



**PREQUALIFICATION FOR PROJECTS  
MEASURE TT PROGRAM FOR  
PASADENA UNIFIED SCHOOL DISTRICT**

Issue Date: January 15, 2016

Due Date: February 26, 2016

3:00 PM (PT)

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

**PREQUALIFICATION FOR GENERAL CONTRACTORS  
MEASURE TT PROJECTS  
PASADENA UNIFIED SCHOOL DISTRICT**

**I. BACKGROUND AND OVERVIEW**

The Pasadena Unified School District (“District”) is prequalifying General Contractors (“Contractors”) to bid on projects funded by the District’s Measure TT Bonds. Projects will be going out to bid beginning in April 2016 and extending through the three years. The construction projects are anticipated to include modernizations and reconstruction projects (new construction, demolition of older existing schools, and site work) at Norma Coombs Elementary School, John Muir High School and Pasadena High School. These projects will range in over two million dollars (**\$2,000,0000**) per project (“Projects”). If two or more business entities submit a bid on a project as a joint venture, or expect to submit a bid as part of a joint venture, each entity within the joint venture must be separately qualified to bid.

As a condition of bidding to perform any of the “Projects” funded by Measure TT, and in accordance with California Public Contract Code 20111.5(e), the Pasadena Unified School District requires Contractors to fully complete a prequalification questionnaire and a financial statement.

Once a Contractor’s prequalification statement is submitted, the District will notify the Contractor if the Contractor meets the prequalification requirements. The Contractor will be eligible to bid on any Measure TT construction project within the Contractor’s bonding and financial capacity.

Contractors will be prequalified for one calendar year following the date of initial prequalification. The District reserves the right to request that Contractor(s) update prequalification forms on a quarterly basis. The District also reserves the right to revoke, suspend or rescind the prequalification status of a Contractor due to changes in Contractor’s status or the failure of a Contractor to update its status or information.

All Contractors, whether previously prequalified or not, will be certified in accordance with the District’s uniform system of rating bidders.

Bids for construction projects will not be accepted unless a Contractor is certified as prequalified by the District and the bid is for a contract of a size which Contractor has been deemed qualified to bid.

The District reserves the right to use some or all of the information provided in this form for evaluation purposes.

# **PASADENA UNIFIED SCHOOL DISTRICT FACILITIES**

While it is the intent of the prequalification questionnaire and documents required therewith to assist the District in determining bidder responsibility prior to the submission of bids and to aid the District in selecting the lowest responsible bidder, neither the fact of prequalification, nor any prequalification rating, will preclude the District from a post-bid consideration and determination on a specific project of whether a bidder has the quality, fitness, capacity, and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.

For information regarding the prequalification process and to secure the District's Prequalification documents, please contact Jessica Frazier, Construction Specialist via e-mail at [frazier.jessica@pusd.us](mailto:frazier.jessica@pusd.us) or by phone at (626)396-5850 X89184.

## **II. PROJECT DESCRIPTIONS**

As noted above, the construction projects include reconstruction of District facilities estimated to cost over two million dollars **\$2,000,000** per facility for the Measure TT projects.

## **III. PREQUALIFICATION PROCESS**

The following process will govern the conduct of Contractor Prequalification for the District projects. A Contractor who submits prequalification responses thereby consents to and will comply with the procedures outlined below and as set forth in greater detail in this document.

- A. Submittal: Project Specific Prequalification information for specific or individual projects must be submitted at least ten (10) business days prior to the bid due date for a specific project.
  
- B. Submittal: Yearly Round Prequalification information for this yearly round of prequalification should be received by the District by 3:00 PM (PT) Friday, February 26, 2016. All prospective licensed Contractors who wish to qualify for work on Measure TT projects valued at \$2,000,000 or more shall submit a fully complete Contractor Prequalification Questionnaire and Certification ("Questionnaire") in a sealed envelope to:

**Pasadena Unified School District  
Jessica Frazier, Facilities Department  
740 W. Woodbury Road  
Altadena, CA 91001**

Prequalification materials will only be accepted in accordance with the requirements of the law. The District reserves the right to request, receive, and evaluate supplemental information after the above time and date at its sole discretion.

