s), expiration date(s): _____

_____

AFFIDAVIT

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

Dated: _____

_____
(Authorized Signature)

_____
(Printed name and title)

PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Sub-Contractor will be immediately disqualified if the answer to any of questions 1 through 5 is "no."[1]. Sub-Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is "yes."[2]. If the answer to question 8 is "yes," and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

1. Sub-Contractor possesses a valid and current California Contractor's Specialty License for the trade for which it intends to submit.

   ☐ Yes ☐ No

2. Sub-Contractor has a commercial general liability insurance policy with a policy limit of at least $1,000,000 per occurrence. and $5,000,000 aggregate.[RM1]

   ☐ Yes ☐ No

3. Sub-Contractor has current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.

   ☐ Yes ☐ No

   Sub-Contractor is exempt from this requirement, because it has no employees

4. Have you attached a copy of our most recent reviewed or audited financial statement with accompanying notes and supplemental information.[3]

   ☐ Yes ☐ No

NOTE: A financial statement must either be reviewed or audited to be considered acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

5. SKIP QUESTION

6. Has your Contractor's license been revoked at any time in the last five years?[1]

   ☐ Yes ☐ No

7. SKIP QUESTION

8. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a sub-contractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

   ☐ Yes ☐ No

   If the answer is "Yes," state the beginning and ending dates of the period of debarment: _____
   _____

9. At any time during the last five 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? [1]

☐ Yes ☐ No

Notes:

1. A "no" answer to Question 4 will not be disqualifying if the sub-contractor is exempt from complying with Question 4 for reasons explained in Note 3.

2. A Sub-Contractor disqualified solely because of a "Yes" answer given to question 6, 7, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

3. Public Contract Code Section 20101(e) exempts from this requirement a sub-contractor who has qualified as a Small Business Administration entity pursuant to Government Code Section 14837(d)(1), when the bid is "no more than 25 percent of the qualifying amount provided" in Government Code Section 14837(d)(1).[RM2]

PART III. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, 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, and treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership	Social Security #

1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or 10 percent or more of its stock, if the business is a corporation.

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

☐ **For Firms That Are Partnerships:**

1a. Date of formation: _____
1b. Under the laws of what state: _____
1c. Provide all the following information for each partner who owns 10 percent or more of the firm.

Name	Position	Years with Co.	% Ownership	Social Security #

1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

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

☐ **For Firms That Are Sole Proprietorships:**

1a. Name of business owner:_____
1b. Date of commencement of business:_____
1c. Social security number of company owner:_____
1d. 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.

Company	Position	Years with Co.	% Ownership

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 five 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 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

   ☐ Yes ☐ No If "yes," explain on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms?

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

   ☐ Yes ☐ No If "yes," explain on a separate signed page.

5. State your firm's gross revenues in dollars for each of the last three fiscal years:_____
   _____

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

7. Is your firm currently the debtor in a bankruptcy 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. _____

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

   ☐ 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.

Licenses

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

   _____

   _____

10. 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 Contractors State Licensing Board (CLSB) records who meet(s) the experience and examination requirements for each license.

_____

_____

11. Has your firm changed names or license number in the past five years?

☐ Yes ☐ No If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations) officer of your firm operated a construction firm under any other name in the last five years?

☐ Yes ☐ No If "yes," explain on a separate signed page, including the reason for the change.

13. 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 years?

☐ Yes ☐ No If "yes," please explain on a separate signed sheet.

Disputes

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

☐ Yes ☐ No If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, and the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification 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.

16. In the last five 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," explain on a separate signed 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 your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or sub-contractor. 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.

17. In the past five years has any claim **against** your firm concerning your firm's work on a construction project 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).

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and **filed that claim either with a public entity pursuant to Government Code sections 810 et seq., or in court or arbitration**?

    ☐ 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).

19. SKIP QUESTION

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

    ☐ Yes ☐ No If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

Criminal Matters and Related Civil Suits

21. 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 is representation 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.

22. 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?

    ☐ 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 conviction and the grounds for the conviction.

23. 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," 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.

