



SANTA ANA UNIFIED SCHOOL DISTRICT
1601 East Chestnut Avenue
Santa Ana, California 92701-6322
(714) 480-5355

Bid Number: _____

Project Number: _____

Project Title: _____

School: _____

**CONTRACTOR'S
PREQUALIFICATION QUESTIONNAIRE**

_____, 20____

The Santa Ana Unified School District ("District") has determined that bidders on this Project must be prequalified prior to submitting a bid on the project. Each prospective contractor shall be currently licensed and shall submit the following information to establish its qualifications to bid to perform construction work on the Project. **A Contractor's bid for the Project will not be accepted unless the District has prequalified the Contractor.**

A Contractor who submits a complete Prequalification Questionnaire thereby consents to and will comply with the procedures outlined below and as set forth in greater detail in this document.

- A. **Form.** Each Contractor shall fully complete the Prequalification Questionnaire and timely submit all documents as indicated therein. No other prequalification documents submitted by Contractor will meet these requirements. All information requested in the Prequalification Questionnaire must be provided in order for a Prequalification Questionnaire to be considered responsive. The Prequalification Questionnaire shall be submitted simultaneously as one package – it shall not be submitted piecemeal. Contractors shall submit one (1) completed Prequalification Questionnaires in a sealed envelope as indicated above. A Contractor's submission of an incomplete and/or unclear Prequalification Questionnaire will likely result in a determination that the Contractor is non-responsive.

- B. **District's Review.** Information submitted in the Prequalification Statement shall not be public information and shall not be open to public inspection, to the extent permitted by law. Once a Contractor's Prequalification Statement is submitted, the District will notify the Contractor if the Contractor meets the prequalification requirements and, if so, the maximum size of the contract upon which the Contractor is prequalified to bid, which will be fifty percent (50%) of the Contractor's total aggregate bonding capacity as indicated herein.

- C. **Nonresponsiveness.** A Contractor's Prequalification Questionnaire shall be deemed nonresponsive if:

1. The Prequalification Questionnaire is not returned on time.
2. Contractor does not provide all requested information on District forms.
3. The Prequalification Questionnaire is not signed under penalty of perjury by individuals who have the authority to bind the Contractor on whose behalf they are signing.
4. Information contained in the Prequalification Questionnaire is not updated under penalty of perjury when it is no longer accurate.
5. Any information provided by the Contractor is misleading or inaccurate in any material manner (e.g., financial resources are overstated; previous violations of law are not accurately reported). Even after a Contractor has been prequalified, the District reserves the right to revoke that determination at any subsequent time, to terminate any contract awarded, and to cease making payments if it determines that any information provided by the Contractor in its Prequalification Questionnaire or subsequently was incomplete, misleading, or inaccurate in any material manner.

D. **Previously Prequalified Contractors**. All Contractors must satisfy the Essential Criteria for this Project, as indicated in section (F)(1)(a). A Contractor that prequalified on a District project within the past twelve (12) months and needs to update their list in order to maintain their prequalification status by listing additional projects to satisfy these criteria must submit a Prequalification Questionnaire, but need only do the following:

1. Write “Unchanged” on all sections of the Prequalification Questionnaire that remain unchanged;
2. Provide additional information for the sections of the Prequalification Questionnaire that the Contractor must update, including “**Section: G. PROJECT REFERENCES**”; and
3. Recertify the Prequalification Questionnaire by executing “**Section: L. CERTIFICATION.**”

E. **Appealing A Prequalification Finding**

A Contractor may appeal the District’s decision. If a Contractor decides to appeal the District’s prequalification decision, it must follow this procedure: Within three (3) working days from receipt of the District’s prequalification notice/finding, Contractor must submit, in writing, a request for a meeting with the District’s staff. Contractor must submit with the request any and all information that it believes supports a finding that District’s determination should be changed.

FAILURE OF A CONTRACTOR TO TIMELY FOLLOW THIS APPEAL PROCEDURE SHALL BE A WAIVER OF THE CONTRACTOR’S RIGHT TO APPEAL THE DISTRICT’S DECISION.

A. CONTRACTOR'S INFORMATION

Firm name: _____

Address: _____

Telephone: _____

Fax: _____

Mobile Telephone: _____

E-mail: _____

By: _____ Date: _____

(Name of individual completing Prequalification Questionnaire)

Years in business as a **insert license requirement** licensed contractor: _____

Types of work performed with own forces: _____

Years in business under current firm name: _____

Years at the above address: _____

B. CURRENT ORGANIZATION AND STRUCTURE OF THE BUSINESS

For Firms That Are Corporations:

- 1 Date incorporated : _____
- 2 Type of corporation (e.g., S Corp., C Corp., LLC): _____
- 3 Under the laws of what state: _____
- 4 Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent (10%) of the corporation’s stock. Attach all additional references and/or information on separate signed sheets.