## **PASADENA UNIFIED SCHOOL DISTRICT FACILITIES**

- C. Form Contractor shall successfully complete the prequalification process and timely submit all documents as indicated in the Questionnaire. No other prequalification documents previously completed by Contractor will meet these requirements. All information requested in the Questionnaire must be provided in order to be considered “responsive” to the requirements of prequalification. The Questionnaire shall be submitted as one package – it shall not be submitted “piecemeal.” Contractors shall submit one (1) completed Questionnaire with required attachments in “hard copy” format (i.e., 8-1/2” x 11” paper) in a sealed envelope. Any questions regarding this package should be directed to Jessica Frazier, Construction Specialist at (626) 396-5850 X89184 or via e-mail [frazier.jessica@pusd.us](mailto:frazier.jessica@pusd.us). Submission of an incomplete and/or unclear Questionnaire may result in a determination that the Contractor is non-responsive and/or not qualified.
- D. District’s Review Information submitted in the Questionnaire shall not be public information and shall not be open to public inspection, to the extent allowed by law. Contractors that have submitted a Questionnaire shall receive written notification of their prequalification status. All information provided will be kept confidential to the extent permitted by law, although the contents may be disclosed to third parties for the purpose of verification, investigation of substantial allegations, and in the process of an appeal hearing. State law requires that the names of contractors applying for prequalification status shall be public records subject to disclosure. The District reserves the right to reject all Questionnaires or to waive irregularities in any Questionnaire received, to make all final determinations, and to determine at any time that the prequalification procedures will not be applied to a future public works project.
- E. Addenda Any addenda issued will be faxed, mailed, or sent by messenger service to all Contractors known to the District to have received a Questionnaire and who have provided a complete and legible physical address, telephone number, and fax number for receipt of addenda. The receipt of all addenda must be acknowledged on the Contractor’s Questionnaire.
- F. Nonresponsiveness A Contractor’s Questionnaire may be deemed nonresponsive if:
1. The Questionnaire is not returned on time.
  2. Contractor does not provide all requested information.
  3. The Questionnaire is not signed under penalty of perjury by individuals who have the authority to bind the Contractor on whose behalf they are signing.

## **PASADENA UNIFIED SCHOOL DISTRICT FACILITIES**

4. Information contained in the 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 determined to be qualified, 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 was incomplete, misleading, inaccurate or false in any material manner.

### **IV. QUALIFICATION CRITERIA**

A. Essential Criteria As detailed herein, each potential Contractor must provide specific information that will be reviewed and scaled by the District. Certain qualifications are essential. Any potential Contractor who cannot satisfy all of the following requirements (“Essential Criteria”), regardless of the ranking or ability to meet other criteria, will not be prequalified:

1. School Projects The Contractor shall have contracted for and successfully completed construction of a minimum of three (3) California public school district construction projects, each with a Contract value of at least two million dollars (\$2,000,000) within the past five (5) years. Contractors will be required to provide Owner and Architect contact information for each project listed.
2. Self-Perform Work Demonstrated ability to self-perform a minimum of 10% of the work in any project for the District.
3. Default or Bankruptcy The Contractor, either performing work under its current license or under other licenses through other entities, including a joint venture, shall not have defaulted on a Contract within the past five years or declared bankruptcy or been placed in receivership within the past five (5) years.
4. Licensure The Contractor shall hold a current, active “B” license that has been consistently active for at least five (5) years and that has not been suspended or revoked.
5. Disqualification The Contractor shall not have been disqualified, debarred, forbidden, or found non-responsible, or otherwise prohibited, from performing work for and/or bidding on work for any school district or other public agency within the State of California within the past five years.