Bonding – SKIP QUESTION

24. SKIP QUESTION

25. SKIP QUESTION

C. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

26. Has the California Occupational Safety and Health Administration (CAL OSHA) cited and assessed penalties against your firm for any "serious", "willful" or "repeat" violations of its safety or health regulations in the past five years?

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 the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

27. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm 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.

28. Has the state or Federal Environmental Protection Agency, California Department of Fish and Game, Army Corps of Engineers, US Fish and Wildlife Service, any local/regional Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

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.

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

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

    NOTE: your workers' compensation insurance carrier issues an Experience Modification Rate to your firm annually.

    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.

31. Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

    ☐ Yes ☐ No If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)

Prevailing Wage and Apprenticeship Compliance Record

32. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the State's prevailing wage laws?

    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 sub-contractor.

    ☐ Yes ☐ No If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

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

    ☐ 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.

34. 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 use on any public work project for which you are awarded a contract by San Luis Obispo County.

35. If your firm operates its own State-approved apprenticeship program:

    (a) Identify the 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 years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public construction projects?

    ☐ Yes ☐ No If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

PART IV. ORGANIZATION'S STATEMENT OF EXPERIENCE AND RECENT CONSTRUCTION PROJECTS COMPLETED

Name of Organization_____

Provide information on projects completed or currently in progress that demonstrate your organization's experience with projects of similar scope, size and complexity as the San Luis Obispo County Juvenile Hall Expansion.

Please label response consistent to the categories listed below and includes project name, location, construction value, and owner contact information.

1. Relevant Projects

Provide specific project related experience, relevance of scope, size and complexity. Submit at least (3) examples recently completed or in progress projects and no more than six (6) examples of your organization's relevant projects completed within the last ten (10) years, including at least three (3) public/ government bid projects in the state of California . Relevant projects shall include as many of the following components and construction types, as applicable:

a. At least one 20,000 gross square foot (or greater) correctional, military, justice, medical, or education facility, or the addition of 20,000 square feet to an existing facility.
<u>Failure to provide this information will automatically disqualify the Sub-Contractor.</u>

b. Correctional, military, justice, medical, or education Facilities with approximately a 10,000 gross square footage area or total construction costs of at least $5,000,000.

c. Large, complex, detention military, justice, hospital, or other applicable secure campus facilities with related scope, complexity and value as described above, and specifically projects under the regulatory jurisdictions such as:

- U.S. Department of Justice:
  - Bureau of Prisons
  - Department of Homeland Security
  - Immigration and Customs Enforcement
- U.S. Marshalls Office
- Department of Defense Facilities
- CA Department of Corrections and Rehabilitation
- Corrections Standards Authority
- Office of Statewide Health Planning and Development

d. Projects with complex interrelated building systems such as security monitoring and alarm, building and energy management, telecommunications, data distribution and other related subsystems.

e. Projects requiring completion of the project in phases, possibly allowing owner occupancy of portion of completed phase(s) prior to final completion of whole project.

f. Projects requiring work in adjacent existing site/facility that remains continually occupied and operational, while new work including utilities, site features, security, building and energy management, and telephone/data systems are constructed and connected to the existing facility Clearly identify the relevance of each project and be specific as to the nature of any self-performed work and the role of your organization in the management of the overall project.

List each project by name, location, year of completion, and owner's name, owner's project manager's name and current contact information including phone number. Include a description of the construction type, project schedule, and the construction value of the work performed. Photos and other graphic materials would be helpful to delineate each project. A Sample Format is included following this listing of categories.

2. Key Personnel

Separately, provide proposed key personnel's qualifications, experience, length of employment with company, and training to competently manage this project. Key personnel shall include principal(s), or officer(s) having overall project responsibility, as well as on-site project manager(s), superintendent(s), project controls engineer(s), schedule manager(s), and all others involved in the management of the project. Provide an overview of how your organization intends to structure on-site management operations and interface with the home office, owner, general contractor and County representatives during the construction of the project.