Name	Position	Years with Co.	% Ownership

For Firms That Are Partnerships:

- 1 Date of formation: _____
- 2 Type of partnership (e.g., general, limited): _____
- 3 Under the laws of what state: _____
- 4 Provide all the following information for each partner who owns ten percent (10%) or more of the firm. Attach all additional references and/or information on separate signed sheets.

Name	Position	Years with Co.	% Ownership

For Firms That Are Sole Proprietorships:

- 1 Date of commencement of business: _____

Name	Position	Years with Co.

For Firms That Intend to Bid as a Joint Venture:

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

Name of Firm	% of Ownership of Joint Venture

- 3 Provide all the following information for each owner of a firm that is a participant in a joint venture. Attach all additional references and/or information on separate signed sheets.

Firm Name	Name of Owner	Position	Years with Co.	% Ownership of Co.

C. ASSOCIATED FIRMS

Identify every construction firm and/or construction management firm that the contractor or any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the past five (5) years. Attach all additional references and/or information on separate signed sheets. NOTE: For this question, “owner” and “partner” refer to ownership of ten percent (10%) or more of the business, or ten percent (10%) or more of its stock, if the business is a corporation.

State Person’s Name or “Contractor” if Your Firm was Associated with Another Firm	Construction Firm or Construction Management Firm Name	Contractor’s License No.	Dates of Person’s Participation with Company

D. HISTORY OF THE BUSINESS AND ORGANIZATIONAL PERFORMANCE

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

(Please circle one) **Yes** **No**

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

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

(Please circle one) **Yes** **No**

If “yes,” explain on a separate signed sheet, including the name of the related company and the percent ownership

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.

(Please circle one) **Yes** **No**

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

State your firm’s gross revenues for each of the past three (3) years:

Year	Gross Revenue
	\$
	\$
	\$

E. CONTRACTOR’S LICENSES

Contractor shall be licensed in the State of California and shall submit the following information:

- 1. Name of license holder exactly as on file with the California State License Board: _____
- 2. License classification(s): _____
- 3. License #: _____
- 4. Expiration Date: _____
- 5. Number of years license holder has held the listed license(s): _____
- 6. Number of years contractor has done business in California under contractor's license law: _____
- 7. Number of years contractor has done business in California under **current** contractor's license: _____
- 8. Has your firm changed names or license numbers in the past five years?
(Please circle one) **Yes** **No**

If “yes,” explain on a separate signed sheet, including the reason for the change.

F. EVALUATION CRITERIA

1. Essential Criteria

- a. Has your firm contracted for and completed at least five (5) separate construction projects during the past five (5) years for a California K-14 public school district or California community college district, each performed under the same license classification required by the District for the scope of work you will bid on for this Project?
 (Please circle one) **Yes** **No**

- b. Is your total base bid amount for this Project fifty percent (50%) or less than your current total aggregate bonding capacity?
 (Please circle one) **Yes** **No**

- c. Has your firm held for the past five (5) years without revocation or suspension all contractors license(s) necessary to perform the scope of work you will bid on for this Project?
 (Please circle one) **Yes** **No**

- d. Has your firm and/or any firm identified above in Section B and/or Section C defaulted on a contract within the past five (5) years or declared bankruptcy or been placed in receivership within the past five (5) years?
 (Please circle one) **Yes** **No**

- e. Has your firm and/or any firm identified above in Section B and/or Section C ever been disqualified, debarred, forbidden, found non-responsible, or otherwise prohibited, from performing work and/or bidding on work for any school district or other public agency within California within the past five (5) years?
 (Please circle one) **Yes** **No**

- f. Has your firm and/or any firm identified in Section B and/or Section C ever been terminated for cause by any school district or other public agency on any project within California within the past five (5) years?
 (Please circle one) **Yes** **No**

- g. Has your firm and/or any firm identified in Section B and/or Section C or any of its owners or officers been convicted of a crime involving the bidding for, awarding of, or performance of a contract with a public entity; making a false claim(s) to any public entity; or fraud, theft, or other act of dishonesty to any contracting party?
 (Please circle one) **Yes** **No**



If you answered “NO” to Question a, b, or c or “YES” to Question d, e, f, or g then STOP. You are not eligible for prequalification at this time. Otherwise, please complete the remainder of this Prequalification Questionnaire.

2. Other Criteria

- a. Has your firm and/or any firm identified in Section B or Section C ever been cited and/or assessed any penalties for non-compliance with state and/or federal laws and/or regulations, including public bidding requirements and Labor Code violations, within the past five (5) years?

(Please circle one)

Yes

No

If “yes,” indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of incidents.

- b. Has your firm and/or any firm identified in Section B or Section C ever been cited and/or assessed penalties by the Environmental Protection Agency, any air quality management district, any regional water quality control board, or any other environmental agency within the past five (5) years?