6. Termination The Contractor shall not have been finally terminated on work for any school district or other public agency within the State of California within the past five (5) years.

B. Other Essential Criteria As stated above, each Contractor must satisfy all of the Essential Criteria, regardless of its ranking or ability to meet other criteria or the Contractor will not prequalify for District work. The Questionnaire contains questions for which a numerical score will be given for specific answer(s). A Contractor must receive a minimum number of points, regardless of its ability to meet other criteria, or the Contractor will not prequalify for District work. Even if a Contractor meets the Essential Criteria and receives at least the minimum number of points, the District reserves the right to disqualify it from bidding on other grounds.

The District will use some or all of the following criteria in qualifying each Contractor. The District reserves the right to modify the following criteria and to add or delete criteria at its sole discretion at any time prior to opening the prequalification Questionnaires.

1. Previous Experience The Contractor shall demonstrate experience working on State projects approved by the Division of the State Architect (DSA), including the following:
  - a. Previous or current Contracts for similar types of projects that demonstrate equivalent quality design, detailing, finishes and construction.
  - b. Experience in managing projects of similar scale and complexity with strict budget and schedule compliance.
2. Business History The Contractor has a history of having continuously been in business as a licensed Contractor.
3. Bondability The Contractor shall demonstrate that it can provide required bonds for bidding, payment, performance and materials on projects. Provide a summary and background of company bonding.
4. Insurability The Contractor shall demonstrate that it holds the insurance as indicated in the Questionnaire.
5. Workers' Compensation Experience Modifier The Contractor shall demonstrate an acceptable Workers' Compensation Experience Modification Rate for the past five (5) years.
6. Violations of Regulations or Laws The Contractor shall demonstrate that it has not, in any of its forms, been found in violation of applicable state laws or regulations, including public bidding requirements.
7. Quality Control The Contractor shall demonstrate quality, appropriateness, and thoroughness of quality control techniques.

## **PASADENA UNIFIED SCHOOL DISTRICT FACILITIES**

8. Personnel The Contractor shall disclose to the District for District approval:
  - a. Staff assignments to key roles;
  - b. Commitment by the Contractor to carry out the Contract, including availability of full time supervision of the Contract throughout the duration of the project; and
  - c. Clear lines of responsibility within the Contractor's organization demonstrating effectiveness and responsiveness.
9. Financial Strength The Contractor shall demonstrate its financial ability to undertake and complete this project.
10. References The Contractor shall provide references verifying past performance and data.

### **V. APPEALS PROCESS**

Unless a Contractor files a timely appeal, the Contractor waives any and all rights to challenge the qualification decision of the District, whether by administrative process, judicial process or any other legal process or proceeding. There is no appeal from a finding that a Contractor is not prequalified because of a failure to submit required information. The date for submission and opening of bids for a specific project will not be delayed or postponed to allow for completion of an appeal process.

Should a prospective bidder not agree with the decision of the review committee, that prospective bidder may appeal the decision to the Superintendent, or his designee. The appeal must consist of a written request to the Chief of Facilities, 740 W. Woodbury Ave, Altadena, CA 91001, setting forth the specific reasons for the appeal and must be received by the District, by certified mail, within seven (7) calendar days of the receipt of pre-qualification rating, by certified mail. The Superintendent, or his designee, shall consider the appeal within three (3) business days of the filing of the notice of appeal and allow the prospective bidder an opportunity to be heard on the rating. The appellant and the District may present evidence, testimony and information relevant to the rating. The Superintendent, or his designee, shall issue a written decision after the conclusion of the hearing and mail or cause to be delivered said decision to the appellant within three (3) business days.

Should the prospective bidder be dissatisfied with the Superintendent's, or his designee's, written decision, the aggrieved bidder may appeal the same to the Board of Trustees. This is to be done by filing a written notice of appeal to the Chief of Facilities at the address noted above, setting forth the specific reasons, within five (5) calendar days of receipt of the decision of the Superintendent, or his designee. The Board of Trustees shall hold a hearing on the pre-qualification rating within three (3) weeks, or as soon thereafter as possible, of receipt of the notice of appeal. Pending the hearing before the Board of Trustees, the decision of the Superintendent, or his designee, shall remain in full force and effect. Should the decision of the Superintendent, or his designee, be reversed or revised by the Board of Trustees, the decision

## **PASADENA UNIFIED SCHOOL DISTRICT FACILITIES**

shall take effect as of the date of the Board of Trustees decision and shall not be retroactive. The decision of the Board of Trustees shall be final. Said decision shall be mailed or delivered to all parties.

It is the intention of the District that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

The District reserves the right to waive non-material irregularities and omissions in the information contained in the pre-qualification application submitted, to make all final determinations, and to determine at any time that the pre-qualification procedures will not be applied to a specific future public works project. The District also reserves the right to require, at its sole discretion, additional/supplemental materials for prequalification for specific projects based on factors, including but not limited to, the size or cost of the project or the specialized nature of the proposed facilities,

To the extent allowed by law, the information submitted by prospective bidders shall remain confidential except on appeals to the Board of Trustees where information used to decide the appeal will become public.

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

**CONTRACTOR'S GENERAL/FINANCIAL INFORMATION SHEET**

1. Contractor's name as it appears on license:  
\_\_\_\_\_.
2. Name of Contractor's Primary Contact (may receive confidential information)  
\_\_\_\_\_.
3. Street Address (P.O. Box is not acceptable):  
\_\_\_\_\_.
4. City/State/Zip Code:  
\_\_\_\_\_.
5. Telephone: (\_\_\_\_) \_\_\_\_\_ Fax: \_\_\_\_\_  
E-mail address \_\_\_\_\_ (pre-qual results will be sent to this address)
6. License classifications held in California: \_\_\_\_\_  
Expiration Date(s): \_\_\_\_\_
7. Please attach your most current reviewed or year-end audited financial statement, which must have been prepared by a Certified Public Accountant, within twelve (12) months of each prospective bidder's submission of its pre-qualification package. Also, please provide your most current financial statement that must have been prepared within three (3) months of each prospective bidder's submission of its pre-qualification package.
8. Name of accounting firm and primary contact: \_\_\_\_\_  
\_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_
9. How many years have this accounting firm prepared financial statements for you? \_\_\_\_\_  
Tax returns? \_\_\_\_\_
10. Banking information: Please complete the form attached titled "BANK INFORMATION FORM". This form must be fully executed and authorized signatures from the bank and the prospective bidder

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

**BANK INFORMATION FORM**

**THIS FORM MUST BE COMPLETED AND INCLUDED WITH THE PRE-QUALIFICATION PACKAGE**

**CUSTOMER:**

**NAME:**

**FINANCIAL INSTITUTION NAME:**

**FINANCIAL INSTITUTION ADDRESS:**

At the close of business on the date listed below, our records indicate the following deposit balances

DATE:		
ACCOUNT NAME/TYPE	ACCOUNT NUMBER	AVERAGE BALANCE

We, the customer, are directly liable to the financial institution for a line of credit at the close of business on the date issued below.

DATE:					
ACCOUNT # / DESCRIPTION	TOTAL LINE OF CREDIT	BALANCE	INTEREST RATE	DUE DATE	DESCRIPTION OF COLLATERAL

\_\_\_\_\_  
Customer Authorized signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

The information presented above, by the customer, is in agreement with our records. Although we have not conducted a comprehensive detailed search of our records, no other deposit or loan accounts have come to our attention except as noted below.

\_\_\_\_\_  
Financial Institution Authorized signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**EXCEPTIONS AND/OR COMMENTS**

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

**PRE-QUALIFICATION QUESTIONNAIRE**

**PART 1 - ESSENTIAL REQUIREMENTS FOR QUALIFICATION**

**Contractor will be immediately disqualified if the answer to any of questions 1 through 8 is “no.”**

**Contractor will be immediately disqualified if the answer to any of questions 9 through 13 is “yes.” If the answer to question 11 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. Contractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid?  
 Yes  No
  
2. Contractor has a general liability insurance policy with a policy limit of at least **\$5,000,000 per occurrence and \$25,000, 000 aggregate** with a California-admitted insurance company? Please note that insurance policy requirements maybe increased due to project size. Further, the certificate of insurance provided by Contractor in connection with any District project must name the Pasadena Unified School District, as well as its officers, employees, and other agents, as additional insured’s.  
 Yes  No
  
3. Contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 *et seq.*?  
 Yes  No  Contractor is exempt from this requirement, because it has no employees
  
4. Have you attached your latest copy of a reviewed or audited financial statement, **completed within the past 12 months**, with accompanying notes and supplemental information **AND** your most current unaudited (internally prepared) financial statement that must have been prepared within three (3) months of submitting this pre-qualification package?  
 Yes  No

**NOTE: An annual financial statement that is not either reviewed or audited is not acceptable.**

5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance and authorized to issue bonds in the State of California) which states your current single project and aggregate bonding capacity?  
 Yes  No

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

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

6. Have you attached your “Bank Information Form” with authorized signatures from your firm and bank?  
 Yes  No
7. Prospective bidder agrees to comply and enforce the applicable provisions of the Labor Code, Section 1720-1861 and PUSD Labor Compliance requirements and will pay the proper prevailing wage for each craft  
 Yes  No
8. Has your firm registered and met all requirements using the California Department of Industrial Relations’ online application as required pursuant to the public works contractor registration program set forth in Senate Bill 854?  
 Yes  No
9. Is your firm currently the debtor in a bankruptcy or receivership case?  
 Yes  No
10. Contractor’s license has two (2) or more citations listed with in the past five (5) years.  
 Yes  No
11. Has any Contractors State License Board license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five (5) years?  
 Yes  No
12. Has a performance bond surety firm taken over or completed a project on your behalf, supervised the work of a project, or paid amounts to third parties for completion of a project related to your construction activities within the last five (5) years?  
 Yes  No
13. 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 subcontractor 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:

\_\_\_\_\_

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

14. 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?  
 Yes  No
15. At any time during the last five years, has your firm or any of its owners or officers been convicted federal or state crime of fraud, theft or any other act of dishonesty?  
 Yes  No
16. Has your firm defaulted on a contract or been terminated for cause by any public agency on any project within California within the past five (5) years and, if so, and if the action by the public agency was challenged, was the finding of default and/or termination upheld by a court or an arbitrator?  
 Yes  No
17. At any time in the past five (5) years, has your firm been found by an awarding agency to not be a responsible bidder?  
 Yes  No
18. 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 (5) years?  
 Yes  No

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.

If “yes,” attached 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.

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

**PART 2 - 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, treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership

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

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

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

## PASADENA UNIFIED SCHOOL DISTRICT FACILITIES

**For Firms That Are Partnerships:**

- 1a. Date of formation: \_\_\_\_\_
- 1b. Under the laws of what state: \_\_\_\_\_
- 1c. Provide all the following information for each partner who owns 10 per cent or more of the firm.

Name	Position	Years with Co.	% Ownership

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

**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

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

**For Firms That Are Sole Proprietorships:**

- 1a. Date of commencement of business. \_\_\_\_\_
- 1b. Social security number of company owner. \_\_\_\_\_
- 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

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

## PASADENA UNIFIED SCHOOL DISTRICT FACILITIES

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

- 1a. Date of commencement of joint venture. \_\_\_\_\_
- 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

Name of firm	% Ownership of Joint Venture

- 1c. On a separate sheet provide all other pertinent information required in the sections above, for each corporation, partnership or sole-proprietorship that is a part of the Joint Venture.

**B. History of the Business and Organizational Performance**

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

Yes    No

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

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?  
**NOTE: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.**

Yes    No

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

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

\_\_\_\_\_

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

6. Was your firm in bankruptcy or receivership at any time during the last five (5) years?

Yes    No

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

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

7. In the last five (5) years, has your firm requested to be released from a bid on any public agency contracts?  
 Yes    No

If “yes,” please attach a separate signed page that states the project name, the public agency, the date of your request, your reason for the request and the public agency’s response to the request.

8. In the last five (5) years, has your firm or anyone acting on your firm’s behalf, made any bid protests in connection with any public agency contracts?  
 Yes    No

If “yes,” please attach a separate signed page that states the project name, the public agency, the date of your bid protest, the reason for your protest, and the public agency’s response to your bid protest, including whether the public agency determined that the protest was meritorious.

**C. Licenses**

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

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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 License Board (CSLB) records who meet(s) the experience and examination requirements for each license.

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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.

**D. Disputes**

13. At any time in the last five years has your firm been assessed **or** paid any liquidated damages under a construction contract with either a public or private owner?

Yes    No

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

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

14. 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.

\* \* \* \* \*

15. In the past five years has a project owner, general contractor, subcontractor, supplier, architect, or construction manager filed or made claim(s), including in court or in arbitration, against your firm concerning your firm's work on a construction project or payment for a contract?

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).

16. In the past five years has your firm filed or made any claim, including in court or in arbitration, against a project owner, general contractor, subcontractor, supplier, architect, or construction manager concerning work on a project or payment for a contract??

Yes  No

If "yes," on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

\* \* \* \* \*

17. At any time during the last five (5) years, has your firm, either directly or through any prime contractor or subcontractor, ever made a claim against a public entity for delay damages (including acceleration, out of sequence work or extended home office overhead) for which you recovered less than twenty-five percent (25%) of the amount claimed?

Yes  No

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

If “yes,” on a separate signed sheet 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 including the amount of the claim, and the amount recovered.

18. At any time during the past five years, has any surety company made any payments on your firm’s behalf, to satisfy any claims made against a payment bond issued on your firm’s behalf, in connection with a construction project, either public or private?  
 Yes    No

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

19. In the past three years, have any subcontractors or suppliers filed any mechanics liens or stop notices for labor and/or materials with respect to any projects for which you served as a general contractor?  
 Yes    No

If yes, explain on a separate signed sheet of paper, identify the project name, the date of the mechanics lien or stop notice, the name of the entity (or entities) submitting the mechanics lien or stop notice, a brief description of the nature of the claim resulting in the mechanics lien or stop notice (including the amount of the claim), and if the matter was resolved, the nature of the resolution.

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.

**E. 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 misrepresentation to any public agency or entity?  
 Yes    No

If “yes,” explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

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

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

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.

**F. Bonding**

24. Provide the percentage that your firm is required to pay as a premium for a performance and payment bond. If your company’s premium is on a sliding scale please list percentages for project sizes as an attachment. If the percentage rate is greater than one percent you may provide an explanation, if you wish to do so. \_\_\_\_\_%
25. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds:

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26. During the last five years, has your firm 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?  
 Yes    No

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

**G. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety**

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.

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

28. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five 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 Worker’s 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.**

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.)

**H. 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.

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

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

Yes    No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the 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 any 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. A. Provide the **name, address and telephone number** of the apprenticeship program (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 the Pasadena Unified School District.

\_\_\_\_\_  
\_\_\_\_\_

And/or

35. B. 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.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

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 subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.**

Yes    No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s)

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

**PART 3. RECENT CONSTRUCTION PROJECTS COMPLETED**

**Applicable to 39A and 39B**

**Qualifying contractors be advised: Please provide all information requested, in the requested format. Failure to provide the requested information in the required format will be grounds for dis-qualifying a perspective proposer. Names and references must be current and verifiable. Further, while Contractors are required to provide references as set forth in this packet, the District retains the right, at its sole discretion, to interview references even if not provided by Contractors and to determine prequalification on the basis of input provided by such references.**

**Additional pages may be attached as necessary.**

**The District will make no more than three (3) attempts to contact each reference. If a response is not received within 14 calendar days the Contractor will received a score of zero (0) for that particular reference.**

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

39A. Contractor shall provide information about its five (5) most recently completed **public works new building construction projects** valued at \$2 million or more.

*Copies of this form may be made to provide information on additional references.*

<b>Project Name:</b>	
<b>Location:</b>	
<b>Owner:</b>	
<b>Owner Contact:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
	<b>Email Address:</b>
<b>Architect or Engineering Firm:</b>	
<b>Architect or Engineering Firm Contact:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
<b>Construction Manager:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
<b>Inspector of Record:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
<b>Description of Project, Scope of Work Performed:</b>	
<b>Original Contract Value:</b>	\$ _____
<b>Total Value of Approved Change Orders:</b>	\$ _____
<i>*If the change order value exceeds the original contract value but 10% or more, please attach a sheet explaining change orders causes.</i>	
<b>Original Scheduled Completion Date:</b>	_____
<b>Time Extensions Granted (number of days):</b>	_____
<b>Actual Date of Completion:</b>	_____

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

39B. Contractor shall provide information about its five (5) most recently completed **public works modernization projects** within the last three years valued at \$2 million or more.

*Copies of this form may be made to provide information on additional references.*

<b>Project Name:</b>	
<b>Location:</b>	
<b>Owner:</b>	
<b>Owner Contact:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
	<b>Email Address:</b>
<b>Architect or Engineering Firm:</b>	
<b>Architect or Engineering Firm Contact:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
<b>Construction Manager:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
<b>Inspector of Record:</b>	<b>Name:</b>
	<b>Current Phone Number:</b>
<b>Description of Project, Scope of Work Performed:</b>	
<b>Original Contract Value:</b>	\$ _____
<b>Total Value of Approved Change Orders:</b>	\$ _____
<i>*If the change order value exceeds the original contract value but 10% or more, please attach a sheet explaining change orders causes.</i>	
<b>Original Scheduled Completion Date:</b>	_____
<b>Time Extensions Granted (number of days):</b>	_____
<b>Actual Date of Completion:</b>	_____

**PASADENA UNIFIED SCHOOL DISTRICT  
FACILITIES**

The submitter of the foregoing answers to the questionnaire and financial statement has read the same and the matters stated therein are true of his or her own personal knowledge. The information is for the purpose of inducing the District to supply the submitter with plans and specifications, and any individual, company or other agency named therein is hereby authorized to supply the District with any information necessary to verify the statements. Submitter understands that any statement, which is proven to be false, shall be grounds for immediate exclusion of the named Contractor from the pre-qualification process. Should the foregoing statements at any time change or cease to be proper and true in any material respect, the named Contractor agrees that the Contractor must promptly update this questionnaire and/or financial statement and that Contractor shall not be prequalified until Contractor has done so and the District has determined that the Contractor is prequalified in light of the updated information. The submitter whose signature appears below has authority to bind the named Contractor. Submitter has provided evidence in a form and substance acceptable to the District (such as Power of Attorney) that the submitter whose signature appears below has authority to bind the named Contractor.

The undersigned hereby declares that all of the statements made in the pre-qualification questionnaire and financial statements are true and correct and are made under the penalty of perjury under the laws of the State of California.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, at \_\_\_\_\_,  
City of \_\_\_\_\_, County of \_\_\_\_\_, State of \_\_\_\_\_.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Name of Contractor