Part IV Example Project 1

a) Project Name: _____

b) Location: _____

c) Owner: _____

d) Owner Contact (name and current phone number): _____

_____

e) Architect Engineer (name of firm): _____

f) Architect or Engineer contact (name and current phone number): _____

_____

g) General Contractor (name and current phone number): _____

_____

h) Description of Project: _____

_____

_____

_____

_____

_____

i) Identification of Project:

☐New Construction ☐Renovation ☐Structural Rehabilitation

Addition ☐ Remodel ☐Specialty Upgrade ☐Other- Explain_____

j) Scope of Work performed: _____

_____

_____

_____

k) Explain relevance to this project: _____

_____

_____

l) Total value of Project: _____ SQ FT? _____

m) Total number and total value of change orders:_____

n) Original Scheduled Completion Date: _____

o) Time Extensions Granted (number of days): _____

p) Actual Date of Completion: _____

Sub-Contractor's Team:

Position/Name: _____

Position/Name: _____

Position/Name: _____

Attachments

☐Photos

☐Others

NOTE: contact information will only be used to verify information as needed.

Part IV Example Project 2

a) Project Name: _____

b) Location: _____

c) Owner: _____

d) Owner Contact (name and current phone number): _____

_____

e) Architect Engineer (name of firm): _____

f) Architect or Engineer contact (name and current phone number): _____

_____

g) General Contractor (name and current phone number): _____

_____

h) Description of Project: _____

_____

_____

_____

_____

_____

i) Identification of Project:

☐New Construction ☐Renovation ☐Structural Rehabilitation

Addition ☐ Remodel ☐Specialty Upgrade ☐Other- Explain_____

j) Scope of Work performed: _____

_____

_____

_____

k) Explain relevance to this project: _____

_____

_____

l) Total value of Project:_____SQ FT?_____

m) Total number and total value change orders:_____

n) Original Scheduled Completion Date: _____

o) Time Extensions Granted (number of days): _____

p) Actual Date of Completion: _____

Sub-Contractor's Team:

Position/Name:_____

Position/Name:_____

Position/Name:_____

Attachments

☐Photos

☐Others

NOTE: contact information will only be used to verify information as needed.

Part IV Example Project 3

a) Project Name: _____

b) Location: _____

c) Owner: _____

d) Owner Contact (name and current phone number): _____

_____

e) Architect Engineer (name of firm): _____

f) Architect or Engineer contact (name and current phone number): _____

_____

g) General Contractor (name and current phone number): _____

_____

h) Description of Project: _____

_____

_____

_____

_____

_____

i) Identification of Project:

☐New Construction ☐Renovation ☐Structural Rehabilitation

Addition ☐ Remodel ☐Specialty Upgrade ☐Other- Explain_____

j) Scope of Work performed: _____

_____

_____

_____

k) Explain relevance to this project: _____

_____

_____

l) Total value of Project:_____ SQ FT?_____

m) Total number and total value of change orders:_____

n) Original Scheduled Completion Date: _____

o) Time Extensions Granted (number of days): _____

p) Actual Date of Completion: _____

Sub-Contractor's Team:

Position/Name:_____

Position/Name:_____

Position/Name:_____

Attachments

☐Photos

☐Others

NOTE: contact information will only be used to verify information as needed.

PART V. ORGANIZATION'S FINANCIAL STATEMENT

Name of Organization _____

1. Financial Statements and Supplemental Information[RM3]

Financial pre-qualification will be established by determining capacity to perform the County of San Luis Obispo contract in the following manner:

a. Working capital is determined from the most recent balance sheet submitted, by subtracting the current liabilities from current assets.

b. Available lines of credit or other credit facilities are then added to the working capital, and then the sum is multiplied by ten (10).

c. Uncompleted work on current contracts, which have been awarded to your organization (backlog), will be subtracted from the amount determined in paragraph "b" above.

Should your organization not qualify on the basis of the above calculation, the County may consider other alternative information you can provide that, in its sole judgment, indicates clearly your ability to meet the financial requirements of the anticipated County contract. This information must include the required data described below, and sufficient supplemental analysis and description as needed to clearly present your position. This information must be submitted with your AFP. It is your responsibility to make the above described calculation and determine if additional information will be required to demonstrate your ability to perform the project.

2. Information you must submit includes:

a. Full set of financial statements for your most recent three (3) complete fiscal years, accompanied by either an audit or review report by an independent Certified Public Accountant. ***Compiled or internally prepared financial statements will not be accepted.*** Statements, which are older than six (6) months, must be supplemented by internally prepared financial statements, which update the information to no more than six (6) months from the date of submission of the AFP. Such statements must be prepared in accordance with generally accepted accounting principles, including all required information disclosures.

b. Letter from a financial institution in support of available lines of credit or other facilities, if you wish them to be considered in prequalification. See attached "General Statement of Bank Credit" for sample language; Attachment – 1A.

c. Schedule indicating contracts, which have been awarded to you, and reconciling the original award, any amendments, completed portion and uncompleted portion of such contracts. This is your backlog of work awarded but not yet complete.

PART V. ORGANIZATION'S FINANCIAL STATEMENT

Name of Organization: _____

3. Insurance Requirements

Each policy of insurance carried by the successful bidder for this project shall be issued by an insurance company licensed to do business in the State of California with a rating of "A" or better and a financial size category of "V" or better according to the latest edition of "Bests".

a. Attach a statement from the Worker's Compensation carrier specifying organization's current Experience Modification rating for Worker's Compensation in the State of California.

b. List the names of the insurance firms utilized by your organization in the last five (5) years, for projects over $1,000,000.[RM4]

Name of Insurance Company No. 1 _____

Address:_____

Contact Name:_____Telephone:_____Fax:_____

Rating:_____

Name of Insurance Company No. 2 _____

Address:_____

Contact Name:_____Telephone:_____Fax:_____

Rating:_____

Name of Insurance Company No. 3 _____

Address:_____

Contact Name:_____Telephone:_____Fax:_____

Rating:_____

PART VI. ATTACHMENTS REQUIRED

Name of Organization _____

The following documents, Attachments 1 through 7, are to be filed with the County of San Luis Obispo by the Organization requesting Prequalification, in accordance with the Public Contract Code, for the aforementioned project.

Failure to provide all these attachments will be cause for disqualification for this project.

- **Attachment 1** – Certificate of Accountant
- **Attachment 1A** – General Statement of Bank Credit
- **Attachment 2** – SKIP ATTACHMENT
- **Attachment 3** – Statement from Worker's Compensation Insurance Carrier
- **Attachment 4** – Current Copy of Organization's California Contractor's License(s)
- **Attachment 5** – SKIP ATTACHMENT
- **Attachment 6** – Certification declaring that the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a nolo contendere plea to have submitted a false or fraudulent claim to a public agency
- **Attachment 7** – Certification declaring that the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to Public Contract Code, Section 10162

Attachment 1 – Certificate of Account

Exchange this page for a Certificate of Account.

Attachment 1A – General Statement of Bank Credit

Exchange this page for a General Statement of Bank Credit.

Attachment 2 – NOT INCLUDED

Attachment 3 – Notarized Statement from the Worker's Compensation Carrier

Exchange this page for a notarized statement from the Worker's Compensation carrier that your organization proposes to use, specifying Contractor's current Experience Modification Rating for Workers' Compensation for the State of California.

Attachment 4 – Current Copy Organization's California Contractor's License(s)

Exchange this page for a current copy of your organization's California Contractor's License(s).

Attachment 5 – SKIP ATTACHMENT

Attachment 6 – False or Fraudulent Claim

Exchange this page for a certification declaring that the applying organization in the last five (5) years has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Sample Declaration

I, _____, authorized agent of
(Print Name)

_____
(*Name of Organization*)

I hereby certify, under penalty of perjury under the laws of the State of California, that the foregoing is true and correct. In the last five (5) years that the organization, any affiliate, parent or subsidiary company has not been found by a judge, arbitrator, jury, or nolo contrendre plpea to have submitted a false or fraudulent claim to a public agency.

Signed: _____

Dated: _____

Attachment 7 – Disqualification or Removal

Exchange this page for a certification declaring that the applying organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Sample Declaration

I, _____, authorized agent of
(Print Name)

_____
(*Name of Organization*)

I hereby certify, under penalty of perjury under the laws of the State of California, that the organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Signed: _____

Dated: _____

PRE-QUALIFICATION OF SUB-CONTRACTORS SEEKING TO BID ON

General Services Agency
San Luis Obispo County Juvenile Hall Expansion
Project No 320032
San Luis Obispo County, CALIFORNIA

FOR INFORMATIONAL PURPOSES ONLY

SECTION 5:
A List of the Scorable Questions and the Scoring Ranges

SUB-CONTRACTOR
A LIST OF THE SCORABLE QUESTIONS AND THE SCORING RANGES

Part II **PASS/FAIL - Essential Requirements for Qualification, Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws**

Part III **SCORABLE - History of the business and organizational performance. Compliance with occupational safety and health laws, workers' compensation and other labor legislation**

Part IV **SCORABLE – Organization's Statement of Experience and Recent Construction Projects Completed**

NOTE: Not all questions in the questionnaire are "scorable"; some questions simply ask for information about the sub-contractor firm's structure, officers and history. This document includes only those questions that are "scorable." The question numbers in this document are the numbers used in the questionnaire.

The Scores Needed for Prequalification

To pre-qualify, a Sub-Contractor will be required to have a passing score (minimum score) within each of the four scorable areas referred to above. **Note that many of the questions must receive the minimum allowable score or the Sub-Contractor will be automatically disqualified as detailed in Section 6 "Sub-Contractor Pre-qualification Evaluation Matrices".** Section 5 (List of Scorable Questions and Scoring Ranges) of the Pre-qualification Documents lists the available scores for each scorable question.

Part II "Essential Requirements for Qualification", the questions are not numerically scorable but are **"Pass/Fail"** type questions.

Part III – B. "History of the Business and Organizational Performance,"
A passing score of **41** is required on this portion of the questionnaire in addition to passing the minimum allowable score required on some of the individual questions as noted in Section 6 (maximum score is **58** on this portion of the questionnaire).

Part III – C. "Compliance with Occupational Safety and Health Laws, Workers' Compensation and other Labor Legislation," a passing score of **31** is required on this portion of the questionnaire in addition to passing the minimum allowable score required on some of the individual questions as noted in Section 6 (maximum score is **53** points on this portion of the questionnaire).

Part IV, "Recent Projects", which includes six questions consisting of up 3to 5 points each relating to relevant project similarities, with a passing scoring of **13** out of a maximum score of **30** points. N*ote: Sub-Contractor will be immediately disqualified if the answer to question IV-A.1.a is "no"*.

PART III - B: **HISTORY OF THE BUSINESS AND ORGANIZATIONAL PERFORMANCE**
(16 questions)

NOTE: Questions not listed below are not scorable questions.

III-B.6. **How many years has your organization been in business in California as a contractor under your present business name and license number? _____ Years**

3 *years or more = 2 points*

4 years = 3 points

5 years = 4 points

6 years or more = 5 points

III-B.7. **Is your firm currently the debtor in a bankruptcy case?**

☐ Yes ☐ No

No = 3 points

Yes = 0 points

III-B.8. **Was your firm in bankruptcy any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above).**

☐ **Yes** ☐ **No**

No = 3 points

Yes = 0 points

III-B.13. **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 years?**

☐ Yes ☐ No

No = 5 points

Yes = 0 points

III-B.14. **At any time in the last five years, has your firm been assessed and paid liquidated damages after completion of a project, under a construction contract with either a public or private owner?**

No projects with liquidated damages of more than $50,000, or one project with liquidated damages = 5 points.

Two projects with liquidated damages of more than $50,000 = 3 points

Any other answer: 0 points

III-B.15. **In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?**

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No

No = 5 points

Yes = 0 points

III-B.16. **In the last five 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

No = 5 points

Yes = 0 points

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

III-B.17. **In the past five years, has any claim <u>against</u> your firm concerning your firm's work on a construction project, been <u>filed in court or arbitration</u>?**

☐ Yes ☐ No

If the firm's average gross revenue for the last three years was less than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" if more than 2 such instances.

If your firm's average gross revenue for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.

III-B.18. **In the past five years, has your firm made any claim against a project owner concerning work on a project or payment for a contract, and <u>filed that claim in court or arbitration</u>?**

☐ Yes ☐ No

If your firm's average gross revenues for the last three years was less than $15 million scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" if more than 2 such instances.

If your firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.

III-B.19. **SKIP QUESTION**

III-B.20. **In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?**

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance.

3 points for "Yes" indicating 2 such instances.

0 points for "Yes" if more than 2 such instances.

III-B.21. **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

No = 5 points

Yes = <u>subtract</u> 5 points

III-B.22. **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?**

☐ Yes ☐ No

No = 5 points

Yes = <u>subtract</u> 5 points

III-B.23. 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

No = 5 points

Yes = <u>subtract</u> 5 points

III-B.24. SKIP QUESTION

III-B.25. SKIP QUESTION

PART III - C: **COMPLIANCE WITH OCCUPATIONAL SAFETYAND HEALTH LAWS, WORKERS' COMPENSATION, AND OTHER LABOR LEGISLATION**

(11 questions)

III-C.26. Has CAL OSHA cited and assessed penalties against your firm for any "serious," "willful" or "repeat" violations of its safety or health regulations in the past five years?

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 the firm's average gross revenues for the last three years was less than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" if more than 2 such instances.

If the firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.

III-C.27. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm 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 the firm's average gross revenues for the last three years was less than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" or if more than 2 such instances.

If the firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.

III-C.28. Has the state or federal Environmental Protection Agency (EPA) or any local/regional Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

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 the firm's average gross revenues for the last three years was less than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" or if more than 2 such instances.

If the firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.

III-C.29. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

_____

3 points for an answer of once each week or more often.

0 points for any other answer

III-C.30. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

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

2012: _____

2011: _____

2010: _____

5 points for four-year average EMR of .95 or less

3 points for four-year average of EMR of more than .95 but no more than 1.00

0 points for any other EMR

III-C.31. Within the last five years, has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance.

0 points for any other answer.

III-C.32. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the state's prevailing wage laws?

☐ 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 one of your sub-contractors.

If your firm's average gross revenues for the last three years was less than $15 million, scoring is as follows:

5 points for either "No," or "Yes" indicating either 1 or 2 such instance.
3 points for "Yes" indicating 3 such instances.
0 points for "Yes" and more than 3 such instances.

If your firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating no more than 4 such instances.
3 points for "Yes" indicating either 5 or 6 such instances.
0 points for "Yes" and more than 6 such instances.

III-C.33. During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with prevailing wage requirements?

☐ Yes ☐ No

If your firm's average gross revenues for the last three years was less than $15 million, scoring is as follows:

5 points for either "No," or "Yes" indicating either 1 or 2 such instance.
3 points for "Yes" indicating 3 such instances.
0 points for "Yes" and more than 3 such instances.

If your firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating no more than 4 such instances.
3 points for "Yes" indicating either 5 or 6 such instances.
0 points for "Yes" and more than 6 such instances.

III-C.34. 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 use on the Adelanto Detention Center Expansion Project.

_____

_____

5 points if at least one approved apprenticeship program is listed.

0 points for any other answer.

III-C.35. If your firm operates its own State-approved apprenticeship program:

(a) Identify the 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 years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

5 points if one or more persons completed an approved apprenticeship while employed by your firm.

0 points if no persons completed an approved apprenticeship while employed by your firm.

III-C.36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998 if the violation was by a sub-contractor and your firm, as contractor on a project, had no knowledge of the sub-contractor's violation at the time they occurred.

☐ Yes ☐ No.

If your firm's average gross revenues for the last three years was less than $15 million, scoring is as follows:

5 points for either "No," or "Yes" indicating either 1 or 2 such instance.
3 points for "Yes" indicating 3 such instances.

0 points for "Yes" and more than 3 such instances.

If your firm's average gross revenues for the last three years was more than $15 million, scoring is as follows:

5 points for either "No" or "Yes" indicating no more than 4 such instances.
3 points for "Yes" indicating either 5 or 6 such instances.
0 points for "Yes" and more than 6 such instances.

PART IV. ORGANIZATION'S STATEMENT OF EXPERIENCE AND RECENT CONSTRUCTION PROJECTS

1. Has your organization constructed correctional, military, justice or hospital facilities that have the following similarities to the Juvenile Hall Expansion Project?

a: At least one projects within the last ten that are correctional, military, justice, medical, or education facility projects for which gross square footage was in excess of 20,000 square feet.

☐ Yes ☐ No

Yes = 5 points

No = 0 points

NOTE: Sub-Contractor will be immediately disqualified if the answer to question V-A.1.a (above) is "no."

b: Projects within the last ten years (not including the project listed above) that are correctional, military, justice or hospital facility projects for which construction costs were in excess $5,000,000.

☐ Yes ☐ No

Yes = 5 points for 3 or more projects

3 points for 2 projects

2 points for 1 project

No = 0 points

c: Project experience within the last ten years (private or government) for which construction costs were in excess of $5,000,000 facility project, and required phasing, coordinating work within an occupied facility or expanding an occupied facility.

☐ Yes ☐ No

Yes = 5 points for 3 or more projects

3 points for 2 projects

1 point for 1 project

No = 0 points

d: Key personnel: Sub-Contractor Lead Worker/Site Supervisor has prior experience managing correctional, military, justice, medical, or education facility projects for which total construction costs were in excess of $5,000,000.

☐ Yes ☐ No

Yes = 5 points for 3 or more projects

3 points for 2 projects

1 point for 1 project

No = 0 points

e: Key Personnel: Sub-Contractor Lead Worker/Site Supervisor has prior experience managing related projects in excess of $5,000,000 and required phasing, and coordinating work within an occupied facility or expanding an occupied facility.

☐ Yes ☐ No

Yes = 5 points for 3 or more projects

3 points for 2 projects

1 point for 1 project

No = 0 points

f: Have the company's key personnel (Lead Worker, Site Supervisor, etc.) worked together as a team on at least one of the Relevant Projects included in the same role as assigned for this project. The Relevant Projects request is described in Part IV, Item 1 and a sample project description format is provided in Part IV.

☐ **Yes** ☐ **No**

Yes = 5 points on three or more projects

2 points for two projects

1 point for one project

No = 0 points

PRE-QUALIFICATION OF SUB-CONTRACTORS SEEKING TO BID ON

General Services Agency
San Luis Obispo County Juvenile Hall Expansion
Project No 320032
San Luis Obispo County, CALIFORNIA

FOR INFORMATIONAL PURPOSES ONLY

Section 6:
Sub-Contractor Pre-Qualification Evaluation Matrices

Sub-Contractor Pre-Qualification Evaluation Matrices

"Scorable" Questions from Part II, Part III and the Part IV Scoring

Part II **Essential Requirements for Qualification**

Part III-B **History of the business and organizational performance;**

Part III-C **Compliance with occupational safety and health laws, workers' compensation and other labor legislation;**

Part IV **Organization's Statement of Experience and Recent Construction Projects**

Attachment 1

Sub-Contractor _____

County of San Luis Obispo
General Services Agency
Sub-Contractor Pre-Qualification Evaluation Matrix
From Part II
Essential Requirements for Qualification

Question Number	Scoring Range		Actual Score	Comments
	Failure Score	Passing Score		
1	No	Yes		
2	No	Yes		
3	No	Yes		
4	No	Yes		The financial statement must either be reviewed or audited
5	N/A	N/A		Does not apply to Sub-Contractors
6	Yes	No		Appealable with explanation
7	Yes	No		Appealable with explanation
8	Yes	No		
9	Yes	No		Appealable with explanation

1. Sub-Contractor will be immediately disqualified if the answer to any of the questions 1 through 5 is “no”. However, a “no” answer to Question 4 will not be disqualifying if the sub-contractor is exempt from complying with Question 4. Public Contract Code Section 20101(e) exempts from this requirement a sub-contractor who has qualified as a Small Business Administration entity pursuant to Government Code Section 14837(d)(1), when the bid is “no more than 25 percent of the qualifying amount provided” in Government Code Section 14837(d)(1).[RM5]

2. Sub-Contractor will be immediately disqualified if the answer to any of the questions 6, 7, or 9 is “yes”. A Contractor disqualified solely because of a “Yes” answer given to question 6, 7, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

Attachment 2

Sub-Contractor _____

San Luis Obispo County Juvenile Hall Expansion
Project No. 320032
From Part III-B
History of the Business and Organizational Performance

Question Number	Scoring Range			Actual Score
	Lowest Possible Score	Lowest Possible Score	Lowest Possible Score	
III-B.6	2	2*	5	
III-B.7	N/A	N/A	N/A	N/A
III-B.8	0	3	3	
III-B.13	0	5	5	
III-B.14	0	3*	5	
III-B.15	0	5	5	
III-B.16	0	5	5	
III-B.17	0	0*	5	
III-B.18	0	0*	5	
III-B.19	N/A	N/A	N/A	N/A
III-B.20	0	3*	5	
III-B.21	-5	5	5	
III-B.22	-5	5	5	
III-B.23	-5	5	5	
III-B.24	N/A	N/A	N/A	N/A
III.B.25	N/A	N/A	N/A	N/A
Total	-13	41	58	

Notes:
1. An asterisk next to the score indicates a range of possible scores
2. No asterisk next to the score indicates only two different possible scores
3. Immediate disqualification will occur for failure to meet the minimum allowable score for each applicable question

Attachment 3

Sub-Contractor _____

San Luis Obispo County Juvenile Hall Expansion
Project No. 320032
Sub-Contractor Pre-Qualification Evaluation Matrix
From Part III-C
Compliance with Civil and Labor Legislation

Question Number	Scoring Range			Actual Score
	Lowest Possible Score	Minimum Allowable Score	Highest Possible Score	
III-C.26	0	3*	5	
III-C.27	0	3*	5	
III-C.28	0	3*	5	
III-C.29	0	3	3	
III-C.30	0	0*	5	
III-C.31	0	5	5	
III-C.32	0	3*	5	
III-C.33	0	3*	5	
III-C.34	0	5	5	
III-C.35	0	5	5	
III-C.36	0	3*	5	
Total	0	31	53	

Notes:

1. An asterisk next to the score indicates a range of possible scores
2. No asterisk next to the score indicates only two different possible scores
3. Immediate disqualification will occur for failure to meet the minimum allowable score for each applicable question except for questions III-C.34 and III-C.35. The minimum allowable score must be met for either question III-C.34 or III-C.35 to avoid disqualification.

Attachment 4

Sub-Contractor:_____

San Luis Obispo County Juvenile Hall Expansion
Project No. 320032

Sub-Contractor Pre-Qualification Evaluation Matrix

From Part IV
Completion of Recent Projects

Question Number	Scoring Range			Actual Score
	Lowest Possible Score	Minimum Allowable Score	Highest Possible Score	
a	0	5	5	
b	0	2	5	
c	0	1	5	
d	0	1	5	
e	0	1	5	
f	0	1	5	
Total	0	13	30	

Notes:

1. A total actual score of less than 13 points disqualifies the Sub-Contractor even though the sum of each minimum allowable score for each question is 11 points.
2. Immediate disqualification will occur for failure to meet the minimum allowable score for each applicable question.

Attachment 5

Sub-Contractor:_____

San Luis Obispo County Juvenile Hall Expansion
Project No. 320032

Sub-Contractor Pre-Qualification Evaluation Matrix
Scoring Summary

	Minimum	**Maximum**	
Scoring Areas	**Allowable Score**	**Allowable Score**	**Actual Score**
Part I - Essential Requirements for Qualification	Pass/Fail	Pass/Fail	Pass/Fail
Part III-B - History of the Business and Organizational Performance	41	58	
Part III-C - Compliance with Occupational Safety and Health Laws, Workers' Compensation and other Labor Legislation	31	53	
Part IV - Comparison of Recent Projects	13	30	

NOTE: Many questions within the questionnaire are evaluated utilizing a range of points; a minimum allowable score will be required for many of these questions. If the minimum allowable score is not met for these questions, the Sub-Contractor will be automatically disqualified.