(Please circle one)

Yes

No

If “yes,” indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of citation.

- c. Has CAL OSHA cited and assessed penalties against your firm and/or any firm identified above in Section B and/or Section C for any “serious,” “willful” or “repeat” violations of its safety or health regulations within the past five (5) years?

(Please circle one)

Yes

No

If “yes,” indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of citation. 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.

- d. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm and/or any firm identified above in Section B and/or Section C within the past five (5) years?

(Please circle one)

Yes

No

If “yes,” indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of citation. 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.

G. PROJECT REFERENCES

List **ALL** projects that your firm contracted for and completed during the past five (5) years. **You must identify the five (5) projects that satisfy the Essential Criteria section (F)(1)(a) on this form (one project per form).** You may limit your response to the **ten (10) most-recently completed projects**, but you must include the projects that satisfy the above-referenced Essential Criteria, even if they are not within your firm's ten (10) most recently completed projects.

Include all information indicated below and attach references on separate signed sheets as necessary. Please use and attach additional signed sheets when needed to explain or clarify any response.

Project Name/Identification: _____

- 1 Name of contractor/entity performing work: _____
- 2 Project owner: _____
- 3 Project architect (name and telephone number for District reference): _____
- 4 If contractor was a subcontractor on the project, name of general contractor: _____

- 5 Specific license classification required by the contract/scope of work: _____
- 6 Project address/location: _____
- 7 Original completion date: _____
- 8 Date completed: _____
- 9 Initial contract value (as of time of bid award): _____
- 10 Final contract value: _____
- 11 Were liquidated damages assessed (If yes, explain): _____
- 12 Contact for verification (name and telephone number for District reference): _____

- 13 Did the project include constructing or modernizing an earthquake resistant building? _____
- 14 Did the project owner, general contractor, architect, or construction manager file claim(s) in an amount exceeding \$50,000 against you or your firm, or did you or your firm file claim(s) in an amount exceeding \$50,000 against a project owner, general contractor, architect, or construction manager? If yes, explain and indicate on separate signed sheet(s) the project name(s), claim(s), and date(s) of claim(s).

H. CONTRACTOR'S BONDING/SURETY

Contractors must fully comply with all bid conditions including, without limitation, a ten percent (10%) bid bond, a hundred percent (100%) payment bond, and a hundred percent (100%) performance bond. Contractor's surety must be admitted and authorized to transact business as a surety in California. List all sureties utilized in the past five (5) years. Use separate signed sheets as necessary, with all requested information.

Name of bonding company (not agency): _____

Address of company: _____

Name of agent: _____

Address and telephone number of agent: _____

Years contractor has been with this surety: _____

1 Amounts paid out by or work performed by surety in the past five (5) years that were in any way related to construction activities of contractor and/or any firm identified above in section B and/or Section C (Please provide an explanation on separate signed sheets):
\$ _____

2 Has your firm and/or any firm identified in Section B above paid a premium of more than one percent (1%) for a performance and payment bond on any project(s) at any time during the past five (5) years? If yes, state the percentage paid. You may provide an explanation for a percentage rate higher than one percent, if you wish to do so: _____
_____ %

3 During the past five (5) years, has your firm and/or any firm identified above in Section B and/or Section C, ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?
(Please circle one) **Yes** **No**

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

4 Provide written evidence from your surety of your firm's current total aggregate bonding capacity. Written evidence shall be an original letter from your surety and must be dated within 30 days of the prequalification submission.

I. CONTRACTOR’S INSURANCE

List all insurers your firm and any firm identified in Section B utilized in the past five (5) years. Use separate signed sheets as necessary, with all requested information.

- 1 Name of insurance company (“Insurer”): _____

- 2 Address of Insurer: _____

- 3 Name of agent: _____
- 4 Address of agent: _____

- 5 Telephone number of agent: _____
- 6 Years your firm and any firm identified in Section B has been with this Insurer: _____
- 7 Amounts paid out by Insurer in the past five (5) years that were in any way related to construction activities of your firm or any firm identified in Section B (Please provide an explanation on separate signed sheets): \$ _____
- 8 Insurer’s “Best” rating: _____

J. WORKERS' COMPENSATION EXPERIENCE MODIFICATION RATE

State your firm's Workers' Compensation Experience Modification Rate for the past five (5) years (including any firm identified in Section B, above):

Year	Modification Rate
(Current):	

Within the past five (5) years, has there ever been a period when your firm or any firm identified in Section B above had employees but was without workers' compensation insurance or state-approved self-insurance?

(Please circle one)

Yes

No

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

K. CONTRACTOR'S FINANCIAL INFORMATION

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

L. CERTIFICATION

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

Date: _____

Proper Name of Contractor: _____

Signature: _____

By: _____ (Print Name)

Title: